
**President's Council on Integrity and Efficiency
Executive Council on Integrity and Efficiency**

**QUALITY
STANDARDS
FOR
INVESTIGATIONS**

DECEMBER 2003

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PREFACE

The standards and principles set forth in this document are intended to serve as guidelines applicable to the investigative efforts of criminal investigators working for the Offices of Inspector General (OIGs) affiliated with the President's Council on Integrity and Efficiency and the Executive Council on Integrity and Efficiency. While it is recognized that members of the OIG community are widely diverse in their missions and day-to-day operations, certain standards are applicable to any investigative organization. The standards outlined herein are comprehensive and relevant to a full range of government investigations, including all forms of misdemeanors and felonies (i.e., fraud, corruption, violence, property, narcotics, cyber, and white-collar crime), background and security inquiries, whistleblower issues, research misconduct issues, administrative and programmatic matters, and special investigations requested by any appropriate authority.

This booklet outlines two types of investigative standards—General and Qualitative. General Standards apply to investigators and the organizational environments in which they perform. They address the "need for" criteria and apply to all investigative activities from complaint processing, to gathering and analyzing evidence, to reporting investigative functions and processes with regard to investigations. Qualitative Standards address the "how to" criteria in general terms and include such areas as planning, conducting interviews, reporting investigative results, and related activities.

The Quality Standards for Investigations outlines goals that organizations must aggressively and actively strive to achieve. It is not intended, however, to serve as a detailed investigative handbook, with specific statutory or other legal requirements. Rather, each OIG should develop and issue an investigations manual to address implementation of these standards, as well as investigative procedures tailored to its particular mission and investigative discipline. How agencies implement them depends upon the unique circumstances of the respective department or agency.

This booklet replaces the standards published by the President's Council on Integrity and Efficiency in September 1997. It is intended to serve as a framework for performing internal quality assurance reviews or peer reviews within the investigative community.

QUALITY STANDARDS FOR INVESTIGATIONS

GENERAL STANDARDS

General Standards apply to investigators and the organizational environment in which they perform. They address the "need for" criteria. The three general standards address qualifications, independence, and due professional care.

A. Qualifications

The first general standard for investigative organizations is:

Individuals assigned to conduct the investigative activities must collectively possess professional proficiency for the tasks required.

This standard places upon the investigative organization the responsibility for ensuring that investigations are conducted by personnel who collectively have the knowledge and skills required to perform the investigative activities.

Guidelines

Investigations vary in purpose and scope: the integrity of programs, operations, and personnel in agencies at federal, state, and local levels of government; complex procurement fraud schemes; traditional misdemeanors and felonies; the background and suitability of individuals for employment or for granting of security clearances; whistleblower retaliation; research misconduct concerns; and other matters involving alleged violations of law, rules, and regulations. These investigations often require the use of specialized investigative techniques; examination of complex financial transactions, contracts and grants, and business operations; and interviews of a wide-range of Government and corporate officials. A wide variety of knowledge and skills is necessary to perform the broad range of activities required by these diverse investigations.

Investigative organizations should establish criteria to be used in recruiting and selecting the best-qualified applicants. At a minimum, factors to be considered in employing entry-level candidates should include education and experience, character, age, and physical capabilities. Each of these factors may be controlled by legislation, regulation, or agency needs.

Investigative organizations should, as circumstances warrant, review these criteria to ensure that they assist in providing the best-qualified applicants. In addition, organizations should establish

appropriate avenues, where possible, for investigators to acquire and maintain the necessary knowledge, skills, and abilities; complete entry-level training; participate in in-service training; and receive professional development opportunities.

Education—It is desirable that all newly appointed investigators possess a degree from an accredited four-year college.

The knowledge acquired from a higher education will enable the investigator to better deal with complex problems encountered in day-to-day investigative work. Higher education enhances the investigator's ability to communicate effectively, both orally and in writing, with witnesses, other law enforcement, prosecutors, supervisors, coworkers, and the general public.

Experience—Depending on the specific needs of the agency, allowances may be made for candidates to substitute job experience for a college education. Suitable job experience would provide the candidate with demonstrable knowledge, skills, and abilities pertinent to the investigative position as discussed later in this document.

