



**INCIDENT REPORTING/RECORDS MANAGEMENT**

✓ <b>new:</b> <b>rescinds:</b> <b>amends:</b>		<b>cross-reference:</b> NYSED Records Retention & Disposition Schedule & Spillman Data Entry Standards <b>accreditation standards:</b> NYSLEAP Standard(s): 8.1, 8.2, 8.5, 8.7 & 28.1
<b>effective date:</b> October, 2020	<b>update date:</b> April, 2024	

**I. PURPOSE**

The purpose of this order is to establish procedures for the processing, filing, maintenance, retrieval, and distribution of office records and reports.

**II. POLICY**

It is the policy of the Tompkins County Sheriff's Office to maintain a records function, report incidents, and maintain, preserve, retrieve, distribute and dispose of records in accordance with office procedures and all applicable laws.

**III. DEFINITIONS**

*Computer Aided Dispatch (CAD) System:* An automated information system used to receive, dispatch and track calls for service. At the completion of a call for service, incident information is automatically downloaded from the Communication Center's CAD system into the office RMS (Records Management System). CAD is maintained by the Tompkins County Communication Center.

*Freedom of Information Law (FOIL):* Article 6 of the NYS Public Officers Law governing access to public records.

*Incident Number:* A unique sequential identifying number with the first letter (Agency ID-S) followed by the last two digits of the year S-20 followed by 5-8 sequential numbers. An Incident Number is generated for every call for service that required a police response.

*Spillman Records Management System:* The computerized records system established by Tompkins County for use by the Sheriff's Office and other county agencies to record police, fire, EMS, and dispatch activities. The system will also be used to manage office reports and records. *Currently utilized since 2010.*

*Traffic and Criminal Software (TRACS):* Is application software that provides officers all the functionality to prepare/issue traffic tickets and prepare accident reports from the mobile computer.

## IV. PROCEDURES

### A. Records Division Function

1. The Civil Division is the central repository for all police reports and related records. It has primary responsibility for the processing, maintenance, security and distribution of records to include incident reports, traffic accidents and arrest records, criminal process and all written information generated as part of a police investigation.
2. The Lieutenant is responsible for the Civil Division and the records administration and management function.
3. The Civil Division shall be staffed by as many civilian clerks as determined by the Sheriff.
4. The Civil Division in close consultation with the County Attorney's Office shall be responsible for responding to all FOIL requests.
5. The Civil Division shall be responsible for the collection of funds as set forth in *G.O. 200 Fiscal Management*.
6. It is the responsibility of the Civil Division to ensure that all accusatory instruments and arrest paperwork are forwarded to the District Attorney's Office as required. The Criminal Investigations Division forwards all accusatory instruments and arrest paperwork from their division directly to the D.A.'s Office. Officers are required to ensure that all accusatory instruments and arrest paperwork are delivered to the courts as required.
7. The office shall maintain full participation in the state National Incident Base Report or Uniform Crime Report by providing statistical information as required to the Division of Criminal Justice Services on a monthly basis. The Lieutenant and/ or Senior Civil Account Permit Clerk shall be responsible for processing the monthly report.

### B. Reporting Incidents

1. Calls for service from the public are primarily received by the Tompkins County Communication Center (TCCC) and are processed through the CAD system. The TCCC Dispatcher will receive a report of an incident and enter the report into the CAD system when a citizen reports a crime or any event that requires a police response.
2. Any officer who initiates a criminal or non-criminal investigation, makes an arrest or otherwise becomes aware of any incident that will require police response, investigation or documentation, shall self-generate an incident number or contact the TCCC and request that an incident number be generated.

**Note:** Civil and Criminal Investigations Division personnel may independently generate an incident number within the Spillman system.

