



California State University, Los Angeles
Department of Public Safety

NUMBER: II-6 APPROVED: _____
Joseph Curreri, Chief of Police

EFFECTIVE: March 28, 2013

SUPERSEDES: 11/26/2012 Reviewed/Revised: March 28, 2013

SUBJECT: **Records Administration**

I. PURPOSE.

The purpose of this directive is to establish the policy and procedures of the Records Unit administrative functions that are basic to the management, operational, and information needs of the agency.

II. POLICY.

The Records Unit of the University Police shall function in accordance with agency policy, local ordinance, and state and federal laws pertaining to the privacy and security precautions as they relate to agency records and criminal history information.

III. DEFINITIONS.

- A. Authorized Person or Agency. Any person or agency authorized by court order, statute, or decisional law to receive CORI.
- B. CORI. Criminal Offender Record Information.
- C. Criminal Justice Agency. Any person or component thereof which performs a criminal justice activity as its principal function.
- D. Criminal Justice Information. Records and data compiled by criminal justice agencies for purposes of identifying criminal offenders and summaries of arrests, pretrial proceedings, the nature and disposition of criminal charges, sentencing, incarceration, rehabilitation and release.
- E. Juvenile Records. Juvenile records are those records pertaining to an individual under the age of eighteen (18). Welfare and Institutions Code Section 827 gives the juvenile court control over the release of all juvenile information to be disclosed to third parties by any law enforcement official.
- F. Need to Know. CORI is essential to complete official duties.
- G. Records Check. Means for obtaining the most recent Arrest & Conviction Record from the California Department of Justice.
- H. Records Security Officer. The employee of the Department who is given the authority and responsibility to enforce record security regulations.
- I. Right to Know. Individual, group, or entity entitled and authorized to obtain CORI.

IV. PROCEDURES.

- A. Privacy and security precautions for agency records.
 1. Guidelines for the collection, dissemination, retention, and separation of Juvenile Records from Adult Records.
 - a. Juvenile criminal records shall be physically and securely separated from adult criminal records.
 - b. All juvenile criminal records shall be filed in a pink file folder clearly labeled "JUVENILE" to include the juvenile's name, report number, and charge. A pink cover sheet labeled "Juvenile" shall be attached as a cover to the original report.
 - c. A pink sheet of paper indicating "Juvenile Report" and case number shall be inserted in numeric order in the adult case file for cross-reference purposes only.
 - d. The juvenile file and juvenile case jackets shall be placed in the "JUVENILE" file drawer, located in a file cabinet secured in the Records Office.
 - e. Physical security and controlling access to the hardcopy juvenile files is restricted to the Records Office Supervisor and Records clerks.
 - f. Crime reports containing juvenile information that are entered into the Automated Records Management System (ARMS) initially by police officers cannot be accessed or viewed by anyone other than the systems administrator, also known as the Records Supervisor. Access levels of ARMS is established and controlled by the Records Supervisor.
 2. Procedures for the collection, dissemination, and retention of fingerprints, photographs, and other forms of identification pertaining to juveniles.
 - a. The Records Supervisor will be responsible and accountable for the collection, maintenance, dissemination, retention, and destruction of juvenile records.
 - b. Upon receipt of a juvenile case, the Detective or Records unit shall collect, assemble, and disseminate the juvenile case jacket to the Records division. The case jacket shall include:
 - 1) A fingerprint card, photographs, and copies of any other forms of identification of the juvenile that are available.
 - 2) All criminal history information.
 - 3) The case jackets shall be secured and retained with the juvenile file in the Record's Office.

- c. Juvenile records are not to be released under the same state and federal laws that pertain to adult records. The exception would be if the juvenile committed what is deemed a serious offense.
 - d. All juvenile arrest and identification records will be collected, retained, disseminated, and destroyed in strict compliance with existing statutes, decisional law, and policies or orders by the Juvenile Court.
 - e. Juveniles will not be fingerprinted and photographed on a routine basis. If the Officer determines that fingerprinting and photographing of the juvenile offender could be necessary (e.g. serious offenses and felonies), he or she will obtain approval from the Watch Commander.
 - f. All juvenile arrest and/or identification records (fingerprints, photographs or physical descriptions) will be affixed to the original report and clearly marked **JUVENILE** prior to copying or filing.
 - g. The collection, dissemination, and retention of fingerprints, photographs, and any other form of identification pertaining to juveniles shall be strictly limited and controlled.
 - 1) Access to juvenile records will be limited to those with both “a right and a need to know.” This will be in strict compliance with all existing State and Federal Laws.
 - 2) The Records Supervisor and/or Records staff will control dissemination of any juvenile records.
 - 3) Juvenile records that are disseminated will be documented in written form within the case file indicating information disseminated, receiving authority, date, and agency representative authorizing release.
 - h. A juvenile, upon reaching adult age, may petition to have his or her record sealed. A request may be sent directly to the department for consideration to be reviewed by the Chief of Police. If the agency denies the request to seal the record the individual may pursue a court order to seal the record.
 - i. Upon receipt of a court order to seal the juvenile’s record, the Records Supervisor shall comply with the court order and forward a copy of such order to all agencies that participated in the arrest.
 - 1) The Records Supervisor shall immediately provide a copy of the court order to the California Department of Justice (DOJ).
 - 2) The court order and case materials shall be sealed in an envelope and the date of destruction shall be clearly indicated.
 - 3) Upon reaching the destruction date the record shall be shredded.
3. Physical Security and controlling access to agency files.
- a. The Records Office supervisor shall ensure the Record Office is secured and locked when Records Office employees are not in the office.

