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| <p>RABUN COUNTY SHERIFF'S OFFICE</p>  <p>General Order Number: 11.01</p> | <p>Date of Issue</p> <p>02/23/2016</p> | <p>Effective Date</p> <p>02/23/2016</p> | <p>Revision Date</p> |
| <p>Subject: Records Management</p> | <p>Amends:</p> | <p>Rescinds:</p> | |
| <p>Index as:</p> | <p>State Certification Standards: 5.24, 6.1, 6.2, 6.3, 6.4</p> | | |

PURPOSE

The purpose of this General Order is to prescribe the policies and procedures of the Rabun County Sheriff's Office regarding Records Management.

STATEMENT OF POLICY

It shall be the policy of the Rabun County Sheriff's Office that a Records Section be established and maintained for the purpose of report control, records management and storage.

DISCUSSIONS

The Records Section is responsible for the records functions that are basic to meeting the management, information, and operational needs of the Rabun County Sheriff's Office.

The following tasks relating to the generation and compilation of certain records are performed at the Rabun County Detention Center. The Rabun County Detention Center's records generation and compilation is

designed to reflect the system recommended by the Georgia Crime Information Center (GCIC), and its training for appropriate employees to ensure the effective performance of the job-specific task relating, include but are not limited to:

- the use of the Georgia CJIS system;
- use of the National Crime Information Center (NCIC);
- entering, updating and canceling GCIC/NCIC entries;
- GCIC and Law Enforcement Data Forms (LEDS) worksheets used to enter, add, cancel or delete information in the GCIC/NCIC systems;
- National Law Enforcement Telecommunications Systems;
- security and dissemination of criminal history record information;
- state and national Uniform Crime Reporting (UCR) Programs;
- fingerprinting of arrested persons;
- the initiation of Offender Based Tracking System (OBTS) forms; and
- generation of Arrest/Booking Reports recording the details of an arrest and booking performed at the Rabun County Detention Center.

DEFINITIONS

F.T.E.P. – Field Training and Evaluation Program

UCR - Uniform Criminal Reporting. Each law enforcement agency is required by law to participate in the Uniform Crime Reporting (UCR) program.

OCGA - Official Code of Georgia Annotated

CRIMINAL JUSTICE HISTORY INFORMATION – Information collected by criminal justice agencies on individuals including: identifiable descriptions and notations of arrests; detentions, indictments, accusations, and information of other criminal charges, and any dispositions arising therefrom, including sentences, correctional supervision and releases.

RCDC – Rabun County Detention Center

RESTRICTED INFORMATION – Information involving data gathering techniques, Criminal Justice Information System (CJIS) network operational procedures, manuals and forms.

SECRET - Information involving elements of the operation, programming, and security constraints of the GCIC/CJIS and satellite computer systems.

RESPONSIBILITIES

1. The Records Supervisor is the Chief Deputy and is responsible for:
 - A. The day-to-day supervision of the department's Records Section;
 - B. Enforcing the records management procedures outlined below;
 - C. Training assigned personnel
 - D. Maintaining security of and controlling access to Sheriff's Office records.

