


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

<u><b>Title</b></u>  <b>Records Management</b>	<u><b>SOP Number</b></u>  <b>16.1.100</b>
<b>Approval Signature</b>  	
<b>Eliot K. Isaac</b>	
<b>Reviewed/Revised by</b>	<b>Pages</b> <b>11</b>
<b>Last Revision Date</b>  <b>March 31, 2026</b>	<b>Effective Date</b>  <b>May 6, 2015</b>

## ***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 ensure the 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 ensure 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 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 the police.
      - f. Incidents involving arrests, citations, or summons.

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- 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.
  - h. Assists 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 before the end of the assigned employee's shift or workday 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. The use of artificial intelligence (AI) tools for writing police reports is strictly prohibited. This policy is enacted to safeguard the confidentiality, integrity, and security of Criminal Justice Information Services (CJIS) data. Police reports often contain sensitive information that is protected under CJIS compliance standards. Utilizing AI tools, which may operate on public or non-compliant platforms, poses a significant risk of unauthorized access and dissemination of this critical information.
  - 3. This policy applies to all personnel involved in the creation, review, and management of police reports within the department. It covers all forms of AI tools, including but not limited to text generators, automated writing assistants, and any software that processes data outside of CJIS-compliant environments.
  - 4. Officers will interview and question citizens, victims, witnesses, and suspects to obtain factual information for reports.
  - 5. Factual information sought from citizens, victims, and witnesses will include, but not be limited to:
    - a. Report type, Location, and Complete address of occurrence; Date and time reported

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- b. Occurred from Date/Time, occurred to Date/Time
  - c. Crime, Classification, Loss, and Recovery
  - d. Categories
  - e. Offenses
  - f. Involved Parties: Name, Suffix; Race, Ethnicity, Sex; Age, Date of Birth; Height, Weight, Hair color, Eye color
  - g. Social Security Number; Driver License State, Number; Student ID Number
  - h. Address Type, Complete Address
  - i. Phone types and numbers
  - j. Involved vehicles
  - k. Involved property
  - l. Narrative
6. Facts and information will be checked for accuracy with documents and evidence available at the scene or afterwards (identification cards, documents, evidence, etc.).
7. 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:
      - a) Has an investigation been initiated upon specific suspicion of wrongdoing?
      - b) Does the alleged conduct violate criminal, quasi-criminal, civil, or administrative law?
      - c) 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, a role of “Confidential Source” will need to be added to their name card in the report. This role can be added in addition to another role (i.e., victim, complainant, etc.), or on its own.
8. The police record system depends on the work product of the officer in the field.
9. All reports should be forwarded to the Records Section after completion. All records are the property of the University of Cincinnati Police Division.

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10. 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 are not limited to:

- 1) Case/Incident reports
- 2) Follow-up reports
- 3) Contact cards
- 4) Arrest/booking report (form 527, MM)
- 5) Accident reports (OH-1, OH-2, OH-3, OH-4)
- 6) Ohio Uniform Traffic Tickets (O.U.T.T.)

F. Procedures to be followed in completing reports

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 for 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. Follow-up 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.). Follow-up will be typed in proper English and be grammatically correct.

3. Contact card information is required for any non-consensual stop.

4. An arrest/booking report form 527 arrest form is to be completed electronically for every arrest, including physical arrests for traffic offenses (minor

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misdemeanors require only a MM ticket). This report should contain the details that 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.

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. Auto accident reports are to be completed by officers conducting auto accident investigations, in accordance with procedures.

### **G. Report Numbering**

The case numbering system used by the Record Section requires the assignment of a different report number for 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 begin with UC-YY- with YY representing the year the report is generated, followed by chronological numbers beginning with 0001.
2. Arrests and traffic citations, except parking, will have a docket number assigned by the court. The docket number only serves the court's 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 is as follows:

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

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

1. 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. State of Reports**

The different report states are as follows:

1. Write – A report has been created, but not yet submitted for approval.
2. Review – A report has been submitted and is awaiting finalization.

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3. Revise – A report has been submitted, but was returned to the officer for correction.
4. Re-review – A report that has been previously sent back to an officer for correction has been resubmitted.

### **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 subform will be completed by the arresting officers. Copies of the affidavit, criminal complaint, 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 Manager and serve as the arrest identification number for the subject.
  - a. For minor misdemeanor and traffic citations, the citation subform in the Records Management System will be completed by the arresting officers. Copies of the ticket will be maintained by the Records Section.
2. For recites and other agency warrants, copies of the paperwork will be maintained by the Records Section and sent to the other agencies as appropriate.
3. 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.