3. Incidents that shall require an incident report include, but is not limited to:

➤ Any crime/offense

- Any arrest
  - Any report of serious physical injury or death
  - Property damage
  - Motor vehicle accident
  - Dangerous or hazardous conditions
  - Alarms requiring police response
  - All citizen requests for service
  - Any time the assigned personnel and/or supervisor believe it is appropriate to file a written report.
  - Background investigation
  - Records request
4. The TCCC will enter, or cause to be generated, the necessary incident information into the CAD system to include:
- The Incident Number
  - The date and time of initial complaint
  - Name of the victim, complainant or person requesting service, if available.
  - Nature of the incident
  - Location of incident
  - Unit or specific officer assigned to call
5. The initial responsible officer is responsible for documenting all calls for service where an incident report has been commenced in the Spillman system. Other responding officers shall document their involvement in the incident as needed by completing a supplemental report in Spillman under the corresponding incident number. *Refer to the Tompkins County Public Safety Shared Data Systems Policy: PS 12-02 Data Entry Standards-Spillman Systems.*
- a. Incident data shall be entered with accuracy. If a field needs to be modified (such as Occurred From-Occurred To: Incident Location etc.) then the officer shall amend the data to reflect the correct data.
  - b. All pertinent data shall be completed: Incident/Persons Involved/Property/Vehicles etc. All incidents involving property stolen/recovered/damaged shall be recorded in the Property tab of Spillman. All mandatory IBR fields shall be completed. *See Mandatory IBR Fields sheet.*
  - c. All incidents that do not require a NYS Incident Report or Spillman Report: (Traffic Stops, Special Detail, Property Checks, etc.) shall reflect the proper CLEARANCE and DISPOSTION of the incident at the conclusion of the incident or at the Responsible Officers next tour of duty.
  - d. Incidents requiring further action that have an INCIDENT NUMBER assigned shall not have a new law number started whenever possible. Examples: Subject needing Processing on a case or a Vehicle Release at the PSB. Officers should request that the TCCC Dispatcher re-open the CAD call and assign the appropriate unit. Officers will then document all actions in a supplemental report.

- e. Related incidents shall be linked to the original incident number via the involvement tab. In full Spillman search the law number- add involvement- indicate the Relationship (Processing, Vehicle Release, etc.)
  - f. Attempts to execute warrants shall be documented in accordance with *G.O. 212 Record System for Warrants*.
  - g. All incidents involving any type of criminal or non-criminal investigation shall be submitted via workflow to the supervisor shift group that the incident occurred on (SDPATROLSUPALINE, etc.) for review/approval. MVA 104 A's shall be submitted via TRACS software, but a Spillman number should be created and submitted like other incidents to the proper supervisor group. The narrative section should reference the associated TRACS ACC number.
6. The Investigations Division shall document investigative efforts and case documentation in the Spillman system. Spillman Case Management shall be used for all follow-up investigations.
  7. Supervisors shall be responsible for reviewing incident reports and supplemental reports submitted by members under their command for neatness, accuracy, completion, classification and grammar. Supervisors are required to document report approval in the Spillman system. Any reports found to be deficient shall be returned to the reporting officer for correction prior to approval. After approval the Supervisor shall forward the incident to SDREC for filing or to the SDINVESTSUP folder for follow-up.
    - If any crime occurred, send to SDREC group through the workflow under status RECORD.
    - If not IBR reportable, send to SDREC group with status CMPLT.
    - Confirm correct offense statute code is entered.
  8. Supervisors shall, when necessary, make copies or assign via workflow reports and distribute those copies for the purpose of:
    - Assigning follow-up investigation.
    - Informing affected divisions, units or personnel (patrol briefing, etc.).
    - Alerting the chain of command of a significant event that may require their attention.

## V. **RECORD INDEXING**

- A. Reports entered into Spillman generate searchable indexes that are either sequentially numbered (i.e., Incident Numbers, etc.), or alphabetized (i.e., names, businesses, etc.) as described below.
  1. Personnel entering information into Spillman **must** ensure that the data is accurate and relevant to maintain the integrity of the system.
  2. Supervisors shall review the incident reports for completeness and accuracy.

