

ROCKAWAY BOROUGH POLICE DEPARTMENT STANDARD OPERATING PROCEDURES



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SUBJECT: RECORDS ACCESS AND SECURITY

BY THE ORDER OF: Douglas Scheer
Chief of Police

ACCREDITATION STANDARDS:
1.8.1, 1.8.2, 1.8.3

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PURPOSE The purpose of this directive is to establish and maintain policy and procedures concerning access to and the security of reports and records of this agency.

POLICY The central records function is necessary and vital to the accomplishment of the Rockaway Borough Police Department's mission. It is therefore the policy of this department that an accurate and efficient reporting of all activity within the department's jurisdiction be maintained. It is the policy of this department to comply with all mandated reporting requirements of the federal government and the State of New Jersey while maintaining strict adherence to the public records law.

PROCEDURES:

I. General.

- A. Any release of records must be in conformance with the New Jersey Open Public Records Act (OPRA), New Jersey Court Rules 7:7-7 and 3:13-3 pertaining to discovery requests, applicable Attorney General Guidelines, and this policy.
 - 1. Our organization recognizes the legal and non-legal consequences of failure to respond properly to a public records request. In addition to the distrust in government that failure to comply may cause, failure to comply with a request may result in a court ordering our organization to comply with the law and to pay attorney's fees and damages to the requester.
- B. Records shall be retained and destroyed in strict accordance with the applicable schedules promulgated by the New Jersey Division of Archives and Records Management.
 - 1. After the New Jersey Division of Archives and Records Management authorizes the destruction of a physical record (paper, CD, tape media, etc...) the record will be destroyed in a way and manner that it will not be discernable again.

II. Controlling Access to Agency Criminal and Quasi-Criminal Records.

- A. The following measures shall be taken and adhered to in order to control access to criminal and quasi-criminal records.
- B. The responsibility and accountability for the central record keeping function shall lie with Records.
- C. All personnel are responsible for maintaining the security and integrity of all records.
- D. Official records are copied for official purposes only, based on established need to know and right to know the contents of such records.
- E. All personnel who are responsible for copying and releasing official records shall do so in accordance with this policy.
- F. Copies of all official records released under this policy under OPRA are provided with a clearly marked statement regarding appropriate confidentiality and use of the documents. Sample statement:
 - 1. Under the New Jersey Open Public Records Act (OPRA), a records custodian must deny access to a person who has been convicted of an indictable offense in New Jersey, any other state, or the United States, and who is seeking government records containing personal information pertaining to the person's victim or the victim's family. This includes anonymous requests for said information. If you the requestor fit this criteria then you are not allowed by law (under penalty of N.J.S.A. 2C:28-3) to possess such records. You are also not allowed to provide such records to the victim's assailant thus circumventing the OPRA law.

- G. Destruction of official records occurs only during the routine authorized purging of records (i.e., according to the records retention schedule) or pursuant to a court order.
- H. All electronic records, stored on a computer or similar type device, shall be protected by a username password combination.
- I. Once information from written records are entered into the in-house electronic records management system (RMS), the physical record shall be promptly filed, if necessary. Access to the records filing system is restricted. Personnel with a need to review, inspect and/or copy these records for official purposes may only do so in accordance with this policy.
- J. When the Records Secretary is not on duty the records filing system shall be secured protecting it from unauthorized access.
- K. The department maintains strict privacy and security precautions to assure the integrity of official records and compliance with applicable laws. The established precautions include the following:
 - 1. **Records privacy and security.** The records filing system is maintained in a secure condition. Only authorized personnel are permitted access to the records filing system.
 - a. **Unlimited access:** Personnel assigned to the records function may access the records filing system at any time.
 - b. **Limited access:** Supervisors/OIC and officers (with supervisory approval when records is closed) may access the records filing system at any time when personnel assigned to the records function are not present.
 - 1. Records personnel have the authority to admit other people to the secure area, provided such persons so admitted are under the direct supervision of the records personnel at all times and have a need to be in the area.
- L. Procedure for reviewing secured records after-hours.
 - 1. The Enforsys/Morris County electronic Records Management System (RMS) contains most of the information personnel will need to gain access to when the records filing system is secured.
 - 2. In the event of an after-hours emergency, a supervisor/officer in charge may grant access to access any records that are not accessible thorough the Enforsys/Morris County RMS. Any removal of a record must be in accordance with this policy.
- M. Extra security measures shall be taken to protect the following types of records: Juvenile, Confidential, and Non-Public Personnel Records.
 - 1. **Juvenile** - Juvenile records will be marked as such so that they may be protected from inadvertent release or from the disclosure of information about the case or juvenile that is prohibited under other related regulations or laws.

