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| <p>Accreditation Standards: 82.1.1, 82.1.2, 82.1.3, 82.1.4, 82.1.5, 82.2.3, 82.3.1, 82.3.2, 82.3.3, 82.3.4, 82.3.5, 82.3.6, CFA 26.07, 32.01</p> <p>Revisions: 06/98; 12/99; 06/04; 03/05; 03/06; 05/07; 04/12; 05/17; 03/18; 09/18; 04/19; 09/19; 04/20, 1/22; 6/22;9/24</p> <p>References: FSS 119, 257.36, 316, 985; Rules of the FDLE, Chapter 11C-6; Title 28 Code of Federal Regulation; Records Schedule for Law Enforcement Agencies GS2</p> | <p>University of Florida Police Department</p>  <p>Department Standards Directive</p> | <p>Responsibility: Administration</p> <p>Pages: 15</p> <p>Related Documents:</p> |
| <p>TITLE: RECORDS MANAGEMENT PROCEDURES</p> | | |

1300 Records Management Procedures

1300.1 Purpose. The purpose of this directive is to establish operating procedures for ensuring the privacy, security, and maintenance of the Department's law enforcement records.

1300.2 Discussion. The University of Florida Police Department maintains an automated records management system which provides links to police dispatching, law enforcement field reporting, police records, evidence/property control, and investigative case management. All records, both automated and physical, are maintained in accordance with Chapter 119 of the Florida State Statutes relating to public records, and in accordance with Florida Department of Law Enforcement (FDLE) guidelines relating to Uniform Crime Reporting.

1300.3 Policy. It is the policy of the Department that a formalized system of records management be established which provides for the privacy and security of its law enforcement records, is maintained in a manner which facilitates ease of use and analysis, and complies with all of the provisions of Chapter 119, Florida State Statute (FSS), governing public records.

1300.4 Procedure.

A. Records Section Responsibility.

- 1.** The Records Section is established within the Department and is the central component for criminal records, non-criminal records, and records control.
 - a.** The Records Section is responsible for retention, maintenance, and dissemination of police records produced by the Department.
 - b.** All reports are submitted, after being reviewed for accuracy and completeness, to the Records Section. The Records Section is responsible for verification of case numbers against reports, coding, and disseminating criminal and non-criminal reports. From these

activities, statistical information for Florida Incident Based Reporting System (FIBRS)/ National Incident Based Reporting System (NIBRS) and reports are recorded.

- c. The Records Section shall maintain a centralized, automated (computerized) records system for information retrieval and collation for inter-agency and outside agency activities (e.g., offense/incident reports, arrest reports, traffic crash reports, and citations).
 - d. Reports (both current and historical), including sworn complaints, citations, and parking citations are maintained electronically in accordance with records retention requirements.
 - e. All reports and records are maintained according to departmental standards and state law in order to provide security and authorized access.
- 2. The Records Custodian, or designee, shall be charged with the responsibility of directing all functions regarding records information and management.

B. Records Section Function.

- 1. It is the function of the Records Section to serve as a support division in the maintenance of all offense/incident and supplementary reports, and other duties as assigned by competent authority.
- 2. The Records Section shall assist in providing citizen information and records duplication and release as appropriate and/or authorized.
- 3. Other functions of the Records Section shall include, but not be limited to, the following activities:
 - a. Maintain, provide or make available to police officers, specified personnel, and the general public: incident reports, supplementary reports, traffic crash reports, arrest reports, property reports, and miscellaneous reports.
 - b. Provide letters to persons verifying agency record checks.
 - c. Name candidating and daily records review.
 - d. Store and issue Uniform Traffic Citations and parking citations.
 - e. Receive, scan and attach to the original report all court dispositions.
 - f. Ensure that all court-ordered expungements and sealed records are in compliance.
 - g. Other functions as assigned.

C. Privacy, Security, and Control of Records.

1. Employee Access to Records.

- a.** Records information stored in computerized files is available 24 hours a day, seven days a week. The Records Custodian and designated personnel are the only employees authorized to add, delete, or change information in the various automated records management files.
- b.** During normal business hours, access to the Records Section is restricted to those employees assigned to work in the Records area, and to authorized employees who need access to conduct business.

