



LAW ENFORCEMENT ASSISTANCE ADMINISTRATION (LEAA)
POLICE TECHNICAL ASSISTANCE REPORT

SUBJECT: Evaluation of Records System

REPORT NUMBER: 77-026-135

FOR: Sunnyside, Washington, Police Department

| | |
|-----------------|-----------|
| Population | 7,250 |
| Police Strength | |
| (Sworn) | 19 |
| (Civilian) | 6 |
| Total | <u>25</u> |

CONTRACTOR: Public Administration Service
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CONTRACT NUMBER: J-LEAA-002-76

DATE: June 22, 1977

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ACQUISITIONS

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FOREWORD

This report was prepared in response to a request for technical assistance from the Sunnyside, Washington, Police Department in connection with an evaluation of their records-keeping system.

Assigned as consultant was Mr. Walter Trefry, and other persons involved in processing the request included:

| | |
|--------------------|--|
| Requesting Agency: | Mr. Lawrence E. Ward Chief of Police Sunnyside, Washington |
| Approving Agency: | Mr. Galen Willis Police Specialist LEAA Region X (Seattle) |
| | Mr. Robert O. Heck Police Specialist LEAA Central Office of Regional Operations |

I. INTRODUCTION

In requesting an evaluation of its records-keeping system, the Sunnyside Police Department also asked for an evaluation of the operational practices currently in use in the department in terms of how they relate to both the present records system and to recommended improvements.

During the on-site phase of the project, May 4-7, 1977, a number of departmental personnel were interviewed, and their attitudes were almost universally positive and cooperative. Conversations were also held with other law enforcement personnel who have occasion to use Sunnyside's records, including representatives of the Yakima County Sheriff's Office and the Washington State Patrol. Especially helpful to the consultant during his evaluation were the personnel of Records/Dispatch.

Key officials of the Sunnyside Police Department who were interviewed included:

- Chief of Police Lawrence E. Ward
- Captain Joe Billingsley
- Sergeant Wallace Anderson
- Records Clerk Sharon Cooper
- Records Clerk Irma Jasso
- Records Clerk Barbara Arnold
- Records Clerk Trish Holden

II. ANALYSIS OF THE PROBLEM

In requesting technical assistance, the Sunnyside Police Department stated that its major need was a review of its records system with an eye to the development of a new, more comprehensive system. Complicating factors in this review included the fact that the present system is a composite of the systems installed by three successive police administrations as well as the limitations imposed on any system by the amount of space available for housing records. Of much value in this study was the unanimous departmental attitude of desiring change and improvement.

Prior to the on-site visitation the police department submitted to the consultant a complete set of forms now being used. These forms were reviewed with regard to ease of data collection, consistency of data collected by all levels of personnel, ease of use of collected data for various applications, and how the data-collection documents supported an acceptable premise of a comprehensive data system. In addition, the forms were evaluated in light of data entry by use of the ACCESS teletype system.

On-site evaluation of available space for a future comprehensive records system was made, and hardware requirements, both with regard to present operational needs and future comprehensive applications, were considered.

Operational procedures performed daily were evaluated in order to determine their application to comprehensive records-keeping. On-site evaluations were performed with records personnel responding to each shift's requirements, field-level personnel, and investigative needs.

All evaluations were made envisioning a central record section as a primary function. That section has the responsibility to provide the accurate, complete and timely data requested by all users needing information. In addition, the central records section must respond to specialized data requests, such as management, manpower allocation, crime prevention, planning, grant management, etc. Anticipated mandates from current or forthcoming legislation pertaining to privacy and freedom of information have also been considered.

III. FINDINGS AND CONCLUSIONS

Operational Records-Keeping Concept

The intended concept utilized by this department is in keeping with acceptable practices. That concept was included in the last three versions of this department's records system, however, and the present section represents a composite of the previous concepts. It cannot be safely assumed that only the "best" of the three has been retained within the current section. Perhaps the best of each approach has largely been kept, but collectively it falls short of the requirements set forth in the analysis of the problem.

The readily expressed intentions of the administration and of records personnel were all supportive of a good, centralized section. A lack of specific definitions of the goals of the records section has allowed a variety of approaches to develop over the years.

Operational Records-Keeping Practices

Paper Processing

All paper coming into or originated by the department eventually is processed by the records section. The collected data is maintained in an alpha/numeric concept. All individuals identified on a Complaint Form, Arrest Report, or in a DR Jacket are recorded on an index card. Alias names are supposed to be cross-referenced within the index card system; however, this is not consistently done.

The index cards are white or blue. White cards record nonarrest information until such time as the identified subject becomes involved with an arrest. Once this occurs, the data is transferred to a blue card. The blue index card can thus contain both arrest and nonarrest information.

As example, if an individual has a long record of nonarrest data on a white card and then is arrested, all of the data on the white card is typed on the blue card along with the arrest data.

Three copies of the prenumbered Complaint Form are used. The white copy is placed in a permanent numeric file. All white copies of "Supplement Reports" are attached to the original white Complaint Form. This numeric sequential white file is not widely used until historical information, usually over 30 days old, is needed.

The second, or pink, copy is the most used copy operationally during the first 30 days of its existence. Pink copies are placed on a clip board which hangs on the wall of the records area; they are maintained in numerical sequence. All supplemental pink copies are placed on a

second clip board--randomly, as they are received. There is no effort to put the supplementary report with the original it is referencing. The clip board copies are reviewed by nearly all personnel, and occasionally someone decides he needs the board at another location so it is temporarily unavailable. Also, sometimes an individual decides he needs an individual pink copy, so it is removed and may or may not be returned. When the Crime Prevention Unit is tabulating burglary data, all burglary reports are removed from the clip board for an indeterminate period of time. These practices make the pink copy clip board, the most used file, relatively unreliable as a comprehensive data source.

