


**Department of Public Safety  
Police Division  
Policies and Procedures**

<b><u>Title</u></b>  Records Management	<b><u>SOP Number</u></b>  16.1.100
<b>Approval Signature</b> 	
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<b>Reviewed/Revised by</b>	<b>Pages</b> 11
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## ***Records Management***

- I. **Purpose:** The purpose of this policy is to establish procedures for the University of Cincinnati Police Division records.
- II. **Policy:** It is the policy of the University of Cincinnati Police Division to maintain accurate documentation and information related to Division law enforcement activities.
- III. **Procedure:**
  - A. Records Component  
The Records Manager is charged with the responsibility for the supervision of the records component of the Division.
  - B. Records Section Function  
The functional responsibilities assigned to the Records Section include report review, report control, records maintenance and records retrieval.
    1. Report Review – Report review is delegated to the immediate supervisor of the reporting officer. This review is made to insure completeness and accuracy of all reports submitted, and that all required reports are completed. The Records Section will conduct a secondary review of reports to insure any attachments to the reports are submitted to the proper units or individual officers in the Division.
    2. Report Control – The Records Section will control the availability and confidentiality of all reports and records.
    3. Records Maintenance – The Records Section will maintain all reports and records and distribute copies to authorized persons/agencies. All Records will be maintained and disposed of in accordance with record retention schedules.
    4. Records Retrieval/Computerized – Filing and retrieval of reports will be by the name and assigned report number.
  - C. Documentation of Police Actions  
It will be the policy of the University of Cincinnati Police Division that official records be prepared and maintained to document reported police activity, whether originated by a citizen or a Division member.
    1. It will be Divisional policy to prepare documentation for the following categories of incidents, if they are alleged to occur on the property of the University of Cincinnati:
      - a. Citizen reports a crime.
      - b. Citizen reports an incident or violation of institutional policy.
      - c. All citizen requests for services of the Division when an officer is dispatched, an employee is assigned to investigate, or an employee is assigned to take action at a later time.
      - d. Criminal and non-criminal cases initiated by or coming to the attention of Divisional personnel.
      - e. All auto accidents reported to police.
      - f. Incidents involving arrests, citations, or summonses.
      - g. When a student/faculty/staff member is involved in an incident that is part of the University patrol zone or determined to be University related.

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- h. Assists to outside agencies performing official duties on University property.
    - i. Official police actions that occur outside of University property.
  - 2. This documentation of police activity may be in the form of a completed report, citation, contact card, aided case, daily activity report (log sheet) or arrest documentation.
  - 3. The required information for each report will be determined by the report instrument that is completed.
  - 4. Generally, initial police reports will be completed prior to the end of the assigned employees shift or work day unless approved by a supervisor.
- D. Specific Information for Documenting Police Action
  - 1. All Record Management System (RMS) reports and records maintained to document police activity will contain at a minimum the following accessible information (unless the specific report form does not call for such information):
    - a. Date and time of the initial report, date and time occurred to and from, and
    - b. Location of incident.
    - c. Name, DOB, and UCID M#'s, if available, of the citizen requesting the service.
    - d. Victim's or complainant's name.
    - e. Nature of the incident.
    - f. Date, time and type of action taken, if any, by Public Safety personnel.
- E. Report Forms
  - 1. Members of the University of Cincinnati Police Division will use the appropriate report form(s) as indicated by the nature of the incident being reported. The importance of having a well written and complete report cannot be overemphasized.
  - 2. Officers will interview and question citizens, victims, witnesses and suspects to obtain factual information for reports.
  - 3. Factual information sought from citizens, victims, and witnesses will include but not limited to:
    - a. Location and Complete address of occurrence; Date and time reported
    - b. Crime, Classification, Loss, and Recovery
    - c. From Date/Time, to Date/Time
    - d. Categories
    - e. Involved Parties: Name, Suffix; Race, Ethnicity, Sex; Age, Date of Birth; Height, Weight, Hair color, Eye color
    - f. Social Security Number; Driver License State, Number; Student ID Number
    - g. Address Type, Complete Address
    - h. Phone types and numbers
    - i. Synopsis of incident
    - j. Narrative