Depending upon the nature of the investigative organization's mission, additional requirements may be established for specific types of experience (e.g., financial, computer skills, etc.).

Character—Each investigator must possess and maintain the highest standards of conduct and ethics, including unimpeachable honesty and integrity.

Every citizen is entitled to have confidence in the integrity of government affairs and those who conduct them. Investigators must earn and honor that trust through their integrity and conduct in all official and personal actions. Because of the sensitivity of investigative functions, a suitability determination should be made as to the investigator's character, reputation, trustworthiness, and overall fitness for such a position. A determination as to one's suitability will be based on the results of a background investigation, including personal interviews, written inquiries and confirmations, record searches, and a review of the applicant's compliance with programs administered by the agency. An agency should determine the period or term to be covered by the background investigation based upon program responsibilities. Such suitability decisions should be made prior to the appointment of an individual as an investigator. Possession of a security clearance does not, by itself, satisfy the requirement for a background investigation to determine suitability (i.e., agencies should have a mechanism in place for conducting reference checks and other background checks deemed appropriate).

Physical Capabilities—Each investigative organization should develop job-related physical requirements in accordance with current statutes, regulations, and agency policies to enable investigators to discharge their duties adequately, while promoting personal well-being.

The physical demands placed upon the investigator will vary among agencies. Some organizations may desire to establish a fitness program for investigators to provide and maintain physical fitness and reduce the risks of cardiovascular disease, obesity, stress, and other related ailments and disorders.

It is in the interest of an investigative agency to establish and maintain a vibrant workforce, because an investigator's duties frequently require irregular unscheduled hours, personal risk, exposure to extreme weather conditions, considerable travel, and arduous exertion. Investigators are frequently engaged in stressful encounters and can be victims of "burn out."

Age—Consideration must be given to minimum and maximum age requirements for entry-level positions in accordance with applicable statutes and regulations. Waivers may only be granted in accordance with applicable regulations.

Knowledge, Skills, and Abilities—Due to the critical and sensitive nature of an investigator's position, investigative agencies should ensure that all investigators, once selected, possess the requisite knowledge, skills, and abilities summarized below to fulfill their responsibilities.

1. A knowledge of theories, principles, practices, and techniques of investigation and the education, ability, and experience to apply such knowledge to the type of investigation being conducted;
2. A knowledge of government organizations, programs, activities, functions, and, where applicable, their interrelations with the private sector;
3. A knowledge of applicable laws, rules, and regulations, including the U.S. Constitution, the U.S. Criminal Code (including elements of crimes), the Federal Rules of Evidence, the Federal Rules of Criminal Procedure, and other pertinent statutes, such as the Privacy, Freedom of Information, and Whistleblower Protection Acts;
4. An ability to exercise tact, initiative, ingenuity, resourcefulness, and judgement in collecting and analyzing facts, evidence, and other pertinent data; make sound deductive reasoning; and make oral and written reports;
5. An ability to safely and effectively carry out law enforcement powers, where duly authorized, including carrying firearms, applying for and executing search warrants, serving subpoenas, and making arrests; and,
6. The skills necessary for the investigation:

This qualification standard recognizes that proper training is required in order to meet the need for the broad range of special knowledge and skills necessary to conduct investigations. This training should include both formal classroom and on-the-job training. The qualifications mentioned herein apply to the skills of an investigative organization as a whole and not necessarily to every individual investigator. If an organization possesses personnel or draws upon outside resources with acceptable skills in such areas as accounting, use of investigative equipment and computerized systems, each individual member need not possess all these skills. Skills required to conduct an investigation are:

- (a) Proficiency at obtaining information from people;
- (b) Ability to analyze and understand documentary evidence;
- (c) Understanding of witness confidentiality and “whistleblower” concepts;
- (d) Ability to analyze and evaluate facts; make sound, objective assessments and observations; and, where appropriate, make constructive recommendations;
- (e) Ability to effectively use computer equipment, software and related systems in support of the investigative process;
- (f) Ability to deliver clear, concise, accurate, and factual summaries of results of investigations, both orally and in writing;
- (g) Ability to prepare and obtain signed, sworn statements; and
- (h) Ability to utilize appropriate and authorized specialized investigative techniques.