2. **Confidential** - All records of a confidential nature shall be clearly marked as such and depending on their sensitivity may also be secured in a filing system separate or segregated from the general records management system as determined by the Chief of Police. Access to these types of files may be regulated to personnel with a need to know basis as determined by the Chief of Police. Currently they are located in the detective bureau.
3. **Non-Public Personnel Records** - All non-public personnel records shall be stored in a secure manner in its own separate filing system in office of the Chief of Police. Access to these types of files will be regulated to personnel with a need to know basis as regulated by the Chief of Police.

III. **Procedures and Criteria for the Release of Agency Records.**

- A. **Criteria** - The Open Public Records Act, or OPRA, is the name of the New Jersey law guaranteeing access to public records in the state. Any release of a departmental record will be in accordance with OPRA or other applicable state laws, regulations, court rules, etc.
 1. For any questions related to OPRA, the Government Records Council (GRC) operates a toll-free inquiry hotline to provide guidance to requestors of government records and records custodians regarding the Open Public Records Act (OPRA). The toll-free phone number is 1-866-850-0511. Additionally, the GRC accepts inquiries from requestors of government records and records custodians regarding OPRA by e-mail at grc@dca.state.nj.us, by fax (609) 633-6337, and by US mail at "NJ Government Records Council, 101 S. Broad Street, P.O. Box 0819, Trenton, New Jersey 08625-0819."
- B. **Procedures for OPRA Release** - Requests for access to public records must be made on a form that is in compliance with the Open Public Records Act and approved for use by the Chief of Police.
 1. Requests for access to public records shall be in writing and hand-delivered, mailed, transmitted electronically or otherwise conveyed to the custodian.
 2. Officers shall not provide copies of investigation reports that are criminal in nature due to privacy and disclosure consideration unless approved by records supervisor or sergeant.
 3. The custodian should evaluate each public records request to estimate the length of time required to gather the records.
 4. The custodian shall promptly comply with the request to inspect, examine, copy or provide a copy of a government record.
 - a. If the custodian deems a request significantly beyond routine, such as seeking a voluminous number of copies or requiring extensive research, the acknowledgement must include the following:

- 1). An estimated number of business days it will take to satisfy the request.
 - 2). An estimated cost, if copies are requested.
 - 3). Any items within the request that may be exempt from disclosure.
5. If the custodian is unable to comply with a request for access, the custodian shall indicate the specific basis on the request form and promptly return it to the requestor. The custodian shall sign and date the form and provide the requestor with a copy.
- C. **Criteria and Procedures for Release Under Discovery** - Records Section personnel shall follow New Jersey Court Rule 7:7-7 in releasing any department record in a discovery request. If there is a question as to the release of a specific document Records personnel shall seek clarification from their supervisor. Any decision that has to be made that is not outlined in rule 7:7-7 shall be made under the advice of the appropriate prosecutor or their designee.
- D. **Criteria and Procedures for Release Under Court Order or Subpoena** - This department shall abide by any court order for the release of any information. Records personnel shall fill such request and return it to the employee requesting it as soon as possible. All documents released under a court order shall be reviewed by the Chief of Police before its release to make sure it complies with the court order.
- E. Any other records release not covered under this policy shall require approval by the Records Custodian and the Chief of Police.
- F. Under OPRA, a government record that is otherwise publicly accessible may contain non-disclosable information that should be redacted. Redaction means editing a record to prevent public viewing of material that should not be disclosed. Words, sentences, paragraphs, or whole pages may be subject to redaction.
1. How to Redact.
 - a. If a record contains material that must be redacted, such as a social security number or unlisted phone number, redaction may be accomplished by using a visually obvious method that shows the requester the specific location of any redacted material in the record. For example, if redacting a social security number or similar type of small-scale redaction, custodian's should:
 - 1). Make a paper copy of the original record and manually "black out" the information on the copy with a dark colored marker;
 - 2). Then provide a copy of the blacked-out record to the requester.
 - b. The blacked out area shows where information was redacted, while the double copying ensures that the requester will not be able to "see-through" to the original, non-accessible text. If "white-out" correction fluid is used to redact material, some visual symbol

should be placed in the space formerly occupied by the redacted material to show the location of redacted material.

- c. If full pages are to be redacted, the custodian should give the requester a visible indication that a particular page of that record is being redacted, such as a blank sheet bearing the word "Page redacted" or a written list of the specific page numbers being withheld. The purpose is to provide formal communication to the requester making it clear that material was not provided.
 - d. If an electronic document is subject to redaction (i.e., word processing or Adobe Acrobat files) custodians should be sure to delete the material being redacted. Techniques such as "hiding" text or changing its color so it is invisible should not be used as sophisticated users can detect the changes.
2. Explaining Why a Redaction is Made.
- a. When redactions are made to a record, the custodian can use either the request form to explain why those elements of a record are redacted, or use a separate document, depending on the circumstances, but also referring to the OPRA exception being claimed. This principle also applies if pages of information are redacted. Sometimes it is clear from inspection (a entry called "Social Security Number" has a black out over where the number would appear). The bottom line is that the requester has a right to know the reason for the redaction, and the custodian has the responsibility to provide a reasonable explanation.

IV. Security of Central Records Computer Systems.

- A. One employee, or a consultant, shall be designated as a Network Administrator who will be responsible for ensuring all the procedures outlined in this policy and any other agency policy related to agency owned computers and electronic equipment is adhered to.
- B. **Data Back-Up** – The Network Administrator shall provide for a daily back-up of the electronic records management system. This will assure continual continuity of data integrity and retrieval in case of a catastrophic failure of the system.
- C. **Data Storage** – All data from the central records computer records management system will be stored in a manner compliant with the hardware and software manufacturer's recommendations as well as what is considered to be the current best practices in the IT field. All data will be stored in the records management system. The storage of any electronic files or other forms of electronic data not the property of the agency on computers owned by the agency is strictly prohibited. All data will be stored on network resources that are backed up nightly. No unauthorized data or documents will be stored on desktop computer media.
- D. **Password Protection and Access Security** – Physical security of our computer systems must be maintained at all times. Only appropriate personnel are to be given access to the office computers regardless of their location whether that is in the office or off-site on mobile systems. The electronic records management system has a password protected access control system. Only personnel with a

need to access the system will be assigned a user name and password. Personnel are required to change their Password for the records management system at least every six (6) months.

1. Password Strength and Security. All personnel shall have a strong password. Strong passwords should be at least eight alphanumeric characters long and contain both upper and lower case characters. Passwords should never be written down or stored on-line. Ideal passwords are not only hard to guess but also easily memorized. Passwords are not to be shared with anyone. They should be considered as sensitive, confidential information that belongs to the organization. Passwords should not be included in an email message, revealed to co-workers or family members.
2. Internet Access. All computers that allow Internet access are secured with an industry standard firewall to prevent unauthorized access to the central electronic records management system. Even with this level of protection, internet use is for mission critical requirements only.
3. Inactivity. When personnel are not using their computer or a workstation they will log off the system and not leave it unattended.
4. Unauthorized Downloading. Personnel shall not knowingly download or open any information from an unknown source. This is required to protect the network from intrusive programs such as viruses, malware, and spyware.
5. Personnel shall not email their username or password.