The third, or yellow copy is returned to several individuals. It is supposed to reside in the DR Jacket, if that particular Complaint Form becomes a DR file, but this practice is not consistently followed.

There are a couple of other 3x5 indexes which should be either added to the present 3x5 alpha index or abolished. The present 3x5 fingerprint information cards are kept in a separate alphabetic file. Field interrogation 3x5 cards are also in a file; however, it was impossible to determine what process was being used to retrieve this information. This file appears to have been abandoned in 1974; however, it is still kept in the records section.

Another file documenting service calls is housed in the section; however, this document is no longer used for data collection, and the clerks maintain a log type of documentation.

The major case file, the DR file, is housed in a regular filing cabinet, in numerical order. Each case is contained in a DR Jacket, which is intended to contain all the documentation surrounding the case. This would include all documents relative to the development of the case; however, several omissions were noted, particularly in the case of the Complaint and Supplement Forms.

Fingerprint cards are maintained in files that are not a part of the records area. Mug-shots were not formally considered during the on-site visitation, but several groups of mug-shots were observed on a service counter.

Auxiliary files, such as business information, are maintained within the records section. The business file is an active file and is updated whenever the clerks have the opportunity.

A brief radio log is also maintained; considering its use and recall necessity, it appears adequate. Operational use of this record could be improved by a policy mandating logging of licenses and names serviced by the center for field-level personnel.

Data Input to Records

The central retrieval device is the 3x5 card containing name and incident information. Last name and first name is regularly collected, but middle name and/or initial is frequently missing. Address, including zip code, is next, followed by a line of physical descriptors. Physical description data is frequently missing on the white cards and, less frequently, on the blue arrest data cards. There is no logical explanation for the omission of physical descriptors on cards containing arrest information, especially since either a ticket or a defendant is available when the card is made out.

Additional information captured for each incident includes indicators of suspect, victim, date of incident, report number, a brief title of what occurred, disposition, and ticket number. The capturing of this information is not consistent and is frequently incomplete.

Information is originally obtained from Complaint and Arrest reports received by the records section. Each shift forwards the completed documents to records where they are "carded." Each document is initialed by the entering person at the time the index card is updated.

Upon completion of the card update, the white Complaint copy is filed in the master original file. The pink copy is placed on the clip board as previously described, and the yellow copy is returned to the various administrators, who review them and, if they decide the information is applicable, return them to the records section for filing in the DR Jacket.

The original documents are all typed. The only document which has a structured data base is the Arrest Report. The Complaint Report form has only narrative data, and each writer pretty much determines the data sequence of the report.

Supplemental reports are in the same format, or lack thereof, as the Complaint Report.

The DR file includes possible cases or cases which have ultimately been through prosecution. The ingredients of the DR file can comprise all documents used by the department. The initial reports are the Complaint form and Supplemental reports, to which can be added the investigative reports, statements, prosecutor's information, etc.

Statements take on various formats, since each officer appears to have his own manner of taking statements. One officer claims to have developed his own statement form.

The three primary sources of data are the master index card, the white Complaint form file, and the information within the DR file.

Other files which are handled by the records section have a variety of source documents. The data for the fingerprint classification file is obtained from the fingerprint card itself.

Data for the stolen and recovered property file is obtained from Complaint and Supplemental reports; this file does not appear to be currently maintained.

Business emergency information is updated by the records section whenever they receive such information. This data appears to be regularly received by telephone.

Warrants are kept in a separate file; however, they are referenced on the alphabetic index card. The warrant used is excellent and contains more identifying information than is usually contained on warrants.

The overall input procedure is adequate; however, a uniform set of definitions and procedures should be established so that all input personnel and all departmental personnel are aware of the processes and documentation necessary for a comprehensive records section.

Data Capture Documents

The most frequently used form among the major capture documents is the Complaint Form. This prenumbered form is very elementary and does not systematically identify or capture even minimal data. Review of complete Complaint Reports reveal that even those few data elements enumerated are frequently omitted.

The data collection process of the modern law enforcement community requires entry into multiple computerized systems at all levels of government, and the common entry device is the teletype. The entry process with teletype lends itself to error and corrected entry attempts. If this entire inquiry or input process is further complicated by random data collection, then personnel time consumption usually becomes excessive. The Complaint Report used by the Sunnyside Police Department promotes all of the aforementioned potential problems.

Supplemental information supporting the original Complaint Report is furnished on an identical Complaint Report form without a preprinted number. The number of the original Complaint Report is either typed or handwritten on the form.

Another frequently used form is entitled, "Sunnyside Police Report." It has check-off areas identifying a variety of uses such as arrest, offense, officer's report, supplemental, information, and confidential. It appears that several of these headings mean virtually the same thing and perhaps only confuse a new user of the form. There are additional data areas for date, time, and DR number and references for connected cases.

Whenever a subject is booked into the jail, an "Arrest Report" is completed. Most of the data elements of this form fulfill a needed requirement, but the fields are not in an acceptable sequence. Several of the data fields require specific explanation, thus either increasing the possibility of errors or the need for detailed explanations to personnel unfamiliar with the form.