## B. Spillman Master Name Index

1. An alphabetical master index of person whose names have appeared in Incident Reports or other circumstances where subjects are entered in Spillman is integrated into various functions of Spillman. Each person shall have a unique Name Number. Names that shall be entered in the system include:
  - Complainants
  - Victims
  - Suspects
  - Arrested persons
  - Witnesses
  - Parents or guardians
  - Persons designated as “other involved” by the reporting officer

## C. Spillman Name Record

1. Spillman maintains records of all reported contact that an individual has with the office. These contacts may be criminal or non-criminal in nature. The records for each individual contains a history which lists all the Incident Numbers and Arrest Numbers associated with that individual.
2. Personnel conducting investigations may access the Name Records Involvements Index for the individual(s) associated with the case.
3. At no time will personnel provide copies of an individual’s Name Records Involvements Index to any non-approved government agency. Requests from other entities or individuals will be handled via the FOIL process.

## D. Criminal History Files

1. The official Criminal History file for an individual shall be the computerized Criminal History Records (CHRI) obtained from eJustice.
2. Criminal Histories may be obtained by any sworn member of the Sheriff’s Office for legitimate criminal justice purposes only, using eJustice, as set forth below.
  - a. Ongoing investigations; or
  - b. Arrested persons; or
  - c. Warrant investigations.
3. Office personnel will utilize the office’s internet access to eJustice. Only operators with Criminal History certification will make the request. However, all sworn personnel or any civilian member with the proper clearance may be the authority for requesting the Criminal History.

#### 4. Criminal History Request Procedures for Office Purposes

- a. **All** persons who are the subject of a Criminal History inquiry must be named in a current investigation, warrant, arrest, blotter entry, active case file or electronic computer entry. Office personnel will follow the procedures described below in processing Criminal History inquiries for these three categories:

Investigation - (Reason Code - **PDI**) or Arrest - (Reason Code **ARR**) or Warrant - (Reason Code - **WAR**)

- Requests for Criminal History inquiries for investigative purposes must indicate why the inquiry was made (i.e. suspect, victim, etc.).
  - All persons who are the subject of a Criminal History request must have a current SD incident number.
  - Personnel requesting Criminal History inquiries for investigative purposes or arrests will make a notation on the Incident Report that a history was completed. Criminal Histories need not be printed out if so desired.
  - No copies or reproductions of any kind will be made.
  - Disposition of Criminal History (i.e. destroyed or with case file) will be noted on the Incident Report.
  - The Criminal History will be kept in the case file while the case is active. After the case has been closed the Criminal History will be shredded by the original requesting officer.
  - Criminal Histories obtained as part of a confidential investigation shall be noted as such on the request. The inquiry may be printed and then placed into a sealed envelope and labeled "Confidential"
5. The CHRI is based on the New York State Identification Number (SID Number) which is a unique number assigned by New York State to each individual arrested for an offense. All subsequent arrests are tracked by the individual's SID Number.
6. Office personnel will ensure that the SID Number is entered into Spillman whenever an individual is arrested for a crime by the office.
7. Pre-employment Criminal History check must be done through fingerprint submission.
8. Failure to follow office regulation pertaining to Criminal History policy may result in loss of privileges and could also result in disciplinary action. Persons who violate DCJS rules and regulation may also be subject to criminal charges as well.

#### VI. **MAINTENANCE OF RECORDS**

- A. The original copies, if retained, of police records shall be maintained by the Civil Division unless directed otherwise by the Sheriff. Generally records are electronically scanned and destroyed.
- B. The Civil Division shall not be responsible for maintaining certain records, due to the nature of the records or legislative requirement. Such records include, but are not limited to:

1. Informant records (maintained by the Lieutenant of the Criminal Investigations Division)
2. Organized crime and vice records (maintained by the Lieutenant of the Criminal Investigations Division)
3. Completed Internal Investigations (maintained by the Undersheriff)
4. Financial Records (maintained by the Executive Assistant to the Sheriff)
5. Personnel Records (maintained by the Executive Assistant to the Sheriff/ Human Resources Office)
6. Sex Offender Registration records (maintained by the Sex Offender Program Manager)
7. Training records (maintained by the Training Coordinator)
8. Accreditation Files (maintained by the Accreditation Manager)

