3-09/110.20 - Audit Trails

Each unit shall keep a record of each release of California Department of Justice RAP sheets or information derived therefrom. The record shall be retained and available for inspection for a period of not less than three years from the date of release.

This record shall contain the date of release, name of requesting agency (and name of requesting person, if possible), name of receiving agency (and name of receiving person, if possible), information given, and how the information was transmitted.

The requirement for recording each release need not apply to routine in-house procedures if the location of any specific DOJ RAP sheet is easily determinable through other records such as case assignment records, arrest registers, or other formal standard procedures. If a DOJ RAP sheet is included as part of a document package (such as an incident, probation pre-sentence report, etc.) and a record of the disposition or location of those documents is maintained, that record will suffice as a record of the release of the DOJ RAP sheet.

When an employee of this Department or outside agency utilizes a Department JDIC terminal or direct access terminal to request criminal record information from DOJ, National Crime Information Center (NCIC) ,or another state via the National Law Enforcement Telecommunications System (NLETS), the request shall contain the employee's last name and unit of assignment. The Automated Justice Information System (AJIS) arresting agency code shall be used to indicate the employee's unit of assignment. To support the audit function, the request shall include one of the following:

- A truncated Uniform Report Number (URN) with the request results from an investigation associated with a specific Incident Report. The truncated URN shall consist of the reporting year, sequential number, and the first two digits of the unit designation number or location element (station identifier);
- The purpose of the investigation (i.e., burglary, 211 PC, etc.) when the request is not associated with a specific incident report. The purpose shall be included when a manual RAP sheet is requested from DOJ;
- The word "booked" or "bkg" when the request results from an occasion wherein a subject is booked and an URN is not issued;
- The word "Pawn" when a request is associated with information obtained from a pawn slip; and
- The letters "SH-R-368" (Criminal Record Release Transmittal) and indicate the arresting agency code and the last name of the person receiving or requesting the information.

When an employee of this Department releases RAP sheet information, a Criminal Record Release Transmittal (SH-R-368) shall be completed. If the information is given by phone, then the releasee must complete the card. The form will have a printed notification advising that it is unlawful to disseminate RAP sheet information except to authorized agencies or persons.

When a meeting between representatives of the Department and representatives from other agencies is held and RAP sheet information is disseminated, a list shall be compiled naming the person and agency receiving information. This list shall be attached to the SH-R-368 and filed with it.