

NEW CANAAN POLICE DEPARTMENT

SUBJECT: RECORDS

GENERAL ORDER NUMBER: 88-4-48

FILE: SRVS 2

AUXILIARY & TECHNICAL

I PURPOSE/POLICY

The purpose of this general order is to provide the guidelines necessary to insure that the records unit is able to meet the operational, managerial and informational needs of the New Canaan Police Department.

II RESPONSIBILITY

It is the responsibility of all department personnel to adhere to this general order. It is the additional responsibility of the Commander of Staff Services, supervisors, investigators and records personnel to insure its compliance. The Captain of Staff Services is further designated as the Department's Terminal Agency Coordinator (T.A.C.) for the COLLECT, NCIC/NLETS terminals & MDTs utilized by the Department.

III PROCEDURES (ADMINISTRATION)

The Records Unit is a component of the Staff Services Section and is subsequently under the direct supervision of the Commander of the Staff Services Division. The Records Unit is responsible for the central records function of the Department.

A The Records Unit shall perform the following functions: secondary report review, report control, records maintenance, records retrieval and validation of COLLECT entries

1. Secondary Report Review - Initial report review is the responsibility of shift supervisors. These reviews shall be conducted in accordance with the procedures outlined in this general order. Once a review is completed and the report is approved, it is available to Records personnel via the LEAS records management program. The Records Unit shall conduct a secondary review of all cases requiring supplementary documentation and/or criminal arrests.
2. Report Control – The Records Unit will control the availability and confidentiality of all records and reports, including those recorded in the LEAS records management program.
3. Records Maintenance – The Records Unit shall accurately store, maintain and enter all pertinent data into the LEAS records management program and manual files in accordance with statutory requirements, departmental policies and procedures.
4. Records Retrieval – The Records Unit shall store and retrieve all records and reports, including those in the LEAS records management program.

5. Validation of COLLECT Entries – The Records Unit shall be responsible for conducting a secondary validation procedure of applicable COLLECT entries. This validation procedure shall be conducted to insure the accuracy, validity and status of the entries being made.

a. COLLECT entries that are subject to this review include:

- 1) Lost/stolen vehicle plates
- 2) Stolen vehicles
- 3) Wanted persons
- 4) Missing persons
- 5) Lost or stolen boats, guns and securities

b. This validation procedure shall be accomplished by:

- 1) Reviewing the original entry and supporting documentation
- 2) Consulting with the appropriate party or data bank (victim, prosecutor, court officer, DMV files, complainant, etc.)
- 3) When a discrepancy or omission is discovered the records personnel shall promptly notify the Desk Officer/Dispatcher or if available, the officer who initially entered the data so that the information may be modified.

B The New Canaan Police Department will document and maintain a record of all police activities within its jurisdiction reported by a member of the public, town employee, outside agency or department personnel

1. These documents will include the following categories of incidents:

- a. Citizen reports of crimes
- b. Complaints from citizens
- c. Citizens requests for departmental services including:
 - 1) When an officer is dispatched
 - 2) An employee is assigned to investigate
 - 3) An employee is assigned to take action at a later time
- d. Criminal and non-criminal cases initiated by departmental services
- e. Incidents involving arrests, citations or summonses