- b. All files in the Records Office shall be locked during non-business hours.
 - c. No original files shall ever be removed from the Records Section without the authority of the Records Supervisor or the Chief of Police.
 - 1) Reports shall be copied for Detectives and Dispatch.
 - 2) If officers need an additional report, they may request one in person during business hours, or in writing directly to the Records Supervisor.
 - 3) No copies of reports in Dispatch, Investigations, or those in possession of the officers shall be disseminated outside of this agency without approval of the Records Supervisor or the Chief of Police.
4. Procedures and criteria for the release of agency records.
- a. Release of adult criminal records shall be in accordance with agency policy, local ordinance, and state and federal laws.
 - b. The privacy and security of criminal history record information shall be in accordance with the U.S. Department of Justice Regulations, 2B Code of Federal Regulations Part 20, "Criminal Justice Information Systems," regarding the dissemination, completeness, and accuracy, audits, security requirements, access and review.
 - c. Defined in California Public Records Act, "public records include any writing containing information relating to the conduct of the public's business prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics." Based upon this definition, the report of crimes and incidents written in the daily course of business of a law enforcement agency are public records and subject to release under the Act, with certain exemptions.
 - d. The agency maintains the security information of agency records according to the California Public Records Act, Government Code 6250-6265, requiring that specific information be released unless the release would endanger the safety of a person or endanger the successful completion of an investigation.
 - e. The Records Supervisor shall refer to the Commission on Peace Officer's Standards and Training (POST) Law Enforcement Records Management Guide and/or consult the POST Management Counseling Services Bureau for issues surrounding records management that may require additional research.
 - f. Request for Release of Information.
 - 1) Police Reports:
 - Requesting party must complete a CSULA University Police Report Request form (Appendix A).

- The form is presented to the Cashier's Office. At which time the requesting party is required to pay a fee (Government Code Section 6254) in the amount of \$5.00 and insurance company requests are \$15.00.
 - The receipt is returned along with the request form to the Custodian of Records for processing.
 - Requests from insurance companies or authorized representative-agent of the victim are attached to the report.
- 2) Juvenile Records:
- Juvenile records are those records pertaining to the individual under the age of eighteen (18).
 - Welfare and Institutions Code 827 give the juvenile court control over the release of all juvenile information to be disclosed to third parties by any law enforcement official.
- 3) Written Directive II-1, *Overview Guidelines Records Management*, provides detailed information on the release of information.

B. Record Retention Schedule

1. A record retention schedule shall be consistent with legal requirements as outlined in the POST Records Management Guide.
2. The record retention schedule shall include:
 - records to be retained;
 - retention period reference suggested by government agencies such as the DOJ, CHP, Courts, and Government and Penal Code Sections; and,
 - campus suggested retention periods shall also be indicated (Appendix B).

C. Collecting and Submitting Crime Data

1. The department participates in the Uniform Crime Reporting (UCR) process by reporting crime statistics to the California Department of Justice on a monthly basis. This information is subsequently included in the national system such as the Federal Bureau of Investigations database.
2. The Records Unit:
 - Reviews reports initiated by police officers and dispatch that have been entered into the ARMS system for completeness and accuracy in reporting.
 - Crime code usage is also scrutinized. If an error involving a crime code has been made, notification of the correction to the officer is made.
3. Statistics are captured through the ARMS database and statistical reports are generated at the end of each month for submission to DOJ in accordance with UCR standards. As a backup, the Records division also maintains a separate database of crime statistics.