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4. Facts and information will be check for accuracy with documents and evidence available at the scene or afterwards (identification cards, documents, evidence, etc.).
5. Confidential or anonymous sources and witnesses.
  - a. According to Ohio records law, the identity of a confidential witness can only be maintained if the record pertains to a “law enforcement matter.”
    - 1) To be considered a “law enforcement matter,” the records must meet three prongs:
      - (1) Has an investigation been initiated upon specific suspicion of wrongdoing?
      - (2) Does the alleged conduct violate criminal, quasi-criminal, civil, or administrative law?
      - (3) Does the public office have the authority to investigate or enforce the law allegedly violated?
  - b. Confidential sources are those who fit this criteria and who have been reasonably promised confidentiality.
  - c. A promise of confidentiality is considered reasonable if it was made on the basis of the law enforcement officer’s determination that the promise is necessary to obtain the information.
  - d. When possible, it is advisable that the officer document the specific reasons why promising confidentiality was necessary to further the investigation.
  - e. Promises of confidentiality should not be given as routine administrative procedures but when there is a reasonable need for confidentiality (i.e. the promise is necessary to obtain the information).
  - f. This exemption exists only to protect the identity of the information source, not the information he or she provides.
  - g. When a witness or information source is promised confidentiality, their name and associated information will be entered as “**Confidential Source**” in the “**Involvement Type**” of the RMS to prevent release.
6. The police record system depends on the work product of the officer in the field.
7. All reports should be forwarded to the Records Section after completion. All records are property of the Cincinnati Police Division.
8. Officers are not to keep separate records of their own that deal with actions taken by the officer during their tour of duty other than their field notes.
  - a. Forms generally used in field reporting include but not limited to:
    - 1) Case/Incident reports
    - 2) Supplemental reports
    - 3) Contact cards
    - 4) Arrest/booking report (form 527, MM)
    - 5) Property receipt form
    - 6) Accident reports (OH-1, OH-2, OH-3, OH-4)
    - 7) Ohio Uniform Traffic Tickets (O.U.T.T.)

### **F. Procedures to be followed in completing reports**

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1. Incident Reports
  - a. Offense reports will be used for reports of a criminal offense (as described in the O.R.C.) received by the Police Division which occur on the property of the University of Cincinnati. They will be recorded in the records management system.
    - 1) Domestic Disputes/Family Troubles – The Police Division is required to keep a record of domestic disputes and domestic violence problems and file a monthly report with the Bureau of Criminal Identification and Investigation (BCI), in accordance with O.R.C. 3113.32. To facilitate the reporting process, reporting/investigating officers must complete the Officers' Report (BCI Form - 18) whenever they handle any domestic call.
  - b. Information reports will be used to record certain specified types of incidents of a non-criminal nature. Record all applicable information in the records management system. Information reports will be taken on these non-criminal matters when brought to the attention of an officer, even though the complainant may not wish a report to be made. Information reports include, but are not limited to:
    - 1) Sick persons
    - 2) Injured persons
    - 3) Requests for lost/found property reports
    - 4) Places found open
    - 5) Damage to police vehicles
    - 6) Other agency reports
    - 7) Missing persons
    - 8) Alarms (fire, Irradiator)
2. Supplemental reports will be submitted to explain, expand, or continue with information from the incident report, or to record important confidential information not contained in the incident report (such as investigative leads and any unsubstantiated information which could be of investigative use such as intuitions, hunches, possibilities, etc.). Supplemental reports will be typed in proper English and be grammatically correct.
3. Contact cards are required for any non-consensual stop. The front of the card must be completed in full. The back is a Field Interview Report if additional information is needed. Completed contact cards are submitted to a supervisor for approval. The supervisor forwards them to the shift lieutenant for final approval. Once final approved, they are forwarded to the Records Section for entry.
4. An arrest/booking report form 527 is to be filled out for every arrest, including physical arrests for traffic offenses (minor misdemeanors require only a MM ticket). This report should contain the details which led to and surrounded the arrest, and the processing of the suspect at the Police Division. The 527 and all arrest jacket paperwork (criminal complaint, affidavit, rights waiver, etc.) should be filled out as completely as possible at the time of arrest, including names, addresses and zip codes of witnesses. If the witness is a Police Officer, then the officer's name and Police Division is sufficient.

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5. Property receipts are to be completed by officers to report property taken into or released from custody, in accordance with the property procedure.
6. Accident reports are to be completed by officers conducting auto accident investigations, in accordance with procedure.

### **G. Report Numbering**

The case numbering system used by the Record Section requires the assignment of a different report number to all offense, information, and accident reports.

1. The records management system automatically assigns a new report number each time a new report is generated. Report numbers will start with the year the report is generated, followed by chronological numbers beginning with 00001.
2. Arrests and traffic citations, except parking, will have a docket number assigned by the court. The docket number only serves the court record keeping function and is not used by the Police Records Section.

### **H. Case Status of Reports**

The case status of the report indicates the stage of the investigation, and are as follows:

1. Active – The incident is currently being investigated by the reporting officer or Criminal Investigations Section.
2. Closed – This incident has been resolved and is now closed.
3. Inactive – This incident is no longer being investigated currently, but could be reopened at a later time.
4. Exceptionally Cleared – This incident is not being prosecuted, or no further actions is being taken or required.
5. Adult Arrest Made
6. Juvenile Arrest Made
7. Report Issued in Error
8. Unfounded – An investigation determined that no crime occurred.