2. The documentation of this police activity may be in the form of the following:

- a. Computer Generated Data

- b. Daily Log
 - c. Incident/Arrest and Supplemental Reports
 - d. Summonses
- C** The documentation of all incidents reported to the police department will include the following information:
- 1. Date and time of the initial reporting
 - 2. Name of the complainant (when available)
 - 3. Type of incident/offense
 - 4. Disposition, date and time of the police action, if any
 - 5. Time of dispatch, arrival and clearance
- D.** Members of the New Canaan Police Department are required to assess the type of complaint and to use the appropriate form(s) necessary to record the incident completely and accurately. Generally, electronic forms are utilized in the completion of Incident/Arrest and accident reports. When reviewing the forms listing below, electronically generated forms are denoted with the designation of [EF] after the State or Department designation number:
- 1. Arrest Warrant Application (JD-CR-64)[EF]
 - 2. Arrest Warrant Facesheet (JD-CR-71)[EF]
 - 3. Bond Form (JD-CR-4) [EF]
 - 4. Cancellation/Voided Ticket (PD020)
 - 5. Cash Envelope (PD021)
 - 6. Certificate for Taking Blood Sample (PD022)
 - 7. Report of Suspected Child Abuse/Neglect (DCF-136) [EF]
 - 8. Evidence Bag (PD041)
 - 9. Evidence Tag (PD042)
 - 10. Family Violence Offense Report (SP-230-C) [EF]
 - 11. Fatal Accident Supplemental Report (PR-2)
 - 12. Found Property Tag (PD051)
 - 13. Incident/Arrest Report (PD080) [EF]
 - 14. Inventory of Property Seized Without a Search Warrant (JD-CR-18)
 - 15. Inventory of Property Seized with a Search Warrant (JD-CR-52)

16. Juvenile Summons and Complaint/Promise to Appear (JD-JM-95)
17. Liquor Referral Report (LC-5)
18. NCIC Missing Person File Data Collection Entry Guide (REV 2/06) [EF]
19. Motor Vehicle Accident Courtesy Form (PD121)
20. Motor Vehicle Accident Form (PR-1) [EF]
21. Motor Vehicle Entry Waiver Form (PD124)
22. Motor Vehicle Red Tag (PD125)
23. Narrative Report (PD130) [EF]
24. Notice of Rights Form (JD-CR-5) [EF]
25. Officers Arrest Affidavit (PD140)
26. Officer's DWI Arrest and Alcohol Test Refusal or Failure Report (A-44) [EF]
27. Police Emergency Exam Request Form (MHCC-1)
28. Prisoner Property Inventory Form (PD150) [EF]
29. Promise to Appear Form (JD-CR-13) [EF]
30. Property Report/Receipt (PD151) [EF]
31. Receipt For Seized Property Form (JD-CR-52)
32. Stolen Vehicle Report Form (H-108)
33. Uniform Arrest Report (JR-CR-21) [EF]
34. Victims of Crimes/Rights Card (SP54-222A)
35. Voluntary Written Statement (PD210)

E. An explanation of these forms, and their use are as follows:

1. Incident/Arrest Report - Used to document all complaints, both criminal and non-criminal in nature, investigated by the department. It is also used to document each arrest. Exceptions, which preclude an officer from completing an arrest/incident report include:
 - a. Motor Vehicle Accidents, excluding fatal accidents, will not be recorded on an incident report form

EXCEPTIONS:

- 1) Parking citations and infraction summonses generally do not require an Incident/Arrest report. When an infraction summons is issued, the incident details will be recorded on the back of the white and yellow copies of the Summons.
 - 2) Requests for officers by the public, which by nature of the request are designated as an "assist or service", do not require a case report. However, the Desk Officer/Dispatcher will record the incident and any pertinent details in the Computer Aided Dispatch (CAD) system
 - 3) All cases which have a disposition code indicating "Closed-No Report"
2. Supplemental Report - A supplemental report shall be completed by the investigating officer in all cases where it is necessary to continue an investigation. It may also be used to update, expand or include any information that may have been omitted from the initial report. This report shall also be used when a parallel or subsequent investigation occurs (i.e., When the Investigative Section or Youth Officer conducts a secondary investigation)
- a. A supplemental report shall be completed accurately and list all additional persons involved with the incident
 - b. The supplemental report will be reviewed by the shift supervisor. After it is approved, it is submitted to the Records Unit where it shall be attached to the initial incident report
4. Family Violence Offense Report - Completed in accordance with C.G.S. 46b-38a-f pertaining to family violence
5. Miscellaneous Reports - Other miscellaneous reports are to be used when a specific type of incident occurs. Examples include:
- a. Arrest Warrant Application - Used to document the probable cause needed when applying for an arrest warrant
 - b. Arrest Warrant Facesheet - Used to identify the suspect and the crimes they are charged with
 - c. Bond Form - Completed when an arrestee is released on a bond
 - d. Cancellation/Voided Ticket Form - Used to document the cancellation or voiding of a misdemeanor, infraction summons or parking ticket
 - e. Cash Envelope - Filled out and used to store bond and scofflaw receipts
 - f. Certificate for Taking Blood - Used when a suspect voluntarily submits to having a sample of their blood taken
 - g. Child Abuse Report - Completed when there is evidence of child abuse or neglect