All of the other forms utilized by the department should be reviewed in light of need and aptness. Comments on each one follow, in no particular or significant order:

1. Receipt for Property Seized -- This form serves its purpose; however, some kind of instruction should be included so all users identify property in a similar format. These instructions should advise the writer to list property with descriptors in the same sequence as followed by WACIC (Washington Crime Information Center) and NCIC (National Crime Information Center). Signature and number of signer should be specifically identified on the form. Due to the notation, "Deputy," this form apparently is from the Yakima County Sheriff's Office. The original report number must be added to this form.
2. Consent to Search -- This form fulfills its intended purpose; the case number and original report must be added to positively reference this form to the case.
3. Handwriting Specimen -- This form meets its goals, but data elements of name, sex, race, and DOB should be in the same sequence as used by WACIC and NCIC systems. This sequence is recommended as standard for all forms used by law enforcement agencies.
4. Affidavit in Connection with Forgery of Signature of Maker of Check -- Add report number to this form.
5. Pre-Statement Report -- Add report number to this form. The name field should be structured to identify last name, first name, middle name, and date of birth. The area for name appears to be too small. Address information should include city and state as specific data fields. The area for "subject's attitude" and "subject's actions" should consider using "explain" instead of "other." The single descriptors used are somewhat inadequate and are misleading since they represent an individual's personal opinion, which is challengeable from the legal point of view. The question relating to "appear under the influence" should be reconsidered. State law tends to include alcohol as a drug unless specific chemical testing proves the affecting drug to be specific.

The opportunity to circle either drugs or alcohol would be contrary to law if the statement was being used in a case whereby traffic laws could or would be involved.

6. Confidential Inquiry -- This form appears to meet all criteria of a well-defined capture document that serves its intended purpose.
7. Check Letter -- Suggest the use of reference number for the receiver to respond with, which would be the DR number.
8. Miranda Warning -- Name space should be more structured to capture full name data and date of birth. The warning does not include the juvenile warning wording.
9. Property Record Card -- The data contained is adequate for the intended purpose, but areas provided for name and address appear to be inadequate for ease of entry. Although one of the best property cards observed, this card's face could be redesigned for easier data entry and understanding.
10. Affidavit of Complaining Witness -- This form appears very adequate.
11. Stolen Property -- Although the apparent purpose of this form is to record stolen goods, it is not widely used. The sequence of data is rather unspecific in view of the fact that this document could or should be an inquiry and input for WACIC and/or NCIC. This document should be reevaluated and restructured to meet today's operational minimum data collection standards.
12. Notification of Held Property Letter -- This letter will be discussed later in connection with the Stolen Property form.
13. Fraudulent Check Report -- The form's data areas fulfill the intended purpose; however, the form does appear to be too tight for proper completion. Description of person cashing is inadequate and subject to potential misunderstanding. "Color" alone could have a variety of meanings. This form should be considered for redesign.
14. Information Release Letter -- The wording of this letter should be reviewed in regards to possible privacy and freedom of information legislation as well as legality.

15. Vehicle Impound Waiver -- Vehicle description data fields should agree with the data sequence for WACIC/NCIC entry. Name of driver should include driver's license number, state of issue, and better defined name and DOB information. The last two lines of data are somewhat confusing. Is the officer agreeing "to take proper and timely steps to provide for the removal in lieu of impounding" of the vehicle? This form should be considered for redesign.
16. Release -- This appears to be a very good form. This data should be numbered and retained as part of the alpha/numeric records-keeping system. Space for a report number field should be added.
17. Investigative Case Status Report -- This is basically a comprehensive report. The data fields for Victim, Location, Description of Stolen Property, Description of Recovered or Found Property, and Description of Evidence Seized are all inadequate. This form should be considered for redesign.
18. Intelligence File Report -- Information on person should be structured to obtain full name, sex, race, and date of birth data on each individual discussed.
19. Juvenile Arrest Report -- An adequate form for its intended purpose. All fields pertaining to name and physical descriptors should be in the same sequence used by WACIC/NCIC.
20. Missing Person Adult Juvenile -- Several areas of data are inconsistent with formats used by WACIC/NCIC. Redundant male/female areas of clothing description could be combined into one section of data collection. Vehicle information is out of the sequence used by WACIC/NCIC. "Reported by" information is really the complainant. The data area for this and the related address and phone is inadequate. A properly structured general report form would eliminate this form.
21. Property Disposition Order -- Include DR number for ease of filing into master index system. This order should be included in the context of tracking within the comprehensive records section.
22. DR Jacket -- The intended purpose of this document results in it being the most comprehensive ever encountered. It is an outstanding example of documentation overkill, which perhaps is the reason the form is not used for its intended purpose by this department.

Field-Level Data Collection

Perhaps the process that contributes most to the difficulties with field-level data entry is the manner in which it is presented. There is a decided lack of consistent formatting of reported information. Each officer seems to "do it his way." This wastes time for nearly all the readers, regardless of their function.

The code clerk in records frequently has to read the entire report just to determine if a burglary was residential or commercial, and the investigator must read the entire report to determine if anything was taken during the burglary.

Presently there is no consistent procedure for data on reports so that it can be found in the same location each time. Uniform placement of data on a report permits the reader to easily identify significant data elements. If the placement of data supports the data entry process, then further efficiencies can be realized. The most obvious benefits -- reduced reader time and reduction of potential error at entry level -- are just two of the many advantages of good report writing practices and technique.

Microfilm Data Storage

There is no use of microfilm storage by this department.

IV. RECOMMENDATIONS

Central Records-Keeping Concept

1. General Recommendation

It is recommended that the Sunnyside Police Department implement a comprehensive central index records system, single line update, including necessary hardware, procedures, and policy.