2. Distribution of Records. All records distributed shall follow the guidelines set forth in the Constitution of the State of Florida, Article 1, Section 16 Rights of the accused and of victims (also known as Marsy's Law).

- a. Within the agency.** Reports requiring distribution to a specialty division shall be routed to the appropriate electronic queue by the reviewing supervisor.
- b. Outside the agency.** The Records Section shall be responsible for the distribution of reports to outside agencies upon the completion and approval of incident reports. Some specific situations will prompt such distribution without request by the receiving agency.
 - (1)** The entire case file for incidents involving an arrest, sworn complaint, or notice to appear, including confidentiality documents (related to Marsy's law, victim/witness documentation, etc), is electronically submitted to the State Attorney's Office.
 - (2)** The case report for incidents which indicate referral to Clery, Title IX, SCCR, BCT, UF Facilities, Environmental Health and Safety, or Risk Management will either be accessed by the receiving department through the portal or sent via email.
 - (3)** The case report for incidents indicating referral is requested involving a student from Santa Fe College, Florida State University, University of Central Florida, or University of South Florida.
 - (4)** The case report for incidents referring to HR involving UF faculty or staff..
 - (5)** Original Uniform Traffic Citations are physically delivered to the Traffic Court Clerk of Court by an FST or officer.
 - (6)** The entire case file for DUI's and .02 Violations as well as the driver license, when applicable, are electronically delivered to the Jacksonville Bureau of Administrative Review.
 - (7)** Juvenile civil citations are physically delivered to the Alachua County Sheriff's Office for teen court by an FST or officer.

- (8) A copy of the first page of the incident report, including the victim's name and contact information, shall be delivered to the Peaceful Paths Domestic Abuse Network within 24 hours of the incident as specified in FSS 741.29(2)(c).
 - (9) The case report for incidents involving referral for international students is emailed to UF International Center.
- 3. **Public Access to Records.** Records information is accessible to the public Monday-Friday, during regular business hours. Routine requests for records, copies of reports, and record checks can be made at the Records Section reception counter, or by telephone, mail, email, or fax. While the department will take any public information request, at any time during routine business hours, and through any manner in which it is provided, the department encourages the public to submit requests through the University of Florida Public Records Center online portal.
- 4. **Release and Review of Records.**
 - a. The Records Supervisor or designee will be the Department authority regarding the release and review of Department records to persons other than employees or criminal justice personnel. All requests for release of records to the media shall be coordinated by the PIO or designee with the assistance of the Records Custodian.
 - b. The primary laws governing the release of criminal justice and history records are Florida State Constitution Article 1 Section 16, Chapter 119, FSS, Rules of the FDLE Chapter 11C-6, and Title 28 Code of Federal Regulation, Part 20.
 - (1) The Records Supervisor or designee, or others as approved by the Chief, are the only persons authorized to release criminal reports.
 - (2) All inquiries for release of criminal reports will be referred to the Records Section.
 - (3) Copies of criminal reports released to other than Department personnel will be logged in the Records Release Log. The log will contain the case report number, name of person requesting a copy of the record, date record released, to whom the record was released, and who released the record. Public records requests can be anonymous.
 - (4) Sexual battery and juvenile records, and other records/reports exempt from release under the provisions of Florida State Statutes (119.071, FSS) and other applicable public records law will be maintained and protected in accordance with current records law.
 - c. Any employee allowing the visual review of any records will ensure compliance with appropriate law governing the right to privacy and public records access.
 - d. The Department is authorized to charge for copies of records requested, in accordance with 119.07, FSS. For requests requiring extensive time, the Department may also charge for the actual labor cost incurred in completing the request.

- (1) The Department may elect not to charge for small, individual report requests from the public that are handled on a routine basis by the Records Section.
 - (2) Large requests and/or requests that involve extensive time to research and prepare will be provided to the requestor upon payment of the applicable copy and/or labor charges, in accordance with 119.07, FSS.
 - (3) Any requests that require payment of charges must be coordinated with the Associate Director for Administrative Services.
 - (4) The Associate Director for Administrative Services may elect to waive the charge for copies or the need for prepayment, on a case by case basis.
- e. Release and review of records will be in compliance with the above, unless designated otherwise in the written procedures of this Department.