- h. Consent/Refusal Form - Identifies a suspect's rights in regards to their refusing or consenting to a chemical analysis of breath, blood or urine
- i. Evidence Bag - Used to store small evidentiary property
- j. Evidence Tag - Affixed to evidentiary property which is not stored in the evidence bags
- k. Fatal Accident Supplement - Completed when there is a fatal motor vehicle accident
- l. Found Property Tag - Affixed to found property held by the department
- m. Inventory of Property Seized Without a Search Warrant - Completed when an officer receives or seizes property pursuant to an arrest
- n. Inventory of Property Seized with a Search Warrant - Completed when an officer obtains property as a result of a search warrant
- o. Liquor Referral - Completed when the evidence indicates that an establishment is in violation of CT liquor laws
- p. Missing Persons Report - Completed when either an adult or juvenile are reported missing
- q. Motor Vehicle Accident Courtesy Form - Completed in all cases when an officer investigates a motor vehicle accident. Each operator shall receive a copy
- r. Motor Vehicle Accident Injury Form - Completed when there is personal injury as a result of a motor vehicle accident
- s. Motor Vehicle Entry Waiver Form - Completed when a person requests that an officer open the door to a locked vehicle
- t. Motor Vehicle Impoundment Form - Completed when a motor vehicle is impounded
- u. Motor Vehicle Red Tag - To be affixed to a vehicle in accordance to C.G.S. 14-150
- v. Case/Incident Report - Contains summary/elements of an incident/arrest
- w. Notice of Rights Form - Used to document the advisement of a suspects constitutional rights
- x. Officer's Arrest Affidavit - A notarized affidavit signed by the arresting officer which states that the arrest report is accurate. It must be completed for all Felony, and Custodial Arrests where the arrestee has been held overnight for arraignment
- y. Per-Se License Suspension Form - Used to document the suspension of an operators license as a result of a DWI Arrest

- z. Police Emergency Examination Request Form - Used to explain why an officer believes a person is mentally ill and in need of immediate care and treatment
- aa. Prisoner Property Inventory Form - Used to document all possessions that have been removed from a suspect in custody. It is also used to record other information pertaining to the processing of the suspect
- bb. Promise to Appear - Used when an arrestee is released on their own recognizance
- cc. Property Report/Receipt - Completed when an officer receives or seizes property which does not result in an arrest
- dd. Receipt for Seized Property - Completed and given to the person whose property was seized in connection with an arrest or pursuant to a search warrant without an arrest
- ee. Stolen Vehicle Report - Completed when a motor vehicle has been reported stolen
- ff. Temporary Operators License - Used as a temporary operator's license as a result of a DWI arrest
- gg. Uniform Arrest Report - Completed for all In-house arrests excluding M/V offenses
- hh. Victims of Crimes/Rights Card - Given to the victim of a crime. The card explains what the victim's rights are and provides the names of organizations and services which are available to assist them. "If In Doubt, Give It Out."
- ii. Voluntary Written Statement - Completed when a voluntarily written statement will aid in the investigation or reporting of an incident

F The department utilizes a computer-generated case numbering system. The system assigns an incident number to a case as it is entered into Computer Aided Dispatch (CAD)

- 1. This System ensures that:
 - a. Each case is assigned an incident number
 - b. Each case is assigned a different number

G All reports submitted shall be reviewed by the Shift Supervisor(s). The supervisors are to ensure that all reports are complete, accurate and legible. Upon completing their review, they will signify their approval of the report by checking the "signed-off" box in the case management section of the LEAS program, which shall automatically attach his/her electronic signature to the report. If corrections and/or additions are warranted, the report will be forwarded electronically to the reporting officer for revisions. This review process will continue until the report receives final approval. As part of this review, supervisors shall screen the report for the presence of solvability factors.