Entry-Level Training—All investigators must successfully complete a formal basic training course. This training may be specifically designed to meet an agency's basic program needs. This basic training program should include areas such as investigative planning; interviewing techniques; sources of information; collecting, analyzing and preserving evidence; rules of evidence; affidavits and statements; specialized investigative techniques; constitutional law; relevant statutes and regulations; report writing; testifying in court and administrative hearings; preparations and execution of search warrants; grand jury procedures and secrecy provisions; arrest procedures; firearms training; defensive tactics; and instruction in the use of force. Agencies may consider sending investigators to training programs at the Inspector General Criminal Investigator Academy or may provide in-service training covering similar topics, as best suits the agency's requirements and the investigator's experience. In addition, each agency should provide orientation (formal or informal) specifically relating to the agency's mission, programs, policies, procedure, rules, and regulations. (See Appendix A-Job Task Illustration for Investigators.)

In-Service Training—Investigative agencies should ensure that investigative personnel remain current with new laws and court decisions affecting operations, technological improvements and any changes in agency and national level policies, procedures, rules, and regulations (e.g., Transportation Security Administration [TSA] training on “flying while armed”). All post-basic training should be part of a systematic, progressive plan to maintain the requisite knowledge, skills, and abilities. At a minimum, training in firearms, deadly force policy, and other related skills should be conducted regularly in organizations with traditional

law enforcement powers (e.g., quarterly for agencies with statutory authority under the Inspector General Act of 1978, as amended).

Professional Development—The training of an investigator should be a continuing process. Investigators should receive formal and on-the-job exposure prior to assignments requiring independent judgments. A mentoring program is recommended. A continuous career development program should be established to provide the proper preparation, training, and guidance to employees to enable them to develop into professionally qualified investigators and supervisors.

To facilitate this effort, the investigative agency should develop a training profile that will satisfy its needs. (See Appendix B-Training Profile Illustration for Investigators.)

B. INDEPENDENCE

The second general standard for investigative organizations is:

In all matters relating to investigative work, the investigative organization must be free, both in fact and appearance, from impairments to independence; must be organizationally independent; and must maintain an independent attitude.

This standard places upon agencies, investigative organizations, and investigators the responsibility for maintaining independence, so that judgments used in obtaining evidence, conducting interviews, and making recommendations will be impartial and will be viewed as impartial by knowledgeable third parties. There are three general classes of impairments to independence: personal, external, and organizational.

Guidelines

Personal Impairments—There are circumstances in which investigators may experience difficulty in achieving impartiality because of their views and/or personal situations and relationships. While these impairments apply to individual investigators, they may also apply to the investigative organization. These impairments may include the following:

1. Official, professional, personal, or financial relationships that might affect the extent of the inquiry; limit disclosure of information; or weaken the investigative work in any way;
2. Preconceived opinions of individuals, groups, organizations, or objectives of a particular program that could bias the investigation;
3. Previous involvement in a decision-making or management capacity that would affect current operations of the entity or program being investigated;

4. Biases—including those induced by political or social convictions—that result from employment in, or loyalty to, a particular group or organization; and
5. Financial interest in an individual, entity, or program being investigated.

External Impairments—Factors external to the investigative organization may restrict its ability to conduct independent and objective investigations and produce factual reports of investigations. For example, under the following conditions, investigators may be adversely affected and the investigative organization may not have the ability to conduct independent and objective investigations:

1. Interference in the assignment of cases or investigative personnel;
2. Restrictions on funds or other resources dedicated to the investigation or to investigative organizations;
3. Authority to overrule or to influence the extent and thoroughness of the investigative scope, how the investigation is conducted, who should be interviewed, what evidence should be obtained, and the appropriate content of the investigative report; and
4. Denial of access to sources of information, including documents and records.