## VII. SECURITY, PRIVACY AND RETENTION OF RECORDS

- A. The security and privacy of records is essential to the central records function. As such, all members of the Sheriff's Office, both sworn and unsworn, shall share the responsibility for the security of the Office's records. Therefore, the following procedures shall be adhered to regarding the Civil Division, Records Storage Rooms and Electronic records:
  1. Unauthorized persons shall not be permitted in the Civil Division area unless escorted.
  2. Computer screens must be positioned as not to be readily in view of the general public.
  3. Unauthorized persons shall not be permitted access to Civil Division files or databases. No member shall disclose any password or code to any unauthorized person.
  4. Sign out of Spillman or lock the computer when not in use.
  5. Do not provide/release records in violation of office policy.
  6. The Civil Division shall remain locked during periods of time when Civil Division employees are not present.
- B. To ensure the accuracy and integrity of Tompkins County Sheriff's Office records, no employee shall add, amend, change, overwrite or modify any information contained in the Office's records management systems while representing themselves as another employee, i.e., adding information to another person's document without clear indication that *you* have amended the information on a given date and time. Additional information or clarification may be included as a supplemental report under the name of the employee making the addition.
- C. Record retention and destruction shall be the responsibility of the Lieutenant who shall follow the guidelines provided by the "Records Retention and Disposition Schedule" issued by the NYS Education Department (<https://www.archives.nysed.gov/records/retention-schedules>).

Records shall be screened periodically for disposal in accordance with legal mandates. The Sheriff's Office may retain records longer than the time periods set forth from NY State. [See County Policy 11-05 Retention and Disposition of Records.](#)

- D. Juvenile files shall be maintained in accordance with applicable statutes, and if there is an original paper file it shall be secured separate from other office files. See *G.O. 1004 Juvenile Contact & Arrest Procedures*.
- E. Personnel obtaining office records, or copies of office records, whether they are electronic or paper copies of either or unofficial Spillman records, shall maintain security over those records in their possession until the record(s) are either destroyed, or returned to the Civil Division.
- F. Copies of police reports and information may be released in accordance with *G.O. 500 Media Relations*.
- G. Any Freedom of Information Requests shall be forwarded to the Lieutenant who will consult with the County Attorney's Office.

## VIII. OFFICE FORMS

- A. The Sheriff or designee shall be responsible for the development, modification, deletion and procurement of office forms.
- B. All forms must be submitted to and approved by the Undersheriff in consultation with the Sheriff, prior to use.
- C. The Undersheriff shall conduct, or cause to be conducted, a periodic review and evaluation of office forms in order to ensure that:
  - Information captured is not duplicative;
  - The format is consistent with current data processing requirements; and
  - Forms that are no longer useful are deleted.
- D. The Executive Assistant shall maintain all office forms and originals on the office's shared drive.
- E. Personnel should, when necessary, suggest modifications to, or deletions of, office forms through the chain of command.

## IX. STATISTICAL AND DATA SUMMARIES

- A. Monthly Summaries and Reports
  - 1. The Road Patrol Lieutenant is responsible for providing a report of statistics for calls for service to the Undersheriff on a monthly basis.
  - 2. The Criminal Investigations Division Lieutenant is responsible for providing a report of assigned/closed investigations by the CID to the Undersheriff on a monthly basis.



3. The Civil Division Lieutenant is responsible for the monthly IBR reports.

B. Yearly Reports

1. The Undersheriff is responsible to provide a yearly report to include a summary of all defensive action reports.
2. The Undersheriff is responsible to provide a yearly report to include a summary of all internal affairs investigations.
3. The Firearms Team is responsible to provide a range summary report after each range session to include courses completed, scores and suggested areas of concentration for the following ranges(s).
4. The Training Coordinator is responsible to provide to a yearly training report.
5. The Warrant Control Officer is responsible for providing an annual report of all active warrants.
6. The Lieutenant of Investigations is responsible to provide an bi-annual report identifying the property that was inventoried and audited.
7. The Office of the Sheriff is responsible to provide an annual yearly report.

Attachments:

A: *Spillman Data Entry Standards*

B. *Mandatory IBR Fields*

By Order Of



Derek Osborne  
*Sheriff*