2. Responsibilities of the Records Clerk are as follows:
 - A. To ensure that all reports received and maintained are complete and in compliance with all directives;
 - B. To review all incoming reports to be maintained by the Sheriff's Office;
 - C. To ensure that a record is kept through a master name indexing system for all complaints received as a result of daily requests for services;
 - D. To enter all reports designed for retention;
 - E. To retrieve and copy all reports for official purposes and citizen requests;
 - F. Distributing copies of forms and reports to the courts, prosecutor, probation, defense attorneys, and or victim when required;
 - G. To receive and deliver to appropriate individuals all fingerprints by Sheriff's Office uses;
 - H. Indexing and filing Agency copies of all reports
 - I. Forwarding custodial papers to the Georgia Department of Corrections (DOC) on sentenced inmates: records clerk fills out affidavit and delivers to Clerk of Court, who delivers to DOC;
 - J. Forwarding fingerprint cards to GCIC; performed by RCDC;
 - K. Forwarding criminal dispositions requested; performed by Clerk of Court
 - L. Entering, updating and canceling GCIC/NCIC entries (in coordination with the Communications Center); performed by the RCDC
 - M. Extracting data which are needed for the UCR and existing internal reports, and generating these reports; records clerk obtains raw data and passes it to the Terminal Agency Coordinator (TAC) to execute the report into the GCIC system;
 - N. Records Processing—All forms used in the Incident Reporting and Records Management System will be processed by the records clerk. These forms and duties are outline below:
 1. The following reports are to be completed by responding deputies as needed. Complaint Card (accomplished by dispatch), Incident Report, Miscellaneous Incident Report, Supplemental Report, Uniform Traffic Ticket, or Accident Report. Information from these reports are used for:
 - a) Extracting data needed to be complete the UCR and monthly Agency reports;
 - b) Preparing separate index cards for each complaint, victim, suspect, missing person, alias, or arrested person in a case for incorporation in the Master Name Index as designed by the Agency;
 - c) Storing documents in the appropriate files.

2. Master Name Index Card—Used as a “pointer” to all reports when they must be referenced by a person’s name;
3. Arrest/Booking Report—Provides details of the arrest, booking and court disposition. Used for input into UCR and filed in Arrest File and Case File; and
4. GCIC and Law Enforcement Data Forms (LEDS) Worksheets—Used to enter, add, cancel, delete information to the GCIC-NCIC System. – Performed at the RCDC

O. Creating and maintaining a criminal history file on each arrested person.

14-I. INCIDENT REPORTING & DOCUMENTATION

Official record shall be prepared and maintained to document every reported activity, whether originated by a citizen or Rabun County Sheriff’s Office employee. Employees will record information for the following categories of incidents, which occur in Rabun County:

1. Citizens report of crimes;
2. Citizen’s complaints requiring reports;
3. All citizen requests for the services of the Rabun County Sheriff’s Office when a deputy is dispatched, or a deputy is assigned to take action at a later time
4. Criminal and non-criminal cases initiated by or coming to the attention of Rabun County Sheriff’s Office personnel;
5. All automobile accidents reported to the Rabun County Sheriff’s Office;
6. Reported incidents involving arrests, citations, or summonses.

II. REQUIRED INFORMATION

All reports and records maintained to document Rabun County Sheriff’s Office activity will contain, at a minimum, the following information:

1. Date and time of initial report;
2. Name, if available, of citizen requesting the service, or victim’s or complainant’s name;
3. Case Number;
4. Nature of incident;
5. Location of incident;
6. Deputies assigned as primary and backup;
7. Date, time and type of action taken, if any, by law enforcement personnel.

III. SUPERVISORY REVIEW OF REPORTS

1. Report review is delegated to and the responsibility of the immediate supervisor of the reporting deputy. This review is made to ensure completeness, accuracy, and timeliness of all reports submitted, and that all reports prepared according to the guidelines of the field reporting system. The supervisor will also check the report for legibility, completeness and accuracy, and will have unsatisfactory reports corrected by the writer.
2. Supervisors will make every attempt to review all Incident and Accident Reports prior to ending their shift, but in all cases, reports will be approved no later than the next working day following the

incident. Supervisors will indicate approval by entering their name in the approval field on the Incident Report.

3. When any supervisory deputy approves a report, it will be assumed that the supervisor is in concurrence with the contents of the report unless notes are made to the contrary.
4. All supervisors within the chain of command have a responsibility to ensure that field reports are prepared properly and submitted to the Records Section following the first line supervisor's review; intermediate supervisors should spot-check reports for accuracy and completeness.
5. The Records Section will conduct a secondary review of reports to ensure all attachments are submitted as required and that the report is completed properly.
6. In those instances when a deficiency in the report is noted, the Records Section will notify the appropriate Division Commander by returning the original report with a cover sheet reflecting the necessary changes. A copy of the report will be retained in the Records Section.