5. Juvenile Records. Juvenile criminal records shall be maintained separately from adult criminal records in accordance with Chapter 985, FSS. All juvenile records, including incident reports and identification records (physical or automated name file records, photographs, fingerprints), shall be clearly marked "Juvenile Confidential" or displayed as being a juvenile record. Juvenile records will continue to be maintained in the juvenile section even after the juvenile becomes an adult.

D. Control and Status of Report System.

1. Each call for service, or self-initiated service act will be assigned a unique sequential incident number in the order it is received. This function is performed by the Computer Aided Dispatch (CAD) system. When an incident requires that a report be generated, a case report number will be assigned.
2. Each shift supervisor shall conduct, on a daily basis, a review of the day's call for service activity, including call for service numbers, call type, and call disposition. The shift supervisor will then inventory all reports received that day against the activity report to ensure that all reports are accounted for and that all case report numbers are correct. If a report is missing, records personnel will determine whether the case number was issued in error or whether the report is being held for corrections, etc.

E. Crime Reporting (NIBRS/FIBRS). The Records Custodian shall be responsible for coordinating the classification and submission of crime data to the Florida Crime Reporting program in accordance with the procedures set forth in the Florida Department of Law Enforcement Uniform Crime Reporting Handbook.

F. Master File Indexes. Reports may be retrieved by location, type of incident, span of dates, or by name. This is achieved through automated indexing by the Department's automated Record Management System (RMS)

- 1. Service Calls and Crimes by Location.** This Department will maintain an index of incidents by location of incident. Location data from offense/incident reports, supplementary reports, arrest reports, and traffic accident reports are input into the automated RMS. An index is then maintained which facilitates the measuring of incident/criminal activity relative to geographic distribution.
- 2. Service Calls and Crimes by Type.** The Department will maintain an index of incidents by type of incident. Such index shall provide information regarding activity relative to reporting categories. This index system also provides for the separation of cases according to NIBRS/FIBRS crime categories and agency specific report categories.
- 3. Master Name Index.** The master name index is a file that includes the names of persons identified in field reports. The Department maintains an automated master name index, which can be accessed alphabetically, and serves as a cross-reference to documents in which a person has been named.
 - a.** Criteria for inclusion of names in the master name index is based on legal requirements and Department needs.
 - b.** Each business or person's name, along with associated AKA's, are created as an individual record. Retrieval of information is performed by entry of a business, person, or alias name, or by case number. This record will display the case number, type of incident, and nature of contact with the Department.
- 4. PII Personally Identifiable Information (PII).** PII is any information pertaining to an individual that can be used to distinguish or trace a person's identity.
 - a.** PII is defined as any one or more of types of information including, but not limited to:
 - (1)** Social security number
 - (2)** Username and password
 - (3)** Passport number
 - (4)** Credit card number
 - (5)** Clearances
 - (6)** Banking information
 - (7)** Biometrics
 - (8)** Date and place of birth
 - (9)** Mother's maiden name

(10) Criminal, medical and financial records

(11) Educational transcripts

(12) Photos and video including any of the above

- b. PII in both hard copy and electronic formats shall be accessed, used and protected in accordance with Florida state statutes.

5. Property Files. This Department will maintain an index of stolen, found, recovered, and evidentiary property within the automated RMS.

- a. The index record will contain, at a minimum, the type of property involved, serial number (if available), and a brief description.
- b. The automated property files will be maintained by the Records Custodian and Property & Evidence Custodian and can be accessed in the following ways:
 - (1) Stolen property – by case number, type of property, type of offense, serial number, and reporting date.
 - (2) Found property – by case number, type of property, serial number, name of finding party.
 - (3) Recovered property – by case number, type of property, serial number, and type of offense.

G. Traffic Records System. The Department maintains a traffic records system as part of its Automated Records Management System. Included in the traffic records system are traffic collision data, traffic enforcement data, and roadway hazard reports.

