

CIGIE Investigations Quality Assessment Review: Case Review Summary Checklist

PURPOSE: Appendix D-2 is based on CIGIE’s Quality Standards for Investigations. The Quality Standards contain three general standards (Qualifications, Independence, and Due Professional Care) and four qualitative standards (Planning, Execution, Reporting, and Information Management).

This checklist is used to capture—in one document—the summary results from the review of closed case files (Appendix D-1). This checklist is used in an effort to determine the level of conformity with the standards adopted in the CIGIE Quality Standards for Investigations.

<u>OIG Being Reviewed:</u>	
<u>Reviewing OIG:</u>	
<u>Dates of Case Review:</u>	
<u># of Closed Cases Available for Review:</u>	
<u># of Closed Cases Reviewed:</u>	

Instructions: Complete one D-2 checklist to summarize the results of the D-1 case reviews. Enter C (Compliant), NC (Non-Compliant) or NA (Not Applicable) in the second column for each element. If you enter NC, explain what you have found in the *Comments* column. Identify how this problem represents a serious failure to comply with a particular Attorney General Guideline; external regulation, policy, or guideline; or CIGIE Quality Standard.

A. DUE PROFESSIONAL CARE		
<u>Criteria/Standard</u>	<u>Compliant/Non-Compliant (C/NC)</u> <u>Not Applicable (NA)</u>	<u>Comments</u>
1. Were the investigators free, both in fact and appearance, from impairments to independence?		

D. PLANNING		
<u>Criteria/Standard</u>	<u>Compliant/Non-Compliant (C/NC)</u> <u>Not Applicable (NA)</u>	<u>Comments</u>
2. Were reasonable steps taken to ensure pertinent issues were sufficiently resolved and all appropriate criminal, civil, contractual, or administrative remedies are considered?		
3. Does available information suggest that constitutional rights were respected (e.g., Garrity, Kalkines, Miranda, etc.)?		
4. Were investigations conducted in a fair and equitable manner?		
5. Was evidence gathered and reported in an unbiased and independent manner?		
6. Were investigative activities conducted and reported with due diligence and in a timely manner?		
7. Were investigative report findings and accomplishments supported by adequate documentation?		
C. PLANNING		
8. Were incoming complaints evaluated against investigative functions, priorities, and guidelines?		
9. If appropriate, did files contain information that investigative plans of action were established?		
10. When present, were investigative plans consistent with the <i>Quality Standards for Investigations</i> ?		
D. EXECUTION		
11. Did investigators act as fact-gatherers and not allow conjecture, unsubstantiated opinion, or bias to affect activities?		
12. Was the FBI notified in accordance with Attorney General guidelines?		
13. Were two investigators present when conducting interviews in situations that were potentially hazardous or compromising?		
14. Were contemporaneous interview notes retained in case files until final disposition?		
15. Did investigators comply with organizational policies/procedures for the gathering/preserving, and/or disposing of evidence?		
16. Were investigative activities documented in the case files?		

<u>Criteria/Standard</u>	<u>Compliant/Non-Compliant (C/NC)</u> <u>Not Applicable (NA)</u>	<u>Comments</u>
17. Were subjects' rights and waivers clearly documented (when administered)?		
18. Were witness confidentiality requests documented?		
19. Where requested and granted, was the confidentiality of witnesses adequately protected?		
20. Was consensual monitoring conducted in accordance with the procedures established by AG guidance?		
21. Was Grand Jury material properly marked, securely stored, and properly disposed of?		
22. Were supervisory case reviews conducted?		
23. Did these investigations comply with appropriate AG Guidelines?		
E. REPORTING		
24. Were reports accurate, clear, complete, concise, logically organized, timely, and objective?		
25. Did reports 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?		
26. Was evidence outlined in reports supported by documentation in the investigative case file?		
27. Were reports free of opinions, personal views, unsupported assessments, conclusions, observations, or recommendations?		
28. If applicable, were systemic weaknesses identified during investigations reported to agency officials?		
29. Were reports prepared in accordance with the agency's policies?		
F. INFORMATION MANAGEMENT		
30. Were case files established immediately upon the opening and assignment of an investigation?		
31. Were case files organized and maintained in a manner that is consistent with agency policies?		
32. Was information about the case—such as opening date, judicial actions and outcomes, administrative outcomes, reports issued, identifying information about witnesses and subjects, and related data—in a form that allowed for effective retrieval, referencing, and analysis?		

G. Comments