

Idaho Department of Correction 	<b>Standard          Operating          Procedure</b>  <b>Office of          Professional          Standards</b>	<b>Control Number:</b> 227.01.01.002	<b>Version:</b> 1.0	<b>Page Number:</b> 1 of 5
		<b>Title:</b> Record Keeping: Administrative Investigations		<b>Adopted:</b> 4-20-2009  <b>Reviewed:</b> 4-20-2009  <b>Next Review:</b> 4-20-2011

This document was approved by James Loucks, chief investigator of the Office of Professional Standards, on 4/20/09 (signature on file).

#### BOARD OF CORRECTION IDAPA RULE NUMBER

[None](#)

#### POLICY STATEMENT NUMBER 227

[Administrative Investigations](#)

#### POLICY DOCUMENT NUMBER 227

[Administrative Investigations](#)

#### DEFINITIONS

[Standardized Definitions List](#)

**Case File:** A Human Resource Services (HRS) file folder containing confidential documents on individual staff investigations, performance issues, corrective/disciplinary matters, and cases that are in litigation or in administrative hearings. A case file may become a part of an investigative report upon completion of the investigation. All case files are archived by HRS. Case file information is shared only with those on a need-to-know basis or as required by *Idaho Code* or legal authorization.

**Human Resource Services (HRS):** The group within the Department of Correction authorized and directed to administer human resource functions and services for Department employees and management.

**Investigative File:** An Office of Professional Standards (OPS) file containing the Investigative Report and other documents such as, interview summaries, witness statements, evidence logs, and supporting documents of an approved investigation.

**Office of Professional Standards (OPS):** The designated unit under the Director's Office with primary responsibility for conducting investigations of employee misconduct allegations and providing assessment and general investigative services for the Department.

**Record:** Recorded information, in any form, including data in computer systems, created or received and maintained by an organization or person in the transaction of business or the conduct of affairs and kept as evidence of such activity.

<b>Control Number:</b> 227.01.01.002	<b>Version:</b> 1.0	<b>Title:</b> Record Keeping: Administrative Investigations	<b>Page Number:</b> 2 of 5
---	------------------------	--	-------------------------------

## PURPOSE

The purpose of this standard operating procedure (SOP) is to provide guidance on the creation and management of records and files maintained by the Office of Professional Standards (OPS).

## SCOPE

This SOP applies only to OPS staff.

## RESPONSIBILITY

All OPS staff will be responsible for implementing and adhering to the guidance provided herein.

## Table of Contents

General Requirements .....	2
1. Introduction .....	2
2. Recordkeeping Principles .....	2
3. Recordkeeping Systems .....	3
Primary Record Keeping System .....	3
Other Recordkeeping Systems .....	4
4. Periodic Review of Investigative Files .....	5
5. Evidence: Collecting, Handling, Processing, and Disposing .....	5
6. Record Retention and Destruction .....	5
References .....	5

## GENERAL REQUIREMENTS

### 1. Introduction

Good recordkeeping supports a strong information management culture and is part of good corporate governance. Increasingly, records are created and stored in electronic systems and managed by OPS staff. As a result, this SOP assists the OPS to operate efficiently and effectively, and meet Department administrative obligations and expectations. It describes the obligations for the creation, receipt, collection, maintenance and use of records for operational, evidentiary, accountability, research, and historical purposes.

### 2. Recordkeeping Principles

Quality records are assets and key components that provide evidence of and information about the administration and investigative activities of the OPS. It is important, therefore, that OPS records be managed according to the following recordkeeping principles:

- OPS will comply with relevant legislation that applies to records, especially legislation governing retention or destruction of records. (See [section 6](#)).