IV. CASE NUMERING SYSTEM

A single numbering series is used for all incidents in which a report is generated. The incident number is assigned by the Rabun County Sheriff's Office computer software program (InterOp) and is the starting point for all reports generated by the Rabun County Sheriff's Office. The InterOp system is updated every 24 hours on a backup server, and supported by an outside software company, SSI.

- A. The InterOp program automatically records the date and time the report is generated. Incident and Vehicle Crash and Accident reports are assigned a number automatically by the software application (InterOp) implemented by the Rabun County Sheriff's Office. This method ensures that all complaints receive a case number and no number can be duplicated or omitted.
- B. Each case number is assigned in sequential numerical order and will be in the following format: The case number is consecutive. This method ensures that all complaints receive a case number and no number can be duplicated or omitted. At 12:00 a.m. on January 1st of each year, the case number starts with a the four digit year number, then the two digit month number, then the first report suffix number will be 001 and run consecutively until 11:59 p.m. on the last day of the month. The following month will have the same order, except that the "month" digits are updated.

V. SEPARATION OF JUVENILE AND ADULT RECORDS

1. All juvenile and adult records will be kept separated and not co-mingled when stored.
2. Juvenile records are kept in a locked file cabinet in the records section file room.
3. The Records Section Supervisor will maintain the key for the file cabinet.
4. All computer entries of juvenile are accessed by computer code and are not printed on any publicly released record unless court ordered.

5. The Records Section will not maintain criminal history records on persons under the age of 17 except those individuals directed by court order to be treated as adults.
6. Copies of these reports will be furnished to none other than law enforcement personnel.
7. Other persons making inquiries about or requesting copies of these reports will be referred to the Rabun County Juvenile Court.
8. Fingerprints, photographs, and other forms of identification pertaining to juveniles shall be kept separate from those of adults. Fingerprint cards shall be retained in the Records Section and will be forwarded, along with all personnel identification data, to the Georgia Crime Information Center of the Georgia Bureau of Investigation.
9. Unless ordered by the Juvenile Court (O.C.G.A 15-11-60), juvenile records and files shall not be open to the public inspection nor shall their contents be disclosed to the public. Inspection of the records and files is permitted by:
 - A. Juvenile Court having the child appear before it for any proceeding;
 - B. Counsel for a party to the proceedings, with the consent of the court;
 - C. The deputies of public institutions or agencies to whom the child is committed;
 - D. Deputies when required to perform their official duties;
 - E. A court in which the child is convicted of a criminal offense;
 - F. Officials of penal institutions and other penal facilities to which the child is committed;
 - G. A parole board;
 - H. Any school superintendent, principal, assistant principal, school guidance counselor, school social worker, school psychologist certified under Chapter 2 of Title 20, or school deputy appointed pursuant to Chapter 2, 3, or 8 of Title 20 when necessary for the discharge of his or her duties
 - I. Authorized representatives of the Department of Human Resources, the Department of Corrections, and the Council of Juvenile Court Judges for the purpose of obtaining statistics on juvenile offenses.

VI. RECORDS RETENTION SCHEDULE

1. Incident and Accident Reports will be retained until no longer needed or space is not available. Reports will then be boxed, labeled, and transferred to the archive storage facility.
2. The retention of all records will be in accordance with the records retention schedule minimum requirements of the Georgia Archives Records and Information Management Services. Any records set to be destroyed by accordance with the published standards will be destroyed by shredding or burning.
3. The Juvenile records will be maintained separate from the Adult records after the Juvenile reaches adult age. The records will be retained until no longer needed or space is not available.
4. The expungement of Juvenile records will only be processed when ordered by the court.