- 1. Solvability factors to be considered when determining whether a follow investigation is warranted include:

- a. Suspect Name
 - b. Suspect Identification
 - c. Suspect Location/Address
 - d. Vehicle Identification
 - e. Witnesses
 - f. Property Traceable
 - g. Evidence present/collected
 - h. Modus Operandi Information
2. When a follow-up investigation is warranted, the officer involved will generally continue the investigation unless the circumstances and/or complexity of the case dictate otherwise. In such cases, supervisors may at their discretion, forward the case to the Investigative Commander for his/her review and followup. Any followup investigations will be tracked via the LEAS case management system.
- H.** When a report is approved and signed off by a shift supervisor, all sworn and authorized civilian personnel will have access to the report in a “Read Only” format. However, supervisory personnel responsible for the report review have the capability of locking out and/or limiting access to a particular report should such security be warranted. Examples of when this would be appropriate include:
1. Incident reports that contain information regarding juvenile suspects.
 2. When it is necessary to maintain confidentiality (i.e. for an ongoing investigation, etc.)
 3. Due to the general sensitivity of an incident (i.e. the identity of sexual assault victims, etc.)
- I** All requests for records information from outside agencies, departments and organizations will be handled by the Records Unit. However, exceptions to this may include joint investigations and/or assistance between investigative/patrol personnel and another law enforcement agency. In such cases, the Investigative Section may release information on an as needed basis and in accordance with applicable state statutes and/or departmental policies.
- J** During normal business hours, all sworn personnel shall have access to the Records Unit. Civilian personnel may access the unit with proper authorization. General access by the public is not permitted and access to juvenile records shall be limited to Records and Youth Services personnel. In the event that civilian contractors and service personnel require access, such access will be monitored at all times by police personnel. When the Records Unit is closed, access will be on an as-needed-basis and only when authorized. When entry is permitted, personnel entering the unit shall sign in and out on the log sheet located near the door. When accessing information contained in the Records Unit, the mandates which follow must be strictly adhered to.

1. Only copies of original documents may be removed from the records unit. Only under special circumstances and with the approval of the Commander of the Staff Services Division, may the original document be removed
2. Per *C.G.S. 29-16*, the information contained within the State Police Bureau of Identification (SPBI) databank is privileged and shall not to be disclosed except under the guidelines outlined within the statute. The Records Unit shall maintain a copy of these statutes and comply with their legal requirements when accessing information from SPBI
3. Records, reports and all other documents including electronic records and criminal histories, under the control of the Records Unit will be released to outside individuals and agencies in accordance with the guidelines established under *Connecticut General State Statute 11-8a* and the *State of Connecticut Records Retention and Disposition Schedule* which is published by the Office of the Librarian of the State of Connecticut
4. The Records Unit shall also comply with these statutory requirements and the *Retention and Disposition Schedule* in the maintaining, transferring and/or elimination of records

K The Chief of Police, Commander of the Staff Services Division, or their designee, shall be responsible for the development and modification of all forms used by this department. This will require that existing forms be reviewed to insure that there is no duplication of forms and that all required forms comply with statutory requirements

1. Department forms will be reviewed and evaluated on an annual basis to insure that they are consistent with records maintenance and state statute requirements
2. No department form will be used without prior approval

L The Records Unit is responsible for the handling the majority of the cash funds received by the department.