- 1. Traffic collision data shall be entered into the RMS by officers and shall include:
 - a. Report number.
 - b. Date and time of collision.
 - c. Location of collision.
 - d. Types of vehicles involved.
 - e. Roadway hazard information.
- 2. Traffic enforcement data shall be entered into the RMS by officers or the Records Section personnel using information provided by officers in Uniform Traffic Citations and shall include:

- a. Report number.
 - b. Uniform Traffic Citation number.
 - c. Issue date and time.
 - d. Name, race, sex, date of birth, and address of defendant.
 - e. Driver license number.
 - f. Vehicle registration number.
 - g. Location of offense.
 - h. Type of offense.
 - i. Offense statute number.
 - j. Whether the incident was traffic collision related.
 - k. Whether the incident was bicycle related.
 - l. Issuing officer.
 - m. Disposition and/or Arrest information.
3. Reports produced from information contained in the traffic records section of the automated RMS are generated either pre-formatted or ad-hoc. From these reports management will have the ability to analyze incidents of traffic crashes and traffic enforcement activity.

H. Control of Traffic Citation Records. This agency shall receive from the Department of Highway Safety and Motor Vehicles (DHSMV) appropriate Florida Uniform Traffic Citations meeting the requirements of Chapter 316, FSS, and any laws of this state regulating traffic, which shall be consistent with the state traffic court rules and the procedures established by the DHSMV.

- 1. Citations waiting to be issued shall be secure in the Records office area in a locked file cabinet or a lockable drawer. Access to the citations will be limited to those assigned to the records division or their immediate supervisor.
- 2. The handwritten Florida Uniform Traffic Citations will be entered into the RMS and scanned into the electronic file. Each Florida Uniform Traffic Citation will be accounted for by the citation number. A log shall be maintained of all number sequences and to whom the citations were issued. Upon issuing a Uniform Traffic Citation booklet to an officer, the officer shall certify that all citations are accounted for by receipt and return the original to the Records Section.

- 3. Police Officers shall be solely accountable for all Uniform Traffic Citations issued to them.**
 - a. If a citation is damaged while writing it or is not completed for any reason, the officer shall mark "void" across the citation, sign it, and place all copies into the traffic citation drop box prior to going off duty.**
 - b. If a citation(s) is lost/stolen, the officer shall write an incident report stating the reasons why the citation(s) was lost/stolen and forward, via report processing channels, to the Records Section.**
 - c. If an entire book of citations or any part of it is rendered unusable in any way, it shall be immediately turned into the Records Section.**
 - d. Upon termination of employment, an officer shall personally forward all unused citations to the Records Section.**
- 4. Every police officer upon issuing a traffic citation to an alleged violator of any provision of the motor vehicle law of this state shall take one of the following actions:**
 - a. If the citation is issued using the electronic system, a copy shall be given to the violator and an electronic copy goes to Central Records.**
 - b. If the citation is handwritten, the original is turned into Central Records.
The officer should retain the pink copy of the citation for his/her records.**
- 5. The Records Section shall within five days of the issued or spoiled citation being placed in the drop box, or of learning of a missing, lost or stolen citation, take one of the following actions:**
 - a. Issued citations are entered, scanned, and listed on a transmittal form and transferred to the Clerk of Court.**
 - b. All voided citations will be appropriately listed on the transmittal form.**
 - c. For inventory and retrieval purposes, the Records Section shall maintain an electronic log of issued citation numbers. Records Section personnel shall immediately notify the appropriate officer upon discovering discrepancies in the numbering sequence of returned citations.**
- 6. Under no circumstances shall an employee of this Department change, alter, or void a traffic citation other than the officer that signed the citation.**
- 7. If a citation has been issued and the issuing officer deems the traffic citation should be voided or changed as to the alleged charges, the officer shall submit a request for dismissal stating the reason(s) to the Records Custodian. The records Custodian will forward the request for dismissal to the clerk of traffic court on department letterhead.**

8. Records will conduct a semi-annual audit of all paper citations issued to the University of Florida Police Department.