### **I. Supervisory Review of Reports**

Every report submitted by an employee will be reviewed for completeness and accuracy by a supervisor. The supervisor will check the report for completeness, grammatical correctness, and accuracy and will return unsatisfactory reports to the writer for necessary corrections. Reports will then be submitted to the Records Manager for final approval.

### **J. Approval Status of Reports**

The approval status is separate and independent of the case status as indicated in section G. The stages of approval are as follows.

1. New
2. In Progress – This report is in progress and has not been submitted for approval.
3. Submitted for Approval – This report has been completed by the reporting officer and has been submitted to a supervisor for approval.

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4. Approved – This report has been reviewed by a supervisor for correctness, and approved.
5. Kicked Back – This report has been submitted for approval, but was returned to the officer for correction.
6. Final Approved – This report has been final approved by the Records Manager and is now complete.

### **K. Arrest and Criminal History Files**

An arrest record is made of all persons physically arrested by the University of Cincinnati Police Division. This record is maintained in the Records Section.

1. For arrests, the arrest/referral tab in the Records Management System will be completed by the arresting officers. Copies of the affidavit, criminal complaint, 527, pictures, rights waiver, investigative notes and materials, and offense report will be contained in a manila folder with the arrest number stamped or written on the outside. The arrest numbers are consecutively assigned by the Records Management System and serve as the arrest identification number for the subject.
  - a. Arrest jackets will be assigned a number corresponding with the booking ID number that is automatically generated when the arrest/referral tab is completed.
2. For minor misdemeanor and traffic citations, the citation tab in the Records Management System will be completed by the arresting officers. Copies of the ticket will be maintained by the Records Section.
3. For recites and other agency warrants, the warrant tab in the Records Management System will be completed by the arresting officers. Copies of the paperwork will be maintained by the Records Section and sent to the other agencies as appropriate.
4. Separation of Juvenile and Adult Records  
The Records Section maintains separate files for juvenile and adult records. Juvenile and adult arrest jackets are distinguished by a J or A label. This separation exists, even in cases where the same person has both a juvenile and adult record.
5. Arrest and criminal history records stored in the Records Section will be released outside this agency upon request with approval of the University of Cincinnati Office of General Counsel and in accordance with Ohio Law. Public records requests will be handled by Records Section personnel in accordance with the guidelines established in Procedure UCPD Policy 12.3.400 Public Information.

### **L. Citations Records**

1. The Shift Supervisor will issue blank citation books to officers, and will log the date issued, the officer's name and inclusive numbers of the citation tags onto a log. This log will be kept in the Records Section for safekeeping and accounting purposes.

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2. The bulk of the blank MUTT/MM citation forms will be secured in the records storage room. Enough citation books will be kept on hand in the Lieutenants' office for issuing to the officers.
- M. Stolen, Found, Recovered, and Evidential Property
1. All reported stolen property that lists the serial number or any other distinctive identifying number will be entered into the National Crime Information Center (NCIC) and Regional Crime Information Computer (RCIC) stolen property file by the Records Manager. Weapon and vehicle entries shall be audited monthly to verify their status.
- N. Alphabetical Master Name Index
1. The master name index is stored in the Records Management System.
- O. Uniform Crime Reporting Procedures/Students Right to Know
1. All offense reports received by the Records Section are assigned a Uniform Crime Report (UCR) Classification (Group A or Group B Crime).
  2. At the end of each month, the Records Section forwards the Uniform Crime Report information to the FBI on the appropriate forms. Domestic Violence report information is forwarded to the BCI, in accordance with the Ohio Revised Code.
- P. Records Repository
1. The Records Section maintains a repository of records which includes, but not limited to:
    - a. Offense/Information reports
    - b. Arrest reports
    - c. Minor misdemeanor citations
    - d. Auto accident reports
    - e. Traffic citations
    - f. Aided cases
    - g. Contact cards
    - h. Trespass warnings
    - i. Investigative case files
- Q. Accessibility of Records
1. Personnel assigned to the Records Section will control the accessibility of all reports, and all other records stored in the Records Section. Sensitive information shall be placed in a locked file cabinet, encrypted, or under limited access in the computer.
  2. The Public Safety Computer Information Analyst are designated as the computerized Reports Management System (RMS) Administrators.
    - a. A backup copy of the data in the Reports Management System (RMS) will be copied to the server daily. In addition, a second copy of the data will be made daily, and kept at the back-up Communication Center at Kowalewski Hall.