1. The Records Unit shall be accountable for the following:
 - a. Photo Copy Receipts
 - b. Gun Permit Receipts
 - c. Raffle Permit Receipts
 - d. Bond Receipts
 - e. Precious Metals Permit Receipts
2. The procedures for handling these funds are outlined in General Order 90-5-81, Fiscal Management, The procedures addressed include:
 - a. Designation of persons permitted to recover money
 - b. Receipt procedures
 - c. Accountability

- d. Security
- e. Audits

IV PROCEDURES (OPERATIONS)

- A** The Records Unit is responsible for maintaining the following categories of reports: Incident, Arrest and Motor Vehicle Accident Reports. All of these reports maintained electronically within the LEAS records management program. In certain cases, it is necessary to produce a printout of an incident/arrest report and/or accident report. When that occurs, the incident/arrest reports are filed sequentially by incident number. Accident reports are filed by accident location. Access to any information contained in the LEAS records management program is strictly controlled through the use of user profiles and password protection.
- B** The LEAS records management program allows for the cross-referencing of all incidents in which a person is named.
- C** The automated records system enables the Department to generate a report which indexes incidents reported by location. This information facilitates the measuring of caseloads relative to geographic distribution
- D** The automated records system enables the Department to generate a report which indexes incidents reported by type. This information may be utilized by the Investigation Section, as part of crime analysis
- E** The department's Property Management Clerk is responsible for the property management function of the department. This includes stolen, found, recovered and evidentiary property. A journal is maintained which lists all property received by this department. This information may also be accessed using the LEAS records management system.
- F** When an in-custody criminal arrest is made and that person is processed at the police department, all applicable documentation shall be completed by the arresting officer(s). This shall be accomplished using the LEAS records management system and Automated Fingerprint Identification System (AFIS).
 - 1. Documentation which must be completed for each arrest shall include:
 - a. Uniform Arrest Report (UAR)
 - b. Federal and State Fingerprint Cards (if fingerprints have not previously collected by AFIS)
 - c. Notice of Right Form
 - d. Prisoner Property Inventory Form (if applicable)
 - e. Case/Incident Report
 - f. Bond Form (if applicable)
 - g. Promise to Appear Form (if applicable)
 - h. Officers Arrest Affidavit (if applicable)

2. In addition to completing the aforementioned documentation, the arresting officer is required to take a set of photographs of the arrestee. Each set consists of a front and right side photograph. If the subject has been arrested by this department previously, the photo and identification number should remain the same as the number assigned during the previous arrest. Exceptions to this procedure include:
 - a. Warrant Arrest for an Outside Agency - The taking of fingerprints and photographs will not be required unless extenuating circumstances prevail (i.e. to validate an identity etc.). However, when it becomes necessary to fingerprint the arrestee and he/she refuses, the arrestee will not be charged with C.G.S. 29-12, as the fingerprints will only be used for internal use.
 - b. D.W.I. and Motor Vehicle Arrests - The taking of fingerprints will not be required.
 - c. Arrests involving Juveniles - The taking of a juvenile's photograph or fingerprint will not be conducted within the holding facility. Refer to General Order 88-6-50, Juvenile Operations and General Order 89-13-66, Booking Area & Holding Facility.
3. The records unit shall be responsible for maintaining the records associated with an arrest and for forwarding the appropriate documentation/transcripts to the court.
 - a. In addition to maintaining the documentation as described in section F. above, the Records Unit shall be responsible for maintaining any additional information which may be appropriate, which may include:
 - 1) Photographs
 - 2) Criminal History Records

G The records unit shall maintain an active warrant and wanted persons file. The procedures for such maintenance are outlined in General Order 90-8-84, Warrant Service.