2. Specific Recommendations

A. Establish policy governing a central records concept.

- (1) All reports will be reviewed by each immediate supervisor, who will be held responsible for those reports.
- (2) All original documents will remain in central records and cannot be removed from the section, except by court order or for court presentation. Originals may be reviewed or reproduced at the section.
- (3) Central records shall report data omissions directly to the respective supervisors, and all reports containing data omissions shall be corrected and returned to records for input.
- (4) Purge criteria will be established for each report retained based on use, need, potential judicial value, and legal requirements.
- (5) Central records shall be responsible for care and custody of all records and shall immediately update the master index so all records are true, accurate, and in conformity with requirements of Privacy and Freedom of Information legislation.

B. Identify, design, and implement an adequate master index card which respond to departmental information needs, is easily up-dated, and responds to restrictions of Privacy and FOI legislation.

- (1) Data requirements should consider as a minimum:
 - (a) Code to identify type of transaction
 - (b) Report/arrest number.

- (c) Data of transaction
- (d) Code to identify person's role to the report
- (e) Description of incident/charge
- (f) Disposition of charge or incident
- (g) Citation number (optional)
- (h) Officer name and/or number

(2) See Appendix A for examples.

C. Development procedures manual, explaining the paper processing of central records so uniform processes are used by all records personnel (see Appendix B for examples).

D. Identify hardware needs to efficiently implement the proposed central records section.

- (1) File cabinets for both index cards and reports to be filed.
- (2) Intake file bins to provide adequate intake breakdowns.
- (3) Photo copy equipment requirements.
 - (a) Equipment should have reproduction capability to meet departmental needs.
 - (b) Equipment should be located near central records in order to not jeopardize the security and completeness of the files.
- (4) Miscellaneous equipment
 - (a) Identify stack trays, file folders, hi-lighters, etc., necessary for efficient operation of all processes within the central records section.

Report Review Process

1. General Recommendations

All reports must be reviewed by the immediate supervisor prior to forwarding to central records, for adherence to established data sequence, accuracy, and completeness.

2. Specific Recommendations

A. All reports must meet minimum criteria or they will be returned to the writer before being forwarded to central records.

- B. A specific rejection procedure should be defined and available to central records should first-line supervision review breakdown.
- C. Provide explicit training and policy definition to all personnel prior to implementation of the central records section, relative to completeness of data, structure of reports, routing of reports, and related processes.
- D. Provide disciplinary measures for failure to adhere to proper review procedures, consistent with general department policies.

Master Index Update/Retrieval

1. General Recommendation

Develop a comprehensive update and retrieval system.

2. Specific Recommendations

- A. Establish minimum data base to respond to acceptable alpha indexing.

(1) The following data elements are generally considered minimum initial response fields. They basically respond to a majority of field-level data requests, yet also respond to requirements of completeness and accuracy:

- (a) Complete name, sex, race and DOB
- (b) Physical description
- (c) Address, including street, city, state, and ZIP
- (d) Date of incident--month, day, year
- (e) Report/Arrest number, prefixed by year
- (f) Brief description of crime or incident, starting with crime or incident, severity description, and support descriptor, i.e., Burglary, Forced, Residence.
- (g) Subject's relationship to incident, i.e., victim, complainant, suspect, mentioned in report, etc.
- (h) Officer involved, with name and permanent personnel number
- (i) Disposition of incident. Such dispositions as investigation, cleared, or warrant could settle incident reports. Arrests dispositions could contain interim disposition, such as pending trial, and final disposition--acquitted, guilty, or specific time rendered by the courts.

- B. Develop programs and procedures for data collection at time of input that support sub-systems such as a management information, uniform crime reports, type of incident data, etc.
- C. Provide a properly organized work station which supports maximum throughout.
 - (1) The work area should provide for receiving the documents and sorting for secondary retrieval processes by specific category and for documents ready for filing.
 - (2) Provide devices to afford quick and accurate access to all code and reference documents needed by the personnel performing data entry including functions related to teletype.
- D. Provide adequate and continual training to maintain an efficient, comprehensive, and consistent record system process.
 - (1) Training for input should include proper use of devices, system concepts, file definitions, and purpose of all the clerk's functions.
 - (2) Training for inquiry should include the proper use of devices, sources of support data, knowledge of all paper files, and all policies regarding the comprehensive central records system.

Data-Collection Documents

1. General Recommendation

It is recommended that a new capture document (report form) be devised that responds to law enforcement and data collection. The recommendation for a totally new form is based on the inadequacies of present documents used.

2. Specific Recommendations

- A. The new form should be multi-function and respond to field-level data collection, records system support, and sub-system data collection.
- B. The form design should consider all data elements required by the various data systems, such as crime reduction, UCR, and management information (see Appendix A for examples).

Usable Data

1. General Recommendation

It is recommended that policy, supported by training, require that reports be prepared in a consistent manner which supports data collection and utilization.

2. Specific Recommendations

A. Establish specific requirements for each type of report and insist that all reports meet these requirements.

(1) Requirements should be reviewed periodically to insure that they meet needs of the system.

(2) See Appendix C for illustration of requirements.

B. All reports must include data needed for data entry in a sequence which affords easy data collection and utilization. The headings of reports must have complete indices of the situation.

(1) Primary indices shall always be the name of the crime or incident.

(2) Secondary indices shall be as identified by the administration to support proper definition of the incident.

(3) Example of theft heading: theft, from auto, jewelry.

(4) Specific data-collection areas requiring specific needs, such as Burglary Prevention, should be identified and conveyed to field-level personnel so those needs are met.