E. **RMS System Integrity Measures** - The following internal controls will be strictly adhered to in order to maintain RMS integrity:

1. **Annual Security Audit:** On an annual basis the Network Administrator will perform an audit of our RMS system of all user names and passwords to determine the following:
 - a. Only currently employed personnel have access;
 - b. All users' access rights are for their specific duties and responsibilities;
 - c. Any personnel on suspension or other related leave of absences are temporarily removed from having access rights;
 - d. Any violations or discrepancies shall be immediately reported in writing to the Chief of Police through the chain of command; and
 - e. The Network Administrator shall report their findings in writing to the Chief of Police using the Annual Computerized Records Security Audit form.
2. **Security Breach Procedures:**

- a. An immediate audit of the RMS system will be conducted at any time a breach, violation, or similar type of situation is determined to have occurred or exists.
 - b. The audit will be conducted concurrently by the Network Administrator and Internal Affairs unless it is determined that another course of action is needed by the Chief of Police.
 - c. The investigative team conducting the audit will keep the Chief of Police informed regarding progress made.
- 3. **Annual Password Audit of Shared Databases:** On an annual basis an audit will be performed of all user names and passwords for any shared database to determine the following:
 - a. Only currently employed personnel have access;
 - b. All users' access rights are for their specific duties and responsibilities;
 - c. Any personnel on suspension or other related leave of absences are temporarily removed from having access rights;
 - d. Any violations or discrepancies shall be immediately reported in writing to the Chief of Police through the chain of command; and
 - e. The Network Administrator shall report their findings in writing to the Chief of Police using the Annual Computerized Records Security Audit form.
 - f. Shared databases include, but are not limited to the following:
 - 1). NJCJIS (audited in accordance with the NJSP CJIS User Agreement);
 - 2). AOC applications;
 - 3). Online UCR; and
 - 4). NJSP Evidence Submission.
- F. **Clearing, Sanitizing, and Releasing Computer Components** - No computer, hard drive, CD, DVD, cellular phone or other remotely related electronic data storage device owned by this agency shall be released from custody and control of this agency until such time as it can be cleared of all data and software and sanitize it in a way that no one will be able to retrieve any data from any type of storage device at any later date.
- G. **Virus Protection** – Due to the possibility of computer virus infection, all outside software, discs, or other electronic data storage devices will be scanned utilizing an antivirus program on each computer. Should anyone need assistance with this process, they will contact the Network Administrator before using or connecting the device to any computer.
- H. All software shall be properly licensed.

V. Field Reporting and Management System

- A. A standardized process is required to memorialize police activity for future reference. CAD records shall be completed as thoroughly as possible, including as much information as possible to provide future investigative leads. Information to be included may be received by phone, in-person, or other electronic means. At a minimum, a CAD record will be generated for the following:
1. Citizen reports of crimes;
 2. Citizen requests for services when:
 - a. An officer is dispatched;
 - b. An officer is assigned to investigate; or
 - c. An officer is assigned to take an action now or at a later time.
 3. Criminal and non-criminal investigations or incidents initiated by law enforcement members;
 4. All incidents involving arrests, complaints, or summonses; or
 5. Any report of an incident(s) requiring a police response.
- B. A CAD entry with an accompanying narrative by an officer or dispatcher is required in all of the following, but not limited to, incidents/events occurring within this agency's service area:
1. Citizen reports of crimes or alleged criminal activity;
 2. Criminal investigations (assigned or self-initiated);
 3. Arrests;
 4. Issuance of CDR warrants or summonses, and Special Complaints;
 5. Domestic Violence;
 6. Motor vehicle stops;
 7. Field interviews/investigative detentions;
 8. Found/recovered property or vehicles;
 9. Injured persons;
 10. Vehicle crashes;
 11. Building entry;
 12. Property damage;