<b>Control Number:</b> 227.01.01.002	<b>Version:</b> 1.0	<b>Title:</b> Record Keeping: Administrative Investigations	<b>Page Number:</b> 3 of 5
---	------------------------	--	-------------------------------

- OPS will implement best practice standards for recordkeeping and acknowledges that, increasingly, efficient and effective recordkeeping is the responsibility of all OPS staff as information and records are managed electronically at the desktop.
- OPS will aim to make the best practical use of available recordkeeping technology. In doing so, OPS will ensure that the integrity of records is protected over time.
- OPS' systems for recordkeeping (technology and work practices) will cover essential recordkeeping functions, including:
  - ◆ Generation and maintenance of records;
  - ◆ Protecting the integrity and authenticity of records;
  - ◆ Ensuring appropriate security; and
  - ◆ Enabling access and use of records.

### 3. Recordkeeping Systems

All OPS records shall be created and maintained within the preferred recordkeeping systems described in this section.

**Note:** Records shall not be maintained on individual desktop or laptop computer hard drives.

#### **Primary Record Keeping System**

The OPS shall use an electronic shared file system (that is accessible to all OPS staff) as its primary recordkeeping system. The electronic shared file system is intended to ensure that the entire investigation folder is maintained in one (1) place and that individual items and content cannot be modified or altered by unauthorized users.

The electronic shared file system is currently identified on the IDOC's server filing system as the 'J' drive. All OPS administrative and investigative forms and records such as electronic reports, records, digital audio and video recordings, photographs, and original paper documents converted to electronic formats through digital imaging will be captured and stored on the J drive. The J drive may consist of all or some of the following:

#### **Investigative Files**

Investigative files shall be identified and titled with the two (2) digit year followed by a three (3) digit sequential number. For example, the first and third case worked on in 2009 would be identified and titled '09-001' and '09-003' respectively.

#### **Evidentiary Exhibits**

Evidentiary exhibits shall be stored in their respective, appropriately lettered folders inside a folder titled 'exhibits.' An exhibit folder shall be identified and titled with the appropriate alpha character identifier followed by the title of the exhibit. For example, a written statement maintained as 'Exhibit A' would be identified and titled 'Exhibit A – Written Statement.'

#### **Attachments**

Report attachments shall be stored in a folder titled 'Attachments' and each attachment shall be titled with the attachment number followed by the title of the attachment. For

<b>Control Number:</b> 227.01.01.002	<b>Version:</b> 1.0	<b>Title:</b> Record Keeping: Administrative Investigations	<b>Page Number:</b> 4 of 5
---	------------------------	--	-------------------------------

example, if the first attachment is a training document, the attachment would be identified and titled 'Att 1 – Training Document' **or** '1 – Training Document.'

### **Other Notes and Documents**

All other notes and documents used for reference, but not included as report attachments, shall be scanned and stored in a folder titled 'Notes.' Each note and document saved in the 'notes' folder shall be titled appropriately pursuant to the subject matter.

### **Other Recordkeeping Systems**

While the primary recordkeeping system (described above) constitutes the OPS' preferred recordkeeping system for administrative and investigative records, there are a number of databases, software applications and paper-based systems used for recordkeeping purposes. These include the International Association of Chiefs of Police (IACP) Internal Affairs Automated Case Tracking System **and** file folder cabinet storage.

#### **IACP Internal Affairs Automated Case Tracking System**

The IACP Internal Affairs Automated Case Tracking System captures general complaint data and provides a basis by which rates of allegations and disciplinary actions of various types can be compared statistically. It also provides a limited 'Automatic Early Intervention System'.

OPS staff will follow the guidelines set forth in the *IACP Internal Affairs Automated Case Tracking System Installation and Operating Instructions* when using the system.

#### **File Folder Cabinet Storage**

When used, investigative files **and/or** case files will be maintained in a secure file cabinet that will be locked when OPS staff is not present. For standardization purposes, each investigative file shall consist of a pressboard folder with at least two (2) dividers (or other suitable folder as determined by the chief investigator), so that associated documents can be organized and maintained.