D. Central Records Information (ARMS)

1. Automated Records Management System (ARMS) is accessible to operations personnel twenty four hours a day, seven days a week on a read only basis with the exception of juvenile records.
2. Copies of police reports, excluding juvenile reports are distributed to the Dispatch Center for easy reference. After business hours, in order to access original reports, the Records Supervisor shall be contacted. If the Records Supervisor is unavailable, the Detective Sergeant shall act as an alternate. Under extenuating circumstances in which contact cannot be established with the Records Supervisor or the Detective Sergeant, the Operations Lieutenant shall be notified. The Operations Lieutenant at his or her discretion shall notify the Chief of Police as necessary.
3. To account for the status of reports the Records Supervisor or Records Clerk shall audit the Dispatch Case Log Book and cross-reference it to the ARMS system on a weekly basis to ensure that the correct control numbers are being assigned and accounted for.
4. Sergeants have the authority to assign follow-up investigations as the need arises. When these needs surface, the sergeant desiring to assign a follow-up investigation will obtain approval from the Investigative Sergeant or Command Staff prior to doing so, to insure the case has not already been assigned to investigations. Sergeants shall:
 - a. ensure that follow-up reports are prepared on a specified schedule not to exceed ten days;
 - b. check the "Uniform Patrol Follow-up Listing" to determine if the assignment for follow-up investigation should be assigned to patrol or the detective unit; and,
 - c. then proceed to the "Functions" menu of ARMS Case Management and "Assign for Investigations" the case as appropriate.
5. Records upon receipt of all reports shall review the reports for accuracy and ensure case numbers are correctly cross-referenced. Records shall as appropriate update any newly submitted information.

E. Annual Audit of Central Records

1. Each year the Records division shall conduct an audit of the ARMS central records computer system for verification of all passwords, access codes, and access violations.
2. The audit shall include a review of user list information and access levels.
3. The yearly record of ARMS User History shall also be reviewed for access violations to preserve the integrity of the system.
4. A written report shall be provided to the Chief of Police in reference to the annual audit findings.

F. Introduction of Outside Computer Software

1. It is the policy of the University that all computer software be reviewed by the University's Administrative Technology Services (ATS) Department.
 - a. The software sample is obtained and submitted to this department for review.
 - b. The ATS department checks the software for viruses and compatibility for the police network system and the CSULA network system.
 - c. The Administrative Technology Services (ATS) department subsequently inspects the software.
 - d. Upon approval of these departments the software is then purchased.
 - e. When the software is received by the agency, the Records Supervisor shall schedule the installation date with the ATS department.
2. Absolutely no software program (including shareware and screensavers) shall be used, installed, or otherwise loaded onto any department computer, the network or the hard drive of any department computer without the authorization of the Records Supervisor.
3. No software will be authorized or installed unless properly licensed for the use at the California State University, Los Angeles Police Department.
4. The Records Supervisor shall determine user restrictions. This shall be accomplished by reviewing the conditions of use statement that is contained within the original software package.
5. Requests to install software shall be initiated on the Software Installation Request form that lists the conditions for software installation (Attachment C). The software must be installed from original disks with installation performed by the Records Supervisor or his or her designee in cooperation with the ATS department.
6. The Records Supervisor shall maintain a record of software installed on the network and each computer. The information shall include the program name, software manufacturer, revision number, whether it is an upgrade, the software license or registration number and the date of purchase.

G. Network Server and Central Records System

1. The Automated Records Management System (ARMS) – the central records computer files are backed up according to a regular schedule and to comply with record retention laws and regulations. The ARMS system backup is accomplished through our Information and Technology Services (ITS) department who has contracted with Iron Mountain to use their Live Vault solution, a fully managed cloud computing backup service.

2. Backup tapes are sent off-site every Monday morning for storage at two Iron Mountain facilities.
3. Vital Records – information includes Records files, personnel files, and financial records.
 - a. Reports from January 1992 to May 1999 are stored on micro film; the original micro film is stored at a secured off-site location and a duplicate copy is stored in the Record's Office fireproof safe.
 - b. Reports from 1999 to present are being scanned into Laser fiche.

H. Criminal History Records

1. Computerized criminal history records can be accessed via the California Law Enforcement Telecommunications System.
2. Upon the arrest of a suspect, officers may request a criminal history print out called a RAP sheet (Record of Arrest and Prosecution) to be included with their report.
3. Police Dispatchers and Investigators only have access to the CLETS terminal located in the Dispatch Center for the purposes of running a RAP sheet.
4. An entry in the Criminal History Log Book shall be made by the dispatcher or the investigator indicating the date, name, and reason for the inquiry for audit purposes.
5. Printouts of criminal history information are to remain secured with the requesting police officer or investigator and subsequently attached to the police report.
6. Criminal history printouts become part of the case jacket for the Detective unit and shall be secured in the Record's Office upon completion of the case by detectives.
7. Criminal history printouts are not released to the public, nor are they computerized for use in the ARMS system.