Organizational Impairments—An investigative organization's independence can be affected by its place within the structure of the government entity of which it is a part. To help achieve maximum independence, the investigative function or organization should be organizationally located outside the staff or line management function of the unit under investigation or whose employees are under investigation. Investigations of OIG personnel should always reflect a special sensitivity to this issue of independence.

C. Due Professional Care

The third general standard for investigative organizations is:

Use due professional care in conducting investigations and in preparing related reports.

This standard requires a constant effort to achieve quality professional performance. It does not imply infallibility or absolute assurances that an investigation will reveal the truth of a matter.

Guidelines

This standard requires:

Thoroughness—All investigations must be conducted in a diligent and complete manner, and reasonable steps should be taken to ensure pertinent issues are sufficiently resolved and to ensure that all appropriate criminal, civil, contractual, or administrative remedies are considered.

Legal Requirements—Investigations should be initiated, conducted, and reported in accordance with (a) all applicable laws, rules, and regulations; (b) guidelines from the Department of Justice and other prosecutive authorities; and (c) internal agency policies and procedures. Investigations should be conducted with due respect for the rights and privacy of those involved.

Appropriate Techniques—Specific methods and techniques used in each investigation must be appropriate for the circumstances and objectives.

Impartiality—All investigations must be conducted in a fair and equitable manner, with the perseverance necessary to determine the facts.

Objectivity—Evidence must be gathered and reported in an unbiased and independent manner in an effort to determine the validity of an allegation or to resolve an issue.

Ethics—At all times the actions of the investigator and the investigative organization must conform with generally accepted standards of conduct for government employees.

Timeliness—All investigations must be conducted and reported with due diligence and in a timely manner. This is especially critical given the impact investigations have on the lives of individuals and activities of organizations.

Accurate and Complete Documentation—The investigative report findings, and investigative accomplishments (indictments, convictions, recoveries, etc.), must be supported by adequate documentation (investigator notes, court orders of judgment and commitment, suspension or debarment notices, settlement agreements, etc.) in the case file.

Documenting Policies and Procedures—To facilitate due professional care, organizations should establish written investigative policies and procedures via handbook, manual, directives, or similar mechanism.

QUALITATIVE STANDARDS

Qualitative standards apply to the management functions and processes investigators perform. They address the "how to" criteria.

In an investigation program, there are four critical standards that must be addressed if the effort is to be successful. These standards are: Planning, Execution, Reporting, and Information Management.

A. Planning

The first qualitative standard for investigative organizations is:

Establish organizational and case specific priorities and develop objectives to ensure that individual case tasks are performed efficiently and effectively.

Priorities and objectives apply to investigative organizations in general (e.g., the types and numbers of investigations conducted, application of resources, minimal case opening thresholds, etc.) and to specific investigative tasks in particular (e.g., who to interview, what records to review, time frames for completing tasks, etc.). This standard may best be achieved through the preparation of organizational and case specific plans and strategies.

Guidelines

Organizational Planning—Organizations should prepare goal-oriented operational plans that are consistent with prevailing legislation (e.g., Government Performance and Results Act). A basic, single-source planning document should present each organization's goals and objectives, allocation of resources, budget guidance, performance measures, and a guide for managers to implement these plans. The plans should include a projected allocation of resources, identification of priorities, description of investigations programs, and new initiatives on the horizon.

While the plan must be flexible enough to accommodate individual agency needs and shifting of investigative emphasis and staff resources as circumstances dictate, it should provide a basis for the professional management of investigative resources and workload during the planning year.

Individual Case Planning—Upon receipt, each complaint must be evaluated against the investigative functions, priorities, and guidelines for one of three decisions:

- Initiate investigative activity,

- Refer to another appropriate authority, or
- Take no further specific investigative action.