C. Establish in-house training relating to data collection and the records system and make it available to all levels of personnel. The training should be supported by Training Bulletins available to all personnel but especially useful to new employees.

(1) Training must include basic information and should be periodically reviewed to include specific and timely special data

(2) Training should include all the relationships of the system and its component subsystems to explain the total system of data collection; it must address

levels of involvement of all personnel.

Numeric Paper File

1. General Recommendation

Discontinue the use of the DR Jackets and implement a file containing all paper in a single numeric sequential file.

2. Specific Recommendations

- A. All documents should be numbered in the records section, thereby eliminating the costly prenumbered report forms.
- B. All documents will be numbered as received and placed in the general numeric sequential file which is referenced in the master index alphabetic file.
- C. All documents supporting an original in the numeric file will carry the original report number and be filed with the originally numbered document. This recommendation does not include the use of DR Jackets. Should a specific original file become massive, it could be placed in a regular file folder having the tab contain the report number.

Microfilm Capability

1. General Recommendation

It is recommended that the system utilize microfilm/microfiche techniques to store historical documents.

2. Specific Recommendations

- A. A review of need, including all city record-keeping, should be conducted to determine the least costly devices to meet the total needs. It is doubtful that the needs of just law enforcement could justify even a minimal device.

Staffing of the Central Records Section

1. General Recommendation

It is recommended that the support personnel responsible for the record functions be under a direct supervisor who has well-defined authority.

2. Specific Recommendations

- A. Present staff is excellent but lacks consistent definition and leadership; this could be overcome by a supervisor whose specific area of responsibility covers all functions of Records/Dispatch.
- B. This supervisory position shall be of staff rank, directly responsible to the Chief or Assistant Chief of Police.
- C. This position shall be responsible for:
 - (1) Daily operational schedule of personnel.
 - (a) Due to the small number of staff, support will be expected from other units of the department on an "as needed" basis
 - (2) Training of new personnel.
 - (3) Continual training for established personnel.
 - (4) The efficiency and performance of all personnel assigned to the supervisor's area of responsibility.
 - (5) Maintenance of an efficient and responsive record/communications section.
 - (6) Periodic, or as required, reports deemed necessary by the Chief of Police.
 - (7) Identifying ineffective practices and procedures and implementation of corrective or more efficient practices and procedures to insure continual highly efficient response and operation.

Interim Development Toward a Comprehensive System Including Conversion

1. General Recommendation

It is recommended that any and all corrections to the existing system be made in light of a new, comprehensive approach to records management.

2. Specific Recommendations.^{1/}

^{1/} These recommendations are not in order of importance. All recommendations are made as part of preparation for a new system; however, all would contribute substantially to improvement of the present system.

- A. Effective immediately, all subjects processed by records shall have complete name, race, sex, DOB, physical, and address information as provided on all reports.
- B. Effective immediately, procedures and policy will provide that all AKA and associates will be identified on the subject's index card and on cross-reference cards every-time it becomes available.
- C. Effective immediately, the presently used blue cards identifying arrest versus nonarrest data will be discontinued.
 - (1) Should the color code be desired, it is recommended that the criteria be juvenile and adult only (see D, below).
- D. Effective immediately, a new index card should be initiated whenever a juvenile becomes an adult with the subsequent juvenile information attached to the new card.
- E. Effective immediately, all evidence must be placed in property section and not allowed to be attached to the forms residing in the DR Jacket.
- F. All 3x5 index cards addressing sub-systems such as Field Interrogation and service cards, if still in use, should be housed adjacent to the master index card. Unique-use cards, such as fingerprint cards, can be left as a separate file in its present connotation; however, such data should be incorporated in the new index card.
- G. Recovered and stolen property is currently retained on 3x5 cards indexed in categories similar to the UCR break-downs. The transfer to 3x5 cards is a practice which is expensive. If a new report document which identifies the various items is implemented then this process could be replaced with photocopies of the original document filed in categories similar to those currently being used. This process would totally void the present 3x5 sub-system.
- H. Currently there are multiple-layered forms housed in the DR Jackets which have the carbon interleaves still in the packet. It is suggested that this practice be ceased. Smudging is a possible problem whenever the carbons are in a tight file.
- I. All support documents of a case should be contained in the presently used DR files. Because currently there are inconsistencies, the entire process of case files housed in the DR Jackets should be reviewed.

- J. Presently, Complaint Reports are used in three ways. This specific comment relates to the manner the pink copy is being used. The practice of separating the original and the supplemental report to the original should be ceased immediately. The supplemental should be attached to the original whenever available.
- K. Present warrant indexing should be reviewed. An incident was observed where two warrants were identified as covering one subject; however, only one of the two was identified in the master index. All warrants should be checked against the master index to make sure all have been indexed.

APPENDIX A
REPORT FORM SAMPLES

Capture Documents

A comprehensive records system must address multiple users, and the same is true of a good capture document. The illustrations presented herein meet the multiple-use concept.

All data fields should be in such a sequence as to support such procedures as teletype data entry. The illustrations all have people, property, and vehicle data in the same sequence as data entry for WACIC and NCIC.

Good data-collection forms also support secondary data-collection procedures such as statistics, management information, type of crime/incident files, etc.

Good data-collection forms should support easy field-level entry. There must be a happy medium between structured data fields to obtain consistent data and the narrative explanatory writing.

All of these facets are addressed in the following two samples of acceptable capture documents.

Master Index cards must meet the test of providing information for most or all users. This has been considered in the development of the following Index Card. (See sample card following this explanation.)

