Idaho Department of Correction	**Standard Operating Procedure**	Title: **Record Keeping: Administrative Investigations**		Page: 1 of 4
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Henry Atencio, deputy director, approved this document on 12/07/2015.

Open to the public: ☒ **Yes**

SCOPE

This SOP applies to all Special Investigations Unit (SIU) staff.

Revision Summary
Revision date (12/07/2015) version 4.0: Significant rewrite, correct organizational names and titles, move to the 150 policy series.

TABLE OF CONTENTS

BOARD OF CORRECTION IDAPA RULE NUMBER

None

POLICY CONTROL NUMBER 150

Special Investigations Unit

PURPOSE

The purpose of this standard operating procedure (SOP) is to establish standards and practices regarding the creation and management of records and files maintained by the Special Investigations Unit (SIU).

RESPONSIBILITY

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

GENERAL REQUIREMENTS

Good recordkeeping supports a strong information management culture and is part of good corporate governance. Because records are created and stored in electronic systems and managed by SIU staff, this SOP will assist the SIU 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.

1. **Record Keeping Principles**

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

   - SIU will comply with relevant legislation that applies to records, especially legislation governing retention or destruction of records.

   - SIU will implement best practice standards for recordkeeping and acknowledges that efficient and effective recordkeeping is the responsibility of all SIU staff.

   - SIU will aim to make the best practical use of available recordkeeping technology.

   - SIU will work to ensure that the integrity of records is protected over time.

2. **Record Keeping Systems**

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

   Records must not be maintained on individual desktop or laptop computer hard drives.

   Primary Record Keeping System

   The SIU shall use an electronic shared file system (that is accessible to SIU staff) as its primary recordkeeping system. The electronic shared file system is intended to ensure that the entire investigation folder is maintained in one place and that individual items and content cannot be modified or altered by unauthorized users. The electronic file system will be generally accessible only to SIU staff and to others on an as-needed basis as authorized by the chief investigator.

   The electronic shared file system is currently identified on the IDOC's server filing system as the 'Q' drive. All SIU administrative and investigative forms and records such as electronic reports, records, digital audio and video recordings, photographs, and original

Idaho Department of Correction

paper documents converted to electronic formats through digital imaging will be captured and stored on the 'Q' drive. The 'Q' 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 example, if the first attachment is a training document, the attachment would be identified and titled 'Attachment 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 Record Keeping Systems

While the primary recordkeeping system (described above) constitutes the SIU preferred recordkeeping system for 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.

AIACP 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.

File Folder Cabinet Storage

Any hard copies of Investigative files will be maintained in a secure file cabinet that will be locked when SIU staff is not present.

Generally, investigative files should not be removed from the designated secured storage area. 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 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.

Idaho Department of Correction

The investigative files shall not be released to external sources. However, SIU staff may make complete copies of the investigative file for requestors, as deemed appropriate by the chief investigator.

3. 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: Special Investigations Unit.*

4. Record Retention

Records that are unique to the SIU and are exempt from the State of Idaho Records Management Guide, must be retained indefinitely.

DEFINITIONS

Investigative File: A Special Investigations Unit (SIU) file created for an authorized investigation containing an Investigative Report and other supporting documents including interview summaries, witness statements, and evidence logs.

Special Investigations Unit (SIU): The unit under the Director's Office primarily responsible 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.

REFERENCES

Standard Operating Procedure 116.01.01.001, Custody of Evidence: *Special Investigations Unit*

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