H The records unit shall be responsible for maintaining the records of all traffic summonses issued by the department. The maintenance shall consist of:

1. Issuing Summons Forms to Officers - Officers will complete and sign the receipt attached to each summons book. The records unit shall process the receipt as follows:
 - a. A copy of the Infraction and Misdemeanor receipts will be retained by the Records Unit
2. Accounting for Summonses - Accountability for summonses shall be in accordance with General Order 89-15-68, Traffic Law Enforcement
3. Storing Summonses - Summonses not yet issued to an officer shall be rigidly controlled. A small quantity of summons books will be secured in the Communications Center and shall be accessed and issued by supervisory personnel only. All other summons books will be secured by records personnel in a locker located in the Found Property Storage Room

4. Cross Referencing - Summons information shall be entered into the Citation Management or Criminal History Sections of the LEAS records management system. This will allow for cross-referencing of information

I An arrest identification number is electronically created by the LEAS records management system and is assigned to each person involved in an in-custody arrest. The numbers are assigned sequentially and are infinite. The LEAS system ensures that once a person is assigned a number, that they will retain that number for any subsequent arrest. It also eliminates the possibility that a number will be duplicated or skipped

J Since 2003, the majority of documents generated by department personnel have been created using the LEAS records management system. Information contained in LEAS is accessible to personnel, but no longer requires the same maintenance and storage requirements of non-automated systems. However, the Records Unit still maintains an assortment of documentation generated within the agency either with the Records Unit itself or within a separate and secure storage area. Some documents, usually those being confidential in nature or containing information which should remain accessible to specific personnel, are stored outside the records unit.

1. The documents, both official and unofficial, which are stored and maintained by personnel outside the records unit include, but are not limited to the following:
 - a. Chief of Police - Personnel Records, Correspondence Files, Administrative Files, Internal Affairs File
 - b. Commander of the Staff Services Division - Property Management Files, Maintenance Files, Vacation/Sick time Files, Administrative Files
 - c. Commander of the Operations Division - Interdepartmental Memo File, Schedule File, Firearms File, Administrative Files
 - d. Investigative Section - Active Investigation File, Informant File, Fingerprint File, Photograph File, Active Internal Affairs File, Criminal Records File, Field Interrogation File
 - e. Youth Services - Public Education Files, Active Investigations Files
 - f. Training Office - Training/Career Development Files, Training Opportunity File, Administrative Files, Certification File, Application and Recruitment Files
 - g. Accreditation Office - Accreditation/Administrative Files
 - h. Animal Control Officer - Dog Registration and License Files

K The Records Unit shall ensure the integrity and privacy of juvenile records by:

1. Maintaining juvenile records in a separate file that is accessible only to Records Unit and Youth Services Personnel
2. Verifying that electronic reports which contain juvenile criminal history information are stored in a mode where they may only be viewed by authorized personnel

- L** The Records Unit shall be responsible for submission of crime data of all “*Type A & B*” offenses reported in this jurisdiction as defined in the National Incident Based Reporting System (NIBRS)
1. NIBRS codes shall be assigned to all applicable offenses and entered into the automated records system.
 2. A monthly NIBRS report shall be compiled and submitted in accordance with directives set forth in the “*Uniform Crime Reporting Handbook*” which is published by the Federal Bureau of Investigation
- M** All cases presented for prosecution will have the final disposition recorded by the Records Unit
1. When the Prosecutor's Office contacts this department concerning a case which may have been mishandled or dismissed due to the negligence on the part of the investigating officer, it is the policy of this department to have the case reviewed. The review shall be conducted by the Chief of Police or other designated authority

V **DISTRIBUTION**

This general order will be reproduced in electronic and traditional media. All sworn personnel shall have access to Department general orders through a read-only file on their individual domain of the Department's computer server. Printed copies and/or CD's will also be placed in the Communications Center, Chief's Office & Accreditation Office

VI **EFFECTIVE DATE**

This general order approved by the Police Commission on May 16, 1990, and is effective June 18, 1990.

Revised January 1991
Revised June 1997
Revised April 2000
Revised December 2005
Revised May 2006
Reviewed July 2009

Per order,

Edward J. Nadriczny
Chief of Police