13. Firearms discharges;
 14. Missing/Located/Unidentified Person investigations;
 15. Mutual aid assistance to other law enforcement agencies; and
 16. Any incident that could generate publicity.
- C. The following forms are typically utilized to record actions or police investigations:
1. CAD;
 2. Incident Data Sheet;
 3. Continuation/Supplemental Report;
 4. Pedigree Information Form;
 5. Arrest Checklist;
 6. Arrest Report;
 7. Miranda Rights Form;
 8. DWI Reports:
 - a. DWI Questionnaire;
 - b. Alcotest;
 - c. Drinking-Driving Report w/continuation.
 9. Motor Vehicle Crash Report (NJTR-1);
 10. Towed Vehicle Report (Impound Sheet);
 11. Property Evidence Release Forms;
 12. Missing Person Forms;
 13. Unidentified Person Forms;
 14. Consent to Search Forms;
 15. Use of Force Report;
 16. Pursuit Incident Report; and
 17. Victim Notification Form;
- D. Most forms are self-explanatory concerning the information required. Personnel are responsible for completing these forms accurately and thoroughly. For questions regarding CAD and/or Records Management Software forms, please refer to the software manual.

- E. All teletypes and supporting documents should be attached to the case file.
- F. Personnel should normally complete and submit all reports by the end of their shift, if not the report shall be completed during the officers next assigned shift. If granted, the report should be completed during the officer's next assigned shift.
- G. Reports containing descriptions of hazardous or dangerous conditions that are under the purview of other governmental agencies shall be forwarded to the appropriate government agency with jurisdiction without undue delay. Notification may be made by phone, fax, radio, or other electronic submission. Information within the report that is not subject to public disclosure shall be redacted. These governmental agencies include, but are not limited to municipal, county, and State:
 - 1. Public Works Departments;
 - 2. Zoning, Property Maintenance, Borough Engineer and other code officials;
 - 3. Fire Department;
 - 4. Public health officials;
 - 5. Boards of Education/educational institutions; and
 - 6. Parks and or Recreation.

VI. Report Review by Supervisors

- A. Supervisors are responsible for reviewing reports submitted by subordinates to ensure that they were completed in compliance with this directive.
- B. Supervisors will ensure that reports are completed accurately, thoroughly and in a timely manner.
- C. Supervisors must approve any delay in the submission of a subordinate's report. All approvals to extend the time to submit a report should be based upon manpower, call volume, and/or complexity of investigation. Delays based on poor time management or organizational skills are not acceptable. Additional training and/or counseling may be necessary to avoid such delays.
- D. Supervisors should review reports prior to the end of the officer's shift. Reports for incidents occurring late in a shift should be reviewed as soon as possible, but generally no later than the supervisor's next assigned shift.
- E. Supervisors are responsible for the quality of reports prepared by their subordinates. Reports containing errors or deficiencies shall be returned to the authoring person for correction. When the reviewing supervisor finds deficiencies in a report, he/she will counsel the reporting officer prior to obtaining the necessary corrections.
- F. Supervisors have a responsibility to train and counsel subordinates on proper report writing techniques, and should offer advice and constructive criticism when appropriate. However, reports containing alternative writing styles should be distinguished from reports that contain deficient content, poor grammar, and/or

spelling errors. Supervisors should not immediately discount an alternative writing style if the report is thorough and accurately describes the incident.

- G. Supervisors will indicate that they reviewed the report and determined it to be satisfactory by “approving” the report in the appropriate field.
- H. Reports authored by supervisors should be reviewed by a supervisor in the next level of command, when possible. However, another supervisor of equal or lesser rank may review the report for accuracy and completeness.