If the decision is to initiate an investigation, the organization should begin any necessary immediate actions and establish—if appropriate—an investigative plan of action, as soon as possible, that includes as many of the following steps as deemed necessary:

1. Determine the primary nature of the allegations (criminal, civil, and/or administrative).
2. Determine the planned focus and objectives of the investigation.
3. Identify possible violation(s) of law, rule, or regulation and understand the corresponding elements of proof or standards.
4. Coordinate the decision to open an investigation with appropriate authorities, if warranted (e.g., Federal Bureau of Investigation, etc.).
5. Determine the applicable judicial venue and coordinate with prosecutors, when appropriate.
6. Determine the appropriate administrative office and coordinate with adjudicators, when appropriate.
7. Identify and prioritize the investigative steps necessary to meet investigative objectives. This includes identifying the best approach to take during the investigation in order to resolve the allegations(s) or issue(s) (e.g., list of witnesses, relevant records, etc.).
8. Determine the resources necessary to meet investigative requirements.
9. Establish a time-phased approach that ensures individual leads are pursued on a timely basis and periodic evaluations of progress occur. This would include an affirmative decision to continue or terminate the investigation.
10. Ensure that investigative steps include the identification of any causative factors that can be reported as weaknesses or internal control issues requiring corrective action by agency management.
11. Coordinate with appropriate agency or other Government officials if notable security or public health and safety issues are raised.

B. Execution

The second qualitative standard for investigative organizations is:

Conduct investigations in a timely, efficient, thorough, and legal manner.

The investigator is a fact-gatherer and should not allow conjecture, unsubstantiated opinion, or bias to affect work assignments. He or she also has a duty to be receptive to evidence that is exculpatory, as well as incriminating. Investigators collect and analyze evidence through a number of techniques, including but not limited to interviews of complainants, witnesses, victims, and subjects; reviews of records (e.g., personnel files, contract or grant files, financial records, etc.); collection of forensic evidence; surveillance and consensual monitoring; and use of computer technology (e.g., link analysis, databases, spreadsheets, cyber forensics, data mining, etc.).

Guidelines

With regard to conducting investigations, the following guidelines should be considered:

Interviews—A review of known information should precede a planned interview. An investigator should fully identify himself/herself and others present and state the purpose of the interview, if appropriate. Relevant personal data should be obtained from witnesses. When conducting an interview, particular attention should be given to obtaining the interviewee's observation and knowledge of incidents and actions or statements of other persons connected with the event. Interviewees should be asked to provide or identify the location of relevant documents. All interviews are subject to inclusion in reports. Any contemporaneous interview notes that are prepared in a criminal investigation shall be retained at least until final disposition of the case. Two investigators should be present when conducting interviews in situations that are potentially hazardous or compromising. Requests for witness confidentiality should be considered and properly documented.

Evidence—The collection of evidence should be undertaken in such a way as to ensure that all relevant material is obtained, the chain of custody is preserved, and the evidence is admissible in a subsequent proceeding. Information and evidence obtained during an investigation should be verified by as many sources as are necessary and reasonable to establish the validity of such information.

Documenting Activities—The results of investigative activities should be documented in the case file in an accurate and complete manner. Internal investigative guidelines should specifically and clearly address due diligence and the importance of timeliness.

Legal Requirements—Interviews, evidence collection, and other activities must be initiated, conducted and reported in accordance with all applicable laws, rules, regulations, and consistent

with due respect for the rights and privacy of those involved. This includes, for example, appropriate warnings and assurances, and grand jury restrictions.

Progress Reviews—Supervisory reviews of case activities should occur periodically in order to ensure that the case is progressing in an efficient, effective, thorough, objective, and legal manner.

C. Reporting

The third qualitative standard for investigative organizations is:

Reports (oral and written) must thoroughly address all relevant aspects of the investigation and be accurate, clear, complete, concise, logically organized, timely and objective.

A report must be accurate and clearly, as well as concisely, reflect the relevant results of the investigator's efforts. It should be presented in straightforward, grammatically correct language—avoiding the use of unnecessary, obscure, and confusing verbiage. Graphics should be well prepared, clearly relevant to the investigation, and supportive of the presentation.

Guidelines

Organizations must determine whether an oral or written report is warranted, based on the circumstances of the issue(s) involved. In pursuing this standard, the following guidelines should be considered:

1. In any report, the facts must be set forth to facilitate reader comprehension. This should include a clear and concise statement of the applicable law, rule, or regulation that was allegedly violated or that formed the basis for an investigation.
2. The principles of good report writing must be followed. A quality report will be logically organized, accurate, complete, concise, impartial, clear and issued in a timely manner.
3. Reports must contain exculpatory evidence and relevant mitigating information when discovered during any administrative investigation. Exculpatory evidence in a criminal or civil investigation must be brought to the attention of the assigned prosecutor.
4. Evidence outlined in a report must be supported by documentation in the investigative case file, and each report must contain an accurate recitation of facts.
5. Reports should clearly record or reference all pertinent interviews, contacts, or other investigative activities.