4. 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, or Records Section, will issue blank citation books to officers, and will log the date issued, the officer's name, and the inclusive numbers of the citation tags onto a log. This log will be kept in the Records Section for safekeeping and accounting purposes.
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 the Regional Crime Information Computer (RCIC) stolen property

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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 reported to the Ohio Incident Based Reporting System (OIBRS) and the National Incident Based Reporting System (NIBRS) as appropriate, including hate crime data.
2. Domestic Violence report information is forwarded to the BCI, in accordance with the Ohio Revised Code.
3. In addition, this agency shall, at a minimum, submit data to the following data collection efforts, where appropriate:
  - a. FBI's Law Enforcement Suicide Data Collection
  - b. National Law Enforcement Accountability Database (when operational)
  - c. FBI's National Use of Force Data Collection
  - d. FBI's Law Enforcement Officers Killed and Assaulted Data Collection
  - e. Office of Justice Program's Deaths in Custody Reporting Act Data Collection

### **P. Records Repository**

1. The Records Section maintains a repository of records, which includes, but is 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 Records Manager is designated as the computerized Reports Management System (RMS) Administrator.
  - a. Backups are performed regularly, with databases backed up daily and incremental backups taken throughout the day. All backups are securely stored in geographically redundant cloud environments such as Azure Government or AWS GovCloud, which provide strong physical and logical security controls. Both full and incremental backups are scheduled to ensure data integrity and quick recovery. Full backups occur daily or weekly,

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- depending on the system, while incremental backups capture ongoing changes. Backups are retained for up to one year in secure cloud storage. Data is encrypted in transit and at rest using FIPS 140-2 validated encryption, and only authorized, background-checked personnel can access unencrypted information. All activities are logged and monitored.
- b. System recovery typically takes less than 24 hours in most scenarios. Accidentally deleted records can generally be restored from recent backups, provided the request occurs within the data retention period.
  - c. Access is tightly controlled using role-based permissions, multi-factor authentication, and least privilege principles. Only authorized and background-checked users can access sensitive data. Data centers are highly secure, with 24/7 monitoring, biometric access, and strict physical security measures.
  - 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, a lower-case letter, a number, and a special character at a 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 the Records Manager to confirm that access to the RMS is limited to authorized employees.
  - f. Employees are prohibited from using personally owned cellular devices to access the department's Records Management System (RMS) or Crime Analysis software. This restriction is necessary to protect Criminal Justice Information System (CJIS) data and ensure compliance with CJIS security requirements.
  - g. University-owned devices, including department-issued cellular phones and iPads, may be used to access these systems when configured and authorized in accordance with applicable security policies. Personally owned devices may be used to capture and upload specific media to a report through the Axon Capture feature; however, such use does not authorize access to the RMS or Crime Analysis systems from personally owned devices.
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 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. All records will be thoroughly reviewed and properly redacted before release, in full compliance with applicable Ohio and federal laws. This includes records requested from:
    - a. Outside law enforcement agencies
    - b. Insurance companies

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- c. The public, including students and parents
  - d. Agencies and companies conducting background investigations
  - 5. Daily Distribution of Incident Reports
    - a. Certain reports will be distributed daily 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 to be 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) International Affairs – reports involving exchange or international students.
      - 6) Parking – reports involving damage to a parking structure or equipment, and offenses which occur in a campus parking garage.
      - 7) 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.
      - 8) Risk Management – reports involving theft or damage to university-owned vehicles or property, and reports involving possible liability to the University.
      - 9) Student Affairs – any reports involving UC students.
      - 10) Student Conduct – reports which involve student misconduct.
      - 11) Title IX – reports involving Title IX violations.
  - 6. Ad Hoc Requests for Reports

All ad hoc requests for reports from other university departments will be directed to the Records Section to ensure proper processing, including required redactions and full compliance with university policies and applicable regulations.
  - 7. Distribution of the Daily Management Report
    - a. Daily, 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 Sealings/Expungements
- 1. When the records section receives a court order that a record has been sealed and/or 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

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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. Use the appropriate "Seal" or "Expunge" function within the RMS system to remove the involved person from the incident. For sealed records, any indexes will only contain the name, arrest date, and an indication of the record is sealed. Expunged records will be permanently deleted from the RMS in accordance with Ohio law. The records manager will change the name of the individual to "SEALED" or "EXPUNGED" in all narratives 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. Any records in need of disposal shall be delivered to the records office for appropriate documentation and destruction.

### **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 to the reporting system.

### **References**

UCPD Policy 12.3.400 Public Information