Explanation of Data Elements of Master Index Card

Address - There are several ways to enter address data. The form suggests using pencil for information which is to be changed when a more current address is received. A second concept retains all addresses, with new addresses being entered in the lined section of the card. A date and report number followed by address filling the rest of the line ties the new data to the report on a date.

Transaction - Data systems have to identify types of transactions since information requests are made by category. This field is used to tell the reader what the report is about. Codes can be as long or short as the administration desires but must be understandable to all readers. The following are some suggested codes and explanations.

RPT - REPORT = A report was taken, not arrest, warrant or juvenile arres.

ARHS - ARREST = Arrest report, adult. ARHS means Arrest History.

JV = Juvenile Arrest Report.

WAR - Warrant Entry.

BKJV = Booked Juvenile, has been detained.

Report Number - The report number should be flexible and responsive to several uses. A suggested numeric sequence follows which can facilitate multiples.

01-77-0123410
02-77-0123420
03-77-0123400

Digits "1" and "2" equal agency

01 = Sunnyside Police Department
02 = Yakima County Sheriff's Office
03 = Washington State Patrol

Digits "3" and "4" equal year.

Start new each January 1st.

Digits "5" through "9" equal prime report number.

This is what is considered for filing.

Digits "10" and "11" are low order and not significant to the filing process.

These low order numerics provide multiple persons' involvement in a single report.

Date - Date the report indicates the transaction occurred.

Check - This indicates involvement by the named individual.

C = Complainant

V = Victim

S = Suspect

M or MIR = Mentioned in Report

A = Arrestee

Incident/Charge - Basically the same data sequence as report title.

Disposition - Status of the entry. Can be as definitive as administration desires.

The following illustration is very definitive.

| | | | | | |
|------|-------------|----------|---|-------------------------|-----------|
| RPT | 01770012300 | 02/01/77 | C | THEFT, FROM AUTO, STERO | INV 561 |
| WAR | 01770012300 | 03/02/77 | S | THEFT, 1st | PEND 561 |
| ARHS | 01770012300 | 04/01/77 | S | THEFT, 1st | REDUC 433 |
| ARHS | 01770012300 | 04/03/77 | S | THEFT, 3rd | GUILTY |
| | or | | | | |
| ARHS | 01770012300 | 04/03/77 | S | THEFT, 3rd | 90D4DS10C |

INV = Investigation

PEND = Pending or outstanding

REDUC = Reduced charge to -

90D4DS10C = 90 days, 4 days suspended, 10 dollar costs

Citation Number - Optional field; however, most municipal departments find that this field makes inquiry to court records easier.

Officer - Can be number only or name and number. Should be able to identify a specific officer.

SAMPLE CAPTURE DOCUMENT

| | | | | | |
|--|---|---------------------|--|--------------------------------|---|
| 1 MISC REPORT | 2 JUV ARREST | 5 OTHER | 6 TYPE | 7 REPORT NUMBER | 8 DEPT |
| 3 ARREST REPORT | WARR REGISTER | | | | |
| 9 DATE OF REPORT | 10 TIME | 10A PERSON BY PHONE | 11 REPORT NAME AND/OR CHARGE | | 12 TIEPIN CODE |
| 13 COMPLAINANT: LAST NAME FIRST MIDDLE | | | 13A M SEX F | 14 OFFICER | 15 OFFICER'S NUMBER |
| 16 ADDRESS STREET | | CITY | STATE | 16A PLACE OF EMPLOYMENT | 16B BUS. PHONE |
| 17 GRID | 18 UCR | 19 DISP | 20 HOME PHONE | B L D G | 24 HIWAY 25 BANK 26 DRUG STORE 27 HOME 28 AUTO 29 GAS STA 30 COMM HSE 31 CHAIN 32 OTHER |
| 21 DOB | 22 TEMPERAMENT OF COMPLAINANT | | 23 DIST | | |
| 33 LOCATION OF INCIDENT | | | 34 TIME OF OCCURANCE BETWEEN TIME DATE & TIME DATE | | |
| 35 PERSON | 41 LAST NAME (OR FIRM) FIRST MIDDLE | | 42S M E X F | RACE | 43 W 44 R 45 I 46 C 47 J |
| 36 WITNESS | 37 VICTIM 50 ADDRESS: STREET CITY STATE | | 48 OTHER | | 49 DOB |
| 38 SUSPECT | 51 PHONE | 52 DRIVER'S LICENSE | STATE | 53 SOC. SEC. #, MILITARY, ETC. | |
| 40 OTHER | 1 D M O | | 54 TATTOO 55 FRECKLES 56 WRINKLES 50 AREA OF MARK/SCAR | 61 DESC. MARK | 62 HT 63 WT 64 HAIR 65 EYES |
| DESC. OF CLOTHING | 66 HAT | 67 JACKET/COAT | 68 SHIRT/BLOUSE | 69 TROUSERS/SKIRT/DRESS | 70 SHOES |
| 71 STOLEN | 79 LICENSE NUMBER | 80 STATE | LOC STOLE 87 | 91 STOLEN | 104 TYPE - WHAT IS IT? 105 BRAND |
| 72 WANT | 81 MAKE | | 82 COLOR | 92 LOST | 93 FOUND |
| 73 SUSPECT | 83 MODEL | | 84 STYLE | 94 DAMAGE | 106 SERIAL NUMBER 107 MODEL |
| 74 VICTIM | 85 YEAR 85 VEHICLE IDENT NUMBER (VIN) | | 86 | 95 OTHER | 108 VALUE 109 INVTY # 110 CALIB 111 INSURED |
| 75 WITNESS | 87 | | 88 | 96 PISTOL 97 REVOLVER | 112 DESCRIBE FIREARM |
| 76 LOCATE | 89 | | 90 | 98 RIFLE 99 SHOTGUN | 100 AUTO LOAD 101 LEVER 113 BARREL LENGTH, ETC. |
| 77 REPO | 90 ADDITIONAL INFO: | | 102 BOLT | 103 SLIDE | |
| 78 OTHER | 114 FATHER | | 115 PHONE | 116 MOTHER | 117 PHONE |
| 118 SCHOOL | | | 119 PARENTS NOTIFIED BY WHOM? | | 120 TIME NOTIFIED? |