I. Recording Arrest Information.

1. An offense report or supplemental report, as appropriate, shall be completed on all custodial arrests made by officers of this Department. This report shall include, at a minimum, a narrative explaining the circumstances that led to the arrest, the name of the person arrested, and the nature of the charges. Depending on the facts of the case, more detailed information may be required.
2. In all instances of custodial arrest (excluding arrest on warrant), the arresting officer shall complete an Arrest Report.
3. For all persons arrested and released at the scene an NTA shall be completed.
 - a. Whenever an NTA is used as the primary arrest record, the arrested individual's right thumbprint shall be placed on the summons.
 - b. The officer shall write "To Be Notified" in the section for the court date and should provide the individual a form including additional information about the State Attorney's Office's process.
 - c. The arresting officer is required to complete an offense report as accompanying documentation. The officer is to link the arrest information to the incident using the Case Report (CR) number included on the NTA that is being issued. The mandatory sections of the report shall be completed. The original NTA with the thumbprint shall be submitted to the Records Section and attached to the Arrest module to be forwarded to the State Attorney's Office.
 - (1) If more than one charge is involved, the arresting officer should use the same CR number for each charge.
 - (2) More than one NTA may be issued under one CR number.
 - (3) Multiple suspects in one incident may be included in one CR number.
 - d. If the NTA short form does not have sufficient writing space, the arresting officer will then use the University of Florida Police Department form UPD-TCS9/01 to include information required.
 - e. Once the NTA is completed, it will be submitted to a shift supervisor for review and submission. A shift commander will complete the final review and paperwork submission as currently practiced.

4. In all instances of juvenile arrest (whether detained or released), an Arrest Report shall be completed. The juvenile shall be clearly indicated as such in the name record.
5. In all instances of arrest on warrant, the Alachua County Sheriff's Office shall be notified and it shall be their responsibility to complete an Arrest Affidavit.
6. In all instances of felony arrest, whether adult or juvenile, a felony intake package shall be prepared.

J. Photographs. Photographs of persons arrested and taken into custody shall be taken at the following facilities:

1. Adult Offenders – Alachua County Sheriff's Office Department of the Jail.
2. Juvenile Offenders – Juvenile Assessment Center.
3. Any photographs of juveniles printed for use on-site shall be maintained separate and secure from those of adults.

K. Fingerprinting. Fingerprints of persons custodially arrested shall be taken at the following facilities:

1. Adult Offenders – Alachua County Sheriff's Office Department of the Jail.
2. Juvenile Offenders – Juvenile Assessment Center.
3. Any fingerprints of juveniles printed for use on-site shall be maintained separate and secure from those of adults.

L. Criminal History Files.

1. Criminal history transcripts are available through FCIC/NCIC and local offender database systems.
2. The Alachua County Sheriff's Office, Records Section, maintains a criminal history file on persons arrested by the University of Florida Police Department (except those who receive a Notice to Appear). These records are available to criminal justice agencies 24 hours a day. The file includes:
 - a. Fingerprint record.
 - b. Photographs.
 - c. Arrest affidavits.
 - d. Miscellaneous court orders.

3. The name of the arrestee is entered into the Department's automated master name file. When the arrestee's name is queried, any occurrence of arrest is listed.

4. Disposition.

- a. The Clerk of the Court will submit to this agency on a timely basis the disposition of all criminal cases that have been disposed of by the courts.
- b. The State Attorney's Office will submit to this agency a record of all cases that it declined to prosecute or dismissed with an underlying reason for the prosecutorial action taken.
- c. Upon receipt of either of these records, Records personnel shall post the disposition to the appropriate record for the charge(s) that were disposed of and scan and electronically attach the record to the report.

M. Wanted Person Records.

1. In all criminal incidents where arrest probable cause exists and lawful arrest is not practical or possible, the case should be submitted to the Office of the State Attorney for prosecutorial consideration. This is achieved by completing and forwarding to the State Attorney a Sworn Complaint and associated general incident report detailing the probable cause for arrest.
2. If the State Attorney decides to prosecute, then the State Attorney will authorize the Alachua County Sheriff's Office Warrant Section to enter the suspect(s) into the FCIC/NCIC wanted persons file. The Alachua County Sheriff's Office warrants files are available on a 24-hour basis.
3. The Alachua County Sheriff's Office is solely responsible for entering and canceling entries into the FCIC/NCIC wanted persons file.
4. Wanted persons and arrest warrants from other law enforcement agencies will be honored provided a teletype verification/validation of the warrant's existence and willingness to extradite are confirmed with the originating agency.
5. Arrest on the basis of teletypes will be fully documented to include names of verifying officials, utilizing the offense incident report form.