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- b. If recovery of the RMS data becomes necessary, it will be accomplished in accordance with system information grid maintained by the Computer Information Analyst.
  - c. Physical Security for the RMS data server includes its location inside the Communication Center, a control access system to the server room, HVAC controlled alarm system, Computer flooring, an Uninterrupted Power Supply (UPS) and back-up generator.
  - d. Password administration and security include a required password change every 90 days. A requirement of at least an eight character password that includes the use of an upper case letter, lower case letter, number and a special character at minimum.
  - e. The Computer System Analyst will be notified of separated employees to have their access removed from RMS. In addition, every six months, the Computer System Analyst will send an email to Records Manager to confirm access to the RMS is limited to authorized employees.
3. At those times when the Records Section is closed, access to general records will be made available to Division personnel by computer records or at the soonest time available.
4. Records stored in the Records Section can and will be released outside this agency upon request with the approval of University of Cincinnati Office of General Counsel and in accordance with Ohio Law. Public records requests will be handled by Records Section personnel in accordance with the guidelines established in Procedure UCPD Policy 12.3.400 Public Information. This include records requested from:
- a. Outside law enforcement agencies
  - b. Insurance companies
  - c. The public, including students and parents
  - d. Agencies and companies conducting background investigations
5. Daily Distribution of Incident Reports
- a. Certain reports, supplements, and vehicle information will be distributed on a daily basis to appropriate individuals in the following departments:
    - 1) Athletics – any reports involving a student athlete, or reports dealing with an athletic building or structure.
    - 2) Environmental Health and Safety – reports of on-campus injuries, chemical spills, gas leaks, or otherwise dealing with environmental health and safety issues.
    - 3) Facilities Management – reports where a work order or repair to UC property will need completed
    - 4) Fire Incident Review – reports of fire alarms or active fires, or reports dealing with fire prevention equipment (sprinklers, smoke alarms, fire extinguishers, etc.).
    - 5) Greek Life – reports involving student members of fraternities and sororities or those that occurred in Greek housing.
    - 6) International Affairs – reports involving exchange or international students.

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- 7) Graduate Cincinnati – reports which occurred at the Graduate Cincinnati hotel.
  - 8) Parking – reports involving damage to a parking structure or equipment, and offenses which occur in a campus parking garage.
  - 9) Residence Life – reports which occurred in an on-campus residence hall, or an off-campus apartment complex for which the University has a block lease.
  - 10) Risk Management – reports involving theft or damage to university owned vehicles or property, and reports involving possible liability to the University.
  - 11) Student Affairs – any reports involving UC students.
  - 12) Student Conduct – reports which involve student misconduct.
  - 13) Title IX – reports involving Title IX violations.
6. Distribution of the Daily Management Report
- a. On a daily basis, the End of Shift Reports (EOSR) from each shift supervisor will be combined to create the Daily Management Report and will be sent to the Daily Management Report distribution list.

### **R. Record Expungements**

- 1. When the records section receives a court order that a record has been sealed/expunged, the records manager will:
  - a. Remove all records that have been ordered sealed from the general files, place them in the arrest jacket, seal the jacket with evidence tape, and mark the jacket "SEALED BY COURT ORDER". The only remaining information on the outside of the jacket will be the name of the individual, arrest jacket number, and the sealed notation. The sealed arrest jacket will remain in the storage box as originally filed until it can be destroyed in accordance with the department records retention schedule. All arrest jackets will remain secure and under the control of the Records Section.
  - b. Changed all electronic entries to indicate only the name and other identifiers of the individual, the arrest date, and the word "sealed". All references to the type of crime committed, the disposition, or any other information of the crime will be deleted from all indexes. The records manager will change the name of the individual to "EXPUNGED" in all narratives, supplements, and follow up reports.
- 2. Inspection of records and information contained therein shall only be inspected and released as specified under the provisions of Chapters 2151 and 2953 of the O.R.C.

### **S. Records Retention Schedule**

- 1. In accordance with section 149.38 of the Ohio Revised Code, a schedule of retention and destruction for records has been established. The schedule will be maintained in the Records Section. No records are to be retained, transferred, destroyed, or otherwise disposed of in violation of this schedule, or the University of Cincinnati General Retention Schedule.

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### **T. Annual Audit and Evaluation**

1. The University of Cincinnati Police Division Records section will conduct an annual inspection of the reporting process. The inspection will be performed by supervisory staff as appropriate. The inspection should consist of a review of all phases of the reporting system and recommend needed changes.
2. Employees are encouraged at all times to make constructive suggestions for improvements of the reporting system.

### **References**

UCPD Policy 12.3.400 Public Information