6. Reports or case files should reflect what the investigation accomplished. This would include fines, savings, recoveries, indictments, convictions, management recommendations, etc.
7. Reports should be organized in an orderly, logical manner to identify the issues and evidence quickly.
8. Investigators should write reports in deductive prose, using overview statements and topic sentences. Write in short, simple, and direct sentences and paragraphs.
9. Reports should be no longer than necessary without sacrificing clarity, completeness, and accuracy to communicate the relevant investigative findings. Reports should neither raise unanswered questions nor leave matters open to misinterpretation. Additionally, in some cases it may be appropriate to note specific allegations that were not investigated to ensure decision-makers can take further action as they deem appropriate.
10. Investigative reports should not contain personal opinions or views. All assessments, conclusions, observations, and recommendations must be based on available facts.
11. Reports should be formatted in a manner that is responsive to the intended recipient's needs.
12. Systemic weaknesses or management problems disclosed in an investigation should be reported to agency officials as soon as possible.

D. Information Management

The fourth qualitative standard for investigations is:

Store investigative data in a manner allowing effective retrieval, referencing, and analysis

One of the many hallmarks of an efficient organization is its ability to retrieve information that it has collected. An effective information management system creates and nourishes an institutional memory. This, in turn, enhances the entire organization's ability to conduct pattern and trend analyses. It enhances the organization's ability to fulfill the mandate of detection and prevention. A residual benefit is that it assists in the process of making informed judgments relative to resource allocation, training needs, investigative program development, and prevention and implementation of the investigative process.

Guidelines

The degree to which an organization achieves its goals is affected by the way information is collected, stored, retrieved, and analyzed. Information, or the lack of it, has direct influence on management's ability to make sound decisions relating to investigative matters. Therefore, written directives should exist that define the organizational component responsible for record maintenance and the specific procedures to be performed.

Information Flow—Accurate processing of information is essential to the mission of an investigative organization. It should begin with the orderly, systematic, accurate, and secure maintenance of a management information system. Written guidance should define the data elements to be recorded in the system. The guidance should be based on legal requirements and needs.

Complaint Handling Activities—The investigative process often begins with information received in the form of a complaint from an individual. The initial complaint will rarely provide the agency with all the necessary information and may be the first indication of a serious violation of law. In accordance with the Inspector General Act, policies, procedures, and instructions for handling and processing complaints should be in place. Individuals receiving complaints should obtain all pertinent details. The agency should adopt procedures to ensure that basic information is recorded and tracked to final resolution.

Case Initiation—Establish guidelines, including the level of the approving authority, for making a determination to initiate an investigation or to pursue another course of action. Case assignments should be based on resource considerations, geographical dispersion and level of experience of personnel, and current workloads. A decision not to investigate (refer to another entity or take no action) should be documented.

Management Information—Management should have certain information available to perform its responsibilities, measure its accomplishments and respond to requests by appropriate external customers. Items that may be considered for tracking purposes include but are not limited to the following:

Workload Data

- Number of complaints handled
- Cases opened
- Cases closed
- Cases pending (active)
- Referrals to program managers and outcomes from such referrals
- Referrals to other investigative agencies (federal, state, or local—including agency name)
- Referrals (criminal, civil, and administrative)
 - accepted
 - declined
- Amount of direct and indirect labor hours expended on each case, where appropriate