- COPY TO:
- SHERIFF
 - CHIEF
 - DIX
 - JUV
 - RADIO
 - CHEX
 - AUTO
 - PROF
 - H & R
 - TRAFFIC
 - TIEPIN
 - DATA PROJ
 - CIVIL
 - JAIL
 - STATS
 - CITY PROJ
 - ST. PROJ
 - HEALTH
 - REFUSE
 - TRAF ENG
 - POUND
 - OTHER

APPENDIX B
SAMPLE PROCEDURE MANUAL

Procedure Manual

An acceptable method of insuring consistency in any process is to document the process in such a manner that all persons are performing the process in identical ways. This concept will work, providing the procedure manual is used. Policy mandating the use of the manual by all participating personnel is essential, as is the penalty for failure to abide by the processes identified in the manual.

The manual need not be a long, technically phrased document. Conversely, the extremely simple but ambiguous document lends itself to confusion and inconsistency.

Some departments have each supervisor develop procedural manuals responsive to their particular processes. This does allow for the process to be completed in a shorter time. This process is acceptable provided one person is utilized to review all submitted manual pages and to provide the necessary interrelating documents to make all of the identified processes support the concept of a total comprehensive process.

The following is an example of a process of documentation entitled, "Play Script".

Procedures for General Report Forms

INITIAL PREPARATION is accomplished by any personnel receiving data which initiates an incident. This could be by personnel of any division and any rank.

MINIMUM DATA must be completed on all report forms. This must include all data pertaining to type of report (Arrest, Complaint, Warrant Registrar, Juvenile Report, etc.), date taken, time, how received, title of report.

COMPLAINANT INFORMATION must be sufficiently complete to know who reported the incident, who took the report, where the complainant lives or can be reached, and where the incident took place.

PERSON'S INFORMATION must contain name, sex, race, and DOB when possible. Name and DOB are the minimum requirements for inquiry to WACIC/NCIC. Other data such as sex, race, and physical descriptors should be completed whenever possible.

VEHICLE AND PROPERTY information, when applicable, should be as complete as possible.

JUVENILE NOTIFICATION information must be completed whenever a juvenile subject is detained. If there is not a phone to notify the parents or guardian, then a car must be dispatched. If no contact can be

made, this must be noted on the report and efforts continued until notification is made.

NARRATIVE INFORMATION should be brief but sufficiently complete to support investigation and prosecution.

REVIEW of the completed form must be performed by the immediate shift supervisor. Completeness of minimum data must be a primary review criteria. All reviewed reports must be initialed by the reviewer.

ADDITIONAL REPORTS must have the original report number on all sheets of the additional report.

RECORDS PERSONNEL will number, review, sort, and index all reports.

NUMBERING is performed on original documents as the first task to records processing.

REVIEW pertains to those data fields needed to complete sorting, indexing or other sub-system support.

SORT all documents into workable units. This shall include additional for filing to the original, Part I Offenses for further evaluation and processing decreed by management.

INDEXING will either be initial indexing or update indexing.

INITIAL INDEXING initiates a new index card for the subject or initiates cross-reference to an alias or an associate.

UPDATE INDEXING adds the specific transaction to the existing index card.

SUB-SYSTEM PROCESSING includes accounting for the Uniform Crime Report, statistical processes, special processing such as burglary prevention, and management information. These data collection processes must be completed prior to filing.

APPENDIX C

REQUIREMENTS FOR USABLE DATA

Usable Data Requirements

Data collection is a process which lends itself to inconsistent practices. Each individual can easily invent his own way of doing things. Something as simple as height of subject can become hard to work with for records personnel. One report may contain height as 5'11", while another could be 5-11. Other variations could be 5'-11", 71", 511. Further complications are encountered when the middle digit is '0'. Six feet, one inch can become a potential problem, especially if confused with an inches of height designation; 6'-1", 6-1, 51, all potentially have error potential. A consistent policy of feet followed by inches including zeros is the safest procedure, thus 5'-11" becomes 511 and 6'-1" becomes 601.

The following are some examples of consistent data requirement:

DATE: Always month, day, year 01-01-01 is January 1, 1901
02-02-01 is February 2, 1901.

Military usage reverses month/day, so caution must be used by personnel with military experience.

DATE OF BIRTH: Always six digits, 01-01-01.

TIME: Always use 2400 clock; 2 PM could be confused with 2 AM, while 1400 hrs versus 0200 hrs is always clear.

REPORT NAME and/or CHARGE: First word will always be crime or incident. Second identifies degree or severity of crime. Third word identifies other support data. Examples:

Burglary, Forced, Residence
Burglary, Attempt, Drug Store
Theft, From Auto, Stero
Theft, Of Auto
Theft, Of Truck and Trailer
Theft, Shoplift
Person, Injured, Industrial
Dog Barking
Dog Bite
Dog, Found

PHONE: Always must be totally numbered or numeric.

ADDRESS: Always direction, number, name. Examples: E. 120 Main.