This multi-tab investigative file shall be labeled as follows beginning with the left, inside tab:

- Investigation Tracking Sheet,
- Report,
- Investigation Authorization,
- Attachments,
- Evidence Log, and
- Investigator Notes.

The *Investigation Tracking Sheet* (Appendix 1) shall be used to track and record an investigation's progress.

Investigative files **and/or** case files should not be removed from the designated secured storage area. However, should there be a need to take a file out of the secured storage area, the file will be tracked by replacing the file with an index card indicating the name of the individual in possession of the file, the case number or name identified on the file,

<b>Control Number:</b> 227.01.01.002	<b>Version:</b> 1.0	<b>Title:</b> Record Keeping: Administrative Investigations	<b>Page Number:</b> 5 of 5
---	------------------------	--	-------------------------------

and the date the file was removed. The index card shall be maintained in the file folder storage cabinet in the slot of the removed file until the removed file is returned.

**Note:** Neither the investigative file **or** case file shall be released to external sources. However, OPS staff may make complete copies of the investigative file for requestors, as deemed appropriate by the chief investigator.

#### 4. Periodic Review of Investigative Files

A periodic review of each investigative file is essential to ensuring that OPS investigators comply with applicable policies and procedures.

At least once every 90 days, the chief investigator shall conduct a review of all active investigative files (or cases) **and** all investigative files (or cases) that closed over the last 90 days. The chief investigator will:

- Monitor the progress of each case by reviewing investigative work completed or accomplished and work that is planned;
- Verify compliance with any applicable policies and procedures; and
- Discuss any issues associated with, or approvals needed, to carry out the investigative strategy.

#### 5. Evidence: Collecting, Handling, Processing, and Disposing

Evidence shall be collected, handled, processed, and disposed of as provided in SOP [116.01.01.001](#), *Custody of Evidence: Office of Professional Standards*.

#### 6. Record Retention and Destruction

All OPS records shall be retained or destroyed as provided in SOP [227.01.01.001](#), *Administrative Investigations*.

#### REFERENCES

Appendix 1, *Investigation Tracking Sheet*

Department Policy [227](#), *Administrative Investigations*

Standard Operating Procedure [116.01.01.001](#), *Custody of Evidence: Office of Professional Standards*



**IDAHO DEPARTMENT OF CORRECTION**  
**Office of Professional Standards**  
**Investigation Tracking Sheet**

**Case Number:** \_\_\_\_\_ **Name:** \_\_\_\_\_

**Notifications and Approvals**

- Investigation Authorization/Request for Investigation received Date: \_\_\_\_\_
- Leave with Pay?  No  Yes (If yes, copy to HRS Payroll) Date: \_\_\_\_\_
- Notification of staff investigation to employee(s) Date: \_\_\_\_\_

**Receipt**

- Case tracking software entry Date: \_\_\_\_\_

**Communication with Complainant**

- Advise complainant of status  Not applicable Date: \_\_\_\_\_

**File**

- Print out training record Date: \_\_\_\_\_
- Employee 'face sheet' with personal data and photograph Date: \_\_\_\_\_

**Investigation**

- Assigned investigator's name: \_\_\_\_\_ Date: \_\_\_\_\_
- Investigation initiated Date: \_\_\_\_\_
- Investigation completed Date: \_\_\_\_\_
- Report completed Date: \_\_\_\_\_
- Advise complainant of investigation completion  Not applicable Date: \_\_\_\_\_

**Report Distribution for Findings**

- Report to Review Team electronically Date: \_\_\_\_\_
- Review Team decision meeting Date: \_\_\_\_\_
- Contemplated corrective or disciplinary action logged/To HRS Date: \_\_\_\_\_

**Case Disposition**

- Corrective or disciplinary action imposed Date: \_\_\_\_\_
- Final discipline/sanctions information from HRS entered Date: \_\_\_\_\_
- Closed in OPS tracking software Date: \_\_\_\_\_