Identification Data

- Appropriate dates (allegation received, case opened, case closed, etc.)
- Source information (anonymous, private citizen, etc.)
- Type of violations investigated (criminal, civil, administrative, etc.)
- Category of investigation (contract and grant fraud, theft, bribery, environmental violation, cyber crime, scientific misconduct, etc.)
- Priority (routine, high priority, special interest, etc.)
- Potential violations (Title 18 of the U.S. Code, agency regulations, etc.)
- Suspected dollar loss, where appropriate
- Joint and task force investigations
- Operation, program, office or facility impacted (Departmental bureau or organization)
- Principal state and location where investigation is centered, including judicial venue
- Investigative techniques employed (i.e., consensual monitoring, undercover investigation, searches, hazardous interviews and activities, etc.)
- Indices of subjects, witnesses, and other individuals

Investigative Results Data

- Number of indictments, convictions, declinations/acceptances, criminal outcomes, and civil actions
- Amount of recoveries, restitutions, fines, and settlements
- Reports issued (to prosecutors and agency management)
- Recommendations to agency management for corrective action(s) (e.g., take disciplinary action, recover monies, correct internal control weaknesses, etc.)
- Number of disciplinary or other administrative agency actions (terminations, suspensions, debarments, personnel and contractor actions)

The above data will generally allow for the design of a basic system of administrative checks and controls to meet management needs. Depending on the complexity and scope of an investigative activity, additional data can be developed that will enable trend and pattern analyses.

The Investigative File—All investigative activity, both exculpatory and incriminating, should be recorded in an official case file. A case file should be established immediately upon the opening and assignment of an investigation. The file is used for the storage and maintenance of investigative records (e.g., interview write-ups, data analysis, reports, etc.). Written directives for file management should specify procedures for at least the following:

- File organization, maintenance, storage, and security
- Assignment of case numbers
- Preparation and filing of documents and exhibits
- Collecting and storing evidence
- Distribution and dissemination of reports
- File access record

- Records retention, including evidence, interview write-ups, investigator notes, and other case file documentation (to be determined based on agency requirements, Federal records regulations, and judicial decisions).

APPENDICES

Appendix A

JOB TASK ILLUSTRATION FOR INVESTIGATORS

Receipt, Analysis, and Disposition of Allegations(s)

- Obtain data from complainant or source
- Document complaint in writing
- Know prosecutive or regulatory criteria
- Identify violations (elements of crime) or administrative standards
- Review and identify significant information or potential evidence
- Determine correct disposition of complaint (criminal, civil, or administrative)
- Open investigation, if appropriate, and coordinate with appropriate authorities (internally/externally)

Assessment, Focus, and Preparation of Investigative Plan

- Review available information and evidence
- Review legal decisions and guidelines
- Review agency programs, operational policies, and procedures
- Determine focus and scope of investigation
- Assess and identify required resources
- Identify potential witnesses, suspects, relevant documents, and evidence
- Organize and prioritize investigative activities
- Prepare initial investigative plan

Conduct Investigation

- Maintain focus and follow investigative plan (revise as necessary)
- Prepare for anticipated investigative activities (interviews, taking statements)
- Apply knowledge of laws and/or regulations
- Understand and apply techniques to ensure constitutional rights
- Project a professional image
- Use good oral and written communicative skills
- Know evidentiary rules
- Collect, analyze, and preserve evidence
- Use appropriate specialized techniques (search warrants, forensics, consensual monitoring)
- Conduct reviews and data inquiries and promptly document such activities
- Collect and analyze financial data
- Assess progress and re-focus when necessary
- Coordinate progress with supervisor (prosecutors or management, as appropriate)

- Maintain appropriate liaison
- Effectively manage the case and assist personnel and meet planned milestones
- Obtain IG or grand jury subpoenas and/or testify before grand jury

Review, Organize, and Evaluate Investigative Findings

- Review and understand the information gathered
- Organize the information and evidence gathered
- Correlate data, witnesses, and records
- Consider internal/external customer needs

Draft Report, Validate Contents, and Submit Final Report

- Write draft report--ensure accuracy, thoroughness, objectivity, proper format, clarity, and correct grammar
- Review report to ensure information is correct and complete
- Consider issues such as confidentiality, the Privacy Act, the Freedom of Information Act, and security classification
- Include disclosure caveats where appropriate
- Write final report
- Distribute to appropriate entities