COLOR: Use definitions common to WACIC entry.

Hair Color

Black = BLK
 Blond = BLN
 Grey = GRY
 White = WHI

Eye Color

Blue = BLU
 Green = GRN
 Hazel = HAZ
 Pink = PNK

AUTOS: Use definitions common to WACIC entry.

Autos Make

Cadillac = CDI
 Chevrolet = CHEV
 Ford = FORD
 Toyota = TOYT

Other types of consistency in reports pertains to total data collection per report. A report on a Rape is definitely different from a Burglary, Illegal Entry. Illegal Entry perhaps is the only common factor.

The following illustrates elements of reports involving Crimes Against Property. All reports against property should be made with this type of outline as the constant. This is true with regard to Crimes Against People, Crimes Relating to Worthless Documents, and Sex Crimes.

The four following pages contain illustrations of questions which should be answered before a report is handed in order to be considered adequate for investigation or prosecution.

CRIMES AGAINST PEOPLE - WHAT EVERY REPORT SHOULD CONTAIN, AT A MINIMUM

1. The specific crime involved.
2. Date and time crime occurred.
3. Location of occurrence.
4. Date and time crime reported.
5. Victim's name, address, residence phone, and business phone.
6. Person reporting crime, residence address, residence phone, and business phone.
7. Witnesses' names, addresses, residence phones, and business phones.
8. Victim's occupation, race, sex, and age.

9. Exact location of victim at the time of crime.
10. Victim's activity at time of crime.
11. Weapon or force used (describe).
12. Type of property taken.
13. Type of premises.
14. Trademark of suspect (actions or conversation, use exact words).
15. Vehicle used by suspect, license number, color, year, make, body type, identifying characteristics.
16. Suspects - names, addresses, race, sex, age, height, weight, hair, eyes, complexion, clothing.
17. Details of Crime:
 - (a) Narrative of crime
 - (b) Make certain narrative of the crime includes answers to the questions: WHO, WHAT, WHEN, WHERE, WHY, HOW, HOW MUCH, and TO WHOM.
 - (c) Describe evidence, including all physical evidence found and its disposition.
 - (d) Itemize and describe any property obtained, including serial numbers and value.
 - (e) How do you intend to prove the elements of this crime?
 - (f) Attach any statements taken from witnesses or suspects.
18. Matters of Defense:
 - (a) Was the defendant drinking or intoxicated?
 - (b) Did the victim do anything which might support the plea of self-defense?

CRIMES AGAINST PROPERTY - WHAT EVERY REPORT SHOULD CONTAIN, AT A MINIMUM

1. The specific crime involved.
2. Date and time crime occurred.

3. Location of occurrence.
4. Victim's name, residence address, residence phone, and business phone.
5. Person reporting crime, residence address and phone and business phone.
6. Person who secured premises, residence address and phone, and business phone.
7. Person who discovered crime, residence address and phone and business phone.
8. Witnesses: Names, residence addresses and phones, and business phones.
9. Victim's occupation.
10. Type of premises entered.
11. Point where entrance is made.
12. Method used to gain entrance.
13. Instrument used.
14. Weapon use, if any.
15. Type of property taken.
16. Where were occupants?
17. Suspects? Their sex and descriptions.
18. Trademarks of suspects (actions or conversation).
19. Vehicle used by suspect. Year, make, body style, color, license number, and identifying characteristics.
20. Details of crime:
 - (a) Narrative of crime
 - (b) Make certain narrative of the crime includes answer to the questions: WHO, WHY, WHAT, WHEN, WHERE, HOW, HOW MUCH and TO WHOM

- (c) Describe evidence, including all physical evidence found and its disposition
 - (d) Itemize and describe any property obtained, including serial numbers and value.
 - (e) How do you intend to prove the elements of this crime?
 - (f) Attach any statements taken from witnesses or suspect.
21. Attach Worthless Documents
22. Matters of defense:
- (a) Was check postdated?
 - (b) Was there an agreement to hold the check?
 - (c) Was defendant intoxicated?

SEX CRIMES - WHAT EVERY REPORT SHOULD CONTAIN, AT A MINIMUM

1. Specific crime.
2. Date and time crime occurred.
3. Location of occurrence.
4. Date and time crime reported.
5. Victim's name, address, phone number.
6. Person reporting crime, address, phone number.
7. Witnesses' names, addresses, phone numbers.
8. Victim's occupation, race, sex, and age.
9. Exact location of victim at time of crime.
10. Victim's activity at the time of crime.
11. Weapon or force used.
12. Type of premises.
13. Trademark of suspect (actions or conversation - exact words used).

14. Vehicle used by suspect, license number, color, year, make, body type, and identifying characteristics.
15. Details of crime:
 - (a) Narrative of crime.
 - (b) Make certain narrative of the crime includes answers to the questions: WHO, WHAT, WHEN, WHERE, WHY, HOW, HOW MUCH, and TO WHOM
 - (c) Describe evidence, including all physical evidence found and its disposition.
 - (d) Itemize and describe any property obtained, including serial numbers and value.
 - (e) How do you intend to prove the elements of this crime?
 - (f) Attach any statements taken from witnesses or suspect.
16. Matters of defense:
 - (a) Was defendant intoxicated?
 - (b) If the case involves rape, does defendant claim that victim gave consent?
 - (c) Any other matters that defendant might claim as an excuse for the crime?
 - (d) Does victim have any ulterior motive for making complaint?
17. Physical examination of victim (when, where, name of doctor) and results of doctor's examination, including, if possible, his written report.

END