VII. SECURITY AND ACCESS TO RECORDS

1. Unauthorized personnel shall not be allowed access to the Records Section. Access shall be restricted to those individuals with a physical need to be in the Records Section or being escorted by Records Personnel.
2. Access to records and security measures are provided by Sheriff's Office employees who control each records holding location. Records will be secured under lock and key whenever assigned employees are not physically present.
3. All records will be maintained in the Records Section or alternate secure storage area.
4. All in-custody inmate records will be maintained at the Rabun County Detention Center. Inmate records of subjects who are no longer detained at the Rabun County Detention Center will be stored in the Records Section.
5. Current central records information is accessible at all times to operations personnel through use of the agency's computer reporting systems.
6. GCIC Criminal History Records.

VIII. UNIFORM CRIME REPORTING (UCR) PROCEDURES

1. All Incident Reports, when entered are automatically computerized for the purpose of indexing the file and compiling UCR report data.
2. All Sheriff's Office UCR submissions will be made in accordance with the procedures outlined in the FBI's Uniform Crime Reporting Handbook.

IX. FIELD REPORTING SYSTEM

1. Members of the Rabun County Sheriff's Office 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. The Rabun County Sheriff's Office Records System depends on the work product of the deputy in the field. Forms generally used in the field reporting include:
 - A. Incident Reports; Accident Reports
 - B. Supplemental Reports (incident and accident)
 - C. Miscellaneous Incident Reports
 - D. Georgia Uniform Traffic Citations and Warnings
 - E. Field interrogation Reports
2. Incident reports will be completed on criminal acts, as described in the UCR Code which are brought to the attention of a deputy and occur within Rabun County, even if the complainant does not wish to file charges or have a report made. Incident Reports will be completed to record certain specified types of information of a non-criminal nature. Such incidents include: suicides, attempted suicides, deaths that are non-vehicular related, impoundment of vehicles, and missing adults and juveniles.
3. As Georgia Uniform Accident Report will be completed by a deputy for accidents involving any of the following:
 - A. Death or injury
 - B. Property damage of \$500 or more
 - C. Hit and run
 - D. Impairment due to alcohol or drugs
 - E. Hazardous materials
 - F. Damage to public vehicles or property
4. All of the above cases occurring on public streets and highways will require an accident report as required by O.C.G.A. 40-6-2. Accident reports will be made on private property when a crash occurs in areas normally open to the public; when reckless driving, DUI, or homicide by vehicle is suspected; or in other cases specified by O.C.G.A. 40-6-3. For all other traffic accidents that occur on private property, a Private Property Accident Report will be used.
5. A Supplemental Report will be submitted by the investigating deputy when it is necessary 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 information pertaining to juveniles, investigative leads, names of suspects, and any unsubstantiated information which could be of investigative use such as intuitions, hunches, possibilities, etc.) The Supplemental Report will be attached to and/or filed with the original incident report.
6. A Georgia Uniform Accident Report Supplemental will be submitted by the investigating deputy when it is necessary to explain, expand, or continue with information from the accident report, or to amend an originally submitted report with further information (follow-up information from a hit and run accident, chemical test results, etc.)
7. A Miscellaneous Incident Report is to be used by deputies:

- A. When an incident is not criminal but the deputy feels the need to document an occurrence.
- B. Anytime a citizen specifically asks for a report to be written or incident to be documented.
- C. Anytime Policy calls for an action to be documented, i.e. deputy's Use of Force such as pointing a weapon at a homeowner during an alarm or building clearing call, or handcuffing a suspect during a field stop, etc.