Post-Investigative Tasks

- Know rules of criminal and/or civil procedure
- Assist with preparation for court/administrative proceedings
- Serve witness subpoenas
- Assist U.S. Attorney/District Attorney at trial
- Testify at trial
- Document and report results, dispositions, and outcomes
- Obtain disposition of exhibits and evidence after trial/hearing
- Return and document proper disposition of documents and evidence
- Review the organization of investigative files for efficient retrieval
- Archive investigative files
- Ensure information management database reflects accurate and final case information

Appendix B

TRAINING PROFILE ILLUSTRATION FOR INVESTIGATORS

Basic/Entry Level Training – GS 5/7¹	CITP²	IGITP³
Administering Rights Warnings	X	
Agent Liability	X	
Basic Computer Applications	X	
Cardiopulmonary Resuscitation	X	
Complaint Assessment	X	
Ethics and Code of Conduct	X	
Federal Rules of Criminal/Civil Procedure	X	
Informants	X	
Sexual Harassment/Diversity	X	
Surveillance	X	
Testifying in Court and Trial Processes	X	
Victim/Witness Awareness	X	
Affidavits and Statements	X	X
Applying and Executing of Search Warrants	X	X
Arrest Techniques	X	X
Assisting US Attorneys and other Prosecutors	X	X
Authority and Jurisdiction	X	X
Case Development and Liaison	X	X
Collection, Protection, and Rules of Evidence	X	X
Communication Skills (Oral and Written)	X	X
Constitutional Rights	X	X
Defensive Tactics	X	X
Disclosure/Privacy/FOIA	X	X
Electronic Sources of Information	X	X
Elements of a Crime	X	X
Firearms Proficiency	X	X
Fraud Schemes	X	X
Interviewing Techniques	X	X
Investigative Planning	X	X
Relevant Civil and Criminal Statutes	X	X
Report Writing	X	X
Use of Electronic Evidence	X	X
Administrative Remedies		X
Civil Remedies		X
Concepts of Confidentiality		X
Employee Complainants		X
Inspector General Act		X
Inspector General Subpoena		X
Whistleblower Protections		X

¹ On-the Job or In-Service Training should, to some degree, be provided for each of these areas based on the organization's mission and needs.

² Criminal Investigator Training Program conducted by the Federal Law Enforcement Training Center.

³ Inspector General Basic Training Program conducted by the Inspector General Criminal Investigator Academy.

Agency In-Service Training

Recurring⁴

- Code of Conduct
- Sexual Harassment/Diversity
- Ethics
- Agency Authority/Jurisdiction
- Physical Efficiency Battery
- Health Assessment

Quarterly

- Firearms Familiarization and Qualification
- Use of Force Policy (including Deadly Force)

Periodic⁵

- Legal Update (Criminal and Civil)
- Arrest Techniques
- Defensive Tactics
- Intermediate Weapons
- Cardiopulmonary Resuscitation
- Lifestyle Management/Stress
- Victim/Witness Awareness
- Blood Borne Pathogens (annually)

⁴ Based on agency requirements.

⁵ Conducted on a scheduled basis in accordance with applicable standards (e.g., Attorney General guidelines, Federal regulations, etc.).

Advanced Training⁶	GS-7	GS-9	GS-11	GS-12	GS-13	GS-14
Data Analysis	X	X				
Employee Conduct and Integrity	X	X				
Financial Fraud (Loans, Credit Cards, etc.)		X				
Accounting Principles		X				
Embezzlement		X				
Environmental Crimes		X				
Computer Crimes		X				
Bribery		X				
Contract and Grant Fraud		X				
Technical Investigative Equipment		X				
Advanced Interviewing		X				
Undercover Operations		X				
Advanced Financial Investigations			X			
Advanced Computer Applications			X			
Electronic Evidence Extraction			X			
Electronic Evidence Analysis			X			
Anti-Trust Investigations			X			
1 st -Level Supervision				X	X	
Case Management				X	X	
Problem Solving and Conflict Resolution					X	
Advanced Supervision					X	
Leadership, Coaching, and Mentoring					X	
Office Administration/Management					X	
Personnel Management						X

⁶ Based on organization's needs and mission requirements.