N. Records Maintained in Operational Areas.

1. Criminal investigative records shall be maintained electronically by the Investigations Division and shall consist of the following modules:
 - a. Case tracking.

- b.** Modus operandi.
 - c.** Pawn shop.
 - d.** Criminal intelligence information.
 - e.** Evidence, found, and recovered property.
- 2.** The Community Services Division shall maintain activity records consisting of the following categories:
 - a.** Crime prevention programming files.
 - b.** Campus security surveys files.
- 3.** Uniform patrol activity records shall be maintained electronically by the Patrol Division and shall consist of the following categories:
 - a.** Patrol shift staffing and deployment files.
 - b.** Nighttime Building Security program files. \
- 4.** The Communications Section shall maintain communications procedural documents.
- 5.** The Training Division shall maintain activity records consisting of the following categories:
 - a.** Employee training files.
 - b.** Training course files.
 - c.** Field Training Officer files.
 - d.** Uniform and police equipment files.
- 6.** The Special Event Commander shall be responsible for maintenance of all special event security files and any Reserve police officer program files.
- 7.** The Office of Victim Services shall be responsible for maintenance of all confidential records relating to crime victim advocacy.
- 8.** The Public Information Officer shall be responsible for maintenance of records relating to press releases and Department publications.
- 9.** The Administration Office Assistant shall be responsible for the maintenance of agency administrative correspondence and general administrative files.

- 10.** The Fleet Manager/Property Custodian shall be responsible for the maintenance of records relating to vehicle maintenance and Department inventory.
- 11.** The Business Office shall be responsible for:
 - a. the maintenance of records relating to payroll and leave for department employees.
 - b. the maintenance of records relating to purchasing and special event billing.
 - c. maintenance of financial records relating to the Health Center Auxiliary, Forfeiture Accounts, budget files, and file archive.
- 12.** The Captain for Administrative Services shall maintain activity records consisting of the following categories:
 - a. Employee medical files consisting of all records pertaining to employee physical and psychological fitness examinations. All medical files shall be maintained in a locked file cabinet. Access to the medical files shall be restricted to those persons legally entitled to review such records.
- 13.** Accreditation shall maintain activity records consisting of the following categories:
 - a. Accreditation files.
 - b. Historical policy files
- 14.** Internal Affairs shall be responsible for the maintenance of records relating to:
 - a. On-going investigations of alleged misconduct by Department employees.
 - b. Completed Citizen Complaint and Internal Investigations files.
- 15.** UFPD Human Resources shall maintain files relating to current and past personnel and candidates applying for employment with the Department.
 - a. An employee's personnel file is deemed a public record pursuant to the provisions of the Florida Public Record Act, Chapter 119 of the Florida Statutes. Department personnel records and files are considered to be open for a personal inspection by any person provided that such review is conducted in the physical presence of Human Resources staff or designee, during regular business hours with a reasonable notice. Files will be locked/secured when not being reviewed/inspected.
 - b. Department personnel files are duplicate files and not the official personnel files of the university.

- c. Whenever a Department personnel file is inspected or removed, the following information shall be logged : name/signature of requestor, name of personnel file inspected, reason for inspection, and the date inspected/removed.
- d. Duplication of any item contained in a Department personnel file shall be under the direction of the Captain of Administrative Services or designee.
- e. Only the Chief, or those authorized by the Chief, may remove a personnel file from the area in which it is ordinarily kept.
- f. Any sworn or civilian member's home address, telephone number, Social Security number, and children's school shall not be released except to Department personnel, for official Department business only.
- g. Pre-employment background investigations.

O. Records Retention.

- 1. All Department records will be retained and destroyed in accordance with Chapter 119, FSS, and the State of Florida Retention Schedules GS1-SL and GS2.
- 2. Unless at the direction of a court order, requests for records destruction must be coordinated with Records Management at UF through the George A Smathers Libraries.

1300.5 Glossary. None.

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Approved: _____
Bart Knowles, Chief

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