X. INCIDENT REPORTS

1. Field reports will be completed in accordance with the GCIC standards and the lesson plan for the report writing in the Basic Mandate Course and in the Advance Report Writing Course.
2. Employees assigned to an incident that requires the initiation of an incident report will complete the initial report prior to the end of their scheduled duty period unless circumstances require extensive follow-up information gathering. If additional information is required it will be obtained as directed by the Shift Supervisor and recorded on a Supplemental Report.
3. Supervisors will make every attempt to review all Incident and Accident Reports prior to ending their shift, but in all cases reports will be approved no later than the next working day following the incident. Any noted deficiencies will be brought to the attention of the preparing deputy for appropriate corrective action.
4. Incident reports may be taken by telephone for non-emergency/not in progress incident from deputies who are certified and have completed the agency's F.T.E.P. These incidents would include those with no witnesses to the crime or evidence to process. The following calls may be taken by telephone:
 - A. Theft by taking
 - B. Gas drive off
 - C. Criminal Trespass
 - D. Criminal Damage
 - E. Animal Investigation
 - F. Zone Patrol Information
 - G. Information for deputy
 - H. Lost/Stolen property including vehicle tags/decals
 - I. Harassing phone calls
 - J. Terroristic threats
 - K. Other complaints that do not require a deputy to respond to the scene, or where a victim/complainant does not request an on scene response.

XI. DISTRIBUTION AND STATUS OF RECORDS

1. All original copies of reports will be forwarded to and stored in the Records Section.
2. Copies of originals or computer-generated copies shall be used for working copies.

3. Reports will be distributed monthly to other agencies as follows:
 - A. The original copy of all accident and traffic fatality reports that are reported on the Uniform Motor Vehicle Accident Report unless specifically noted as "Sheriff's Office Use Only" to:

GA Department of Public Safety Accident Reporting Unit

P.O. Box 1456

Atlanta, GA 30371-2303

- B. Prior to mailing the original report, the records division will make a copy to keep on file at the Rabun County Sheriff's Office.

4. One copy of all traffic fatality reports to:

Department of Transportation/Traffic and Safety

State Accident Investigator

5025 New Peachtree Road

Chamblee, GA 30341

XII. MASTER NAME INDEX

1. All reports will use names as a common source for report retrieval.
2. Once a name inquiry is entered into the computer, the system will retrieve and display every case number, date and incident type associated with that name.
3. Incident Reports and Traffic Accident Reports will also be indexed according to Incident type and Incident location, which can be done by using a grid search or offense code search.
4. The data file will also be used by the Rabun County Sheriff's Office Crime Analyst to generate monthly and other statistical reports as required.

5. Originating Case Agency Identification Number (OCA)

A. Once a person has been arrested, he is assigned a unique number and all subsequent arrests and information concerning the person is referenced to his criminal history jacket. Through this system the person arrested will have only one number assigned to his folder during their life of criminal activity.

B. The Central Records Unit, on a computerized document, maintains the OCA numbering system. The Records Clerk generates the unique number on the OCA numbering system. The Central Records Management System maintains a criminal history file on all persons arrested. The criminal history files include the following documents:

- a. Unique identification number
- b. Copy of finger print card
- c. Photographs
- d. Arrest and booking sheets
- e. First Appearance documents
- f. Copies of traffic citations (original to court)
- g. Warrants executed
- h. Copy of Affidavit of Custodian (original to Clerk)
- i. Responses to ORA requests
- j. Bond documents

XIII. RECORDS MAINTAINED OUTSIDE OF THE RECORDS SECTION

1. Reports generated by Rabun County Sheriff's Office personnel are maintained in the Sheriff's Office computer system. Hard copies of originals are maintained in the Records Section. Some records, usually of a confidential nature or containing such information, which renders them more appropriately stored in a specific unit or section, are maintained outside of the Records Section.

3. Records that are maintained by the Sheriff's Office operational components include, but are not limited to:

- a. Criminal Investigations Division: Active case files and statistics, intelligence files, special investigative files, confidential informant files;
- b. Uniform Patrol Division: Traffic citation log books, records, and personnel leave requests.



By Order of the Sheriff: **Chad K. Nichols**
Sheriff, Rabun County