I. Employment Applicant Background Investigations

1. Persons seeking employment with California State University Los Angeles are directed by the Department of Human Resources Management to have their fingerprints taken via LiveScan machines located at the Department of Public Safety.
2. The Records Supervisor shall retrieve the result of LiveScan analysis and forward the result directly to the Department of Human Resources Management

if no criminal history exists. Should the analysis reveal a criminal history, the report shall be forwarded to the Chief of Police for review and comment prior to submission to the Department of Human Resources Management. The Department of Public Safety shall not maintain a copy of the report unless the applicant is applying for a position within the Department of Public Safety. If the applicant is applying for a position within the Department of Public Safety, a copy of the LiveScan printout will be placed in the applicant's Department file.

V. APPENDICES

- A. CSULA University Police Report Request form
- B. Public Safety Records Retention Schedule
- C. Software Installation Request

CSULA UNIVERSITY POLICE REPORT REQUEST

Appendix A.

Please **PRINT** the following information:

Date: _____ Report Number: _____

Type of Report: Traffic Accident Other Police Report

Type of Information Requested: [] Copy of Report
[] Verification of Report
[] Photographs
[] Other (Specify) _____

Name of Victim or Driver: _____
(Last Name, First Name, Middle)

Location of Incident: _____

Date and Time of Incident: _____

Name of Person Requesting Report: _____

Driver License Number: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Telephone number: (____) _____ Fax Number: (____) _____

Reason for request: _____

In compliance with Section 6257 of the Government Code and Section 20012 of the California Vehicle Code, all report copy requests are subject to a fee as determined by the reporting agency to cover the direct cost of duplicating each report.

I certify, under penalty of perjury, that I am the victim or driver named in this report or that I am his/her authorized representative-agent or that I am an attorney representing the party of interest identified in the report recorded hereon.

Signature: _____ Date: _____

Approved by: _____ Date: _____ Other: _____

Public Safety Records Retention Schedule

RECORDS TO BE RETAINED	CAMPUS SUGGESTED RETENTION PERIOD	RETENTION PERIOD REFERENCE
Routine daily recordings of telephone and radio communications maintained by the Department	100 days	AB 1023; Government Code 26202.6, 34090.6
Parking Citations and Traffic Citations	1 year plus current year	Court has copy
Peace Officer personnel records (beyond normal campus personnel requirements)	3 years beyond termination date	
Criminal Histories and Fingerprint Cards	Attached to report	
Daily Activity and Dispatch Logs	2 years	
Field Interview Cards	2 years	
Incident Reports; found property; lost, missing property	2 years	
Miscellaneous Complaint Reports	2 years	
Stored/Impounded Vehicle Reports (not associated with arrests)	2 years	
Traffic Accident Reports (except fatalities)	2 years	California Highway Patrol retains 2 years
Felony Crime Reports	3 years	800 Penal Code – 3 years
(except murder; embezzlement of public monies; kidnapping for ransom, etc., falsification of public records)	Permanent	799 Penal Code
Misdemeanor Crime Reports	3 years	
Citizen Complaints	5 years	832.5(b) Penal Code
Misdemeanor Arrest Reports – no disposition, no conviction	5 years	DOJ recommends 5 years
State Property Injury Reports	5 years	
Felony Crime Report – acceptance of bribe by public official	6 years	800 Penal Code – 3 years
Felony Arrest Reports – no conviction, no disposition	7 years	DOJ recommends 7 years
Felony Arrests reduced to misdemeanors	7 years	DOJ recommends 7 years
Misdemeanor Arrests – conviction	7 years	DOJ recommends 7 years

RECORDS TO BE RETAINED	CAMPUS SUGGESTED RETENTION PERIOD	RETENTION PERIOD REFERENCE
Crime Statistics	Permanent	
Felony Arrests – conviction	Permanent	DOJ recommends permanent
Bail and Property Receipts	Not specified	
Arrests – later termed “detention only” under 849(b) PC	5 years	DOJ recommends 5 years
Arrests – under 647(f) PC, Drunk	2 years	DOJ recommends zero retention period, in practice 2 year retention
Arrests – for violation of local ordinances	2 years	DOJ recommends zero retention period, in practice 2 year retention

Software Installation Req

Today's Date: _____

Requested By (Instructor): _____ Phone: _____

Department: _____ School: _____

Name of Software Package: _____ Version: _____

Publisher Name: _____

Is this a (check one):

- New installation
- Data file installation

Platform (check one):

- Macintosh
- Window NT

Software to be installed in the following labs:

- Annex Link
- Engineering & Technology Lin
- Library Link
- Computer Class Room Locatio

Course Title & Number: _____

Date installation must be completed: _____

Reason: _____

The Legal Copies of the Software are:

- Individual copies. Indicate the # of copies available _____
- Programs developed or written by faculty member listed above
- Public Domain / Free
- Unrestricted site license
- Restricted site license. Please not restrictions:
- Other: _____