



**COUNCIL OF THE INSPECTORS GENERAL  
ON INTEGRITY AND EFFICIENCY**

# **QUALITY STANDARDS FOR INVESTIGATIONS**

**July 15, 2025**

## **Council of the Inspectors General on Integrity and Efficiency**

**Authority:** Section 424 of the Inspector General Act of 1978, as amended, [5 U.S.C. §§ 401-424](#) (IG Act).

**Mission:** The mission of the Council of the Inspectors General on Integrity and Efficiency (CIGIE) is to address integrity, economy, and effectiveness issues that transcend individual Government agencies and increase the professionalism and effectiveness of personnel by developing policies, standards, and approaches to aid in the establishment of a well-trained and highly skilled workforce in the Offices of Inspectors General.

**CIGIE Investigations Committee:** The Committee contributes to improvements in program integrity, efficiency, and cost effectiveness Governmentwide by providing analysis of investigative issues common to Federal agencies. The Committee provides the CIGIE community with guidance, support, and assistance in conducting high-quality investigations. The Committee provides input to the CIGIE Professional Development Committee and the Training Institute on the training and development needs of the CIGIE investigations community. The Committee actively engages with the Assistant Inspector General for Investigations Subcommittee to assist in carrying out the Committee's goals and strategies.

## **Message From the Chairman of the CIGIE Investigations Committee**

Since its inception in 1997, the Quality Standards for Investigations (QSI), have successfully guided the Inspector General investigative community in producing high-quality investigations. Throughout this version, you will note clarification changes from the 2011 version. The most notable changes are the inclusion of language to: 1) clarify guidelines from previous instances of “should” to “must” (i.e., case initiation, complaint handling, physical capabilities, establishment of written agency policy, providing appropriate warnings, supervisory case reviews); 2) clarify required recurring training; 3) eliminate the requirement for formal written investigative plans; 4) incorporate executive order requirements/guidelines; 5) specify that investigations that are conducted by entities outside of Offices of Investigations must also follow the QSI; and 6) define the timeframe for periodic training to a minimum of three years. This 2025 version will continue to guide the community in high-quality investigative work.

I want to thank the participating members of the CIGIE Policy Working Group for their diligence in preparing the revisions to the QSI. I also want to thank the Investigations Committee for its watchful eye in finalizing the QSI.

Parisa Salehi  
Chair, Investigations Committee  
CIGIE

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## ***PREFACE***

The standards and principles in this document, commonly referred to as Quality Standards for Investigations (QSI), provide a framework for conducting high-quality investigations for Offices of Inspector General (OIGs) affiliated with the Council of the Inspectors General on Integrity and Efficiency (CIGIE).

While members of the CIGIE community are widely diverse in their missions, authorities, staffing levels, funding, and day-to-day operations, certain foundational standards apply to any investigative organization. As such, the standards outlined here are comprehensive, relevant, and sufficiently broad to accommodate a full range of OIG criminal, civil, and administrative investigations across the CIGIE membership.

OIGs must incorporate the standards and principles outlined here into an operations manual, handbook, and/or policies that are applicable to all entities within that OIG that conduct criminal, civil, and/or administrative investigations. This should be accomplished in accordance with the OIG's particular mission, unique circumstances, and respective Department or agency requirements. OIGs are encouraged to monitor changes in the laws, regulations, executive orders, and other guidance cited here and revise their policies as necessary, pending future releases of the QSI. In the event the QSI are found to be inconsistent with laws, rules, regulations, executive orders, or other pertinent official pronouncements, the latter take precedence.

The QSI categorizes investigative standards as General and Qualitative. General Standards address qualifications, independence, and professional judgment. Qualitative Standards focus on investigative management, execution, reporting, and information management.

This version of the QSI supersedes the standards published by CIGIE dated November 2011.

# QUALITY STANDARDS FOR INVESTIGATIONS

## GENERAL STANDARDS

General Standards apply to investigators<sup>1</sup> and the organizational environment in which they perform. The three general standards address qualifications, independence, and professional judgment.

### A. QUALIFICATIONS

The first general standard is:

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

Under this standard, OIGs are responsible for ensuring that investigations are conducted by personnel who collectively have the knowledge and skills required to perform the investigative activities.

### Criteria

Investigations vary in purpose and scope and may involve alleged violations of criminal and/or civil laws, as well as administrative requirements. The focus of an investigation can include the integrity of programs, operations, and personnel in agencies at Federal, State, and local levels of government or recipients of federal funding. A wide variety of skills and extensive knowledge are necessary to perform the broad range of activities required by these diverse investigations.

OIGs will 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, experience, character, physical capabilities, and age. Each of these factors may be controlled by legislation, regulation, or agency needs. OIGs will review these criteria to ensure that they provide the best qualified applicants. In addition, OIGs should establish appropriate avenues 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 4-year degree from an accredited college or university.

**Experience**—Depending on the specific needs of the agency, allowances may be made for candidates to substitute job experience for a post-secondary education. Depending upon the nature of the investigative organization's mission, additional requirements may be established for specific types of experience (e.g., financial skills, advanced technology skills, foreign language fluency).

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<sup>1</sup> An "investigator" is anyone conducting investigative activities under IG authority (this could be multiple career series).

**Character Suitability**—Each investigator must possess and maintain the highest standards of conduct and ethics, including unimpeachable honesty and integrity. Investigative personnel are subject to statutory and legal requirements relating to integrity (e.g., Giglio, Lautenberg, Brady<sup>2</sup>). Consequently, OIGs must establish sound hiring policies to adequately screen applicants for investigative positions. Processes to consider include, but are not limited to, criminal history checks, queries of commercially available databases, drug testing, personal interviews, previous employment and reference checks, and background investigations.

OIGs must also have policies that require investigative personnel to report any arrest, court order, conviction, or other potential misconduct issue that would jeopardize the performance of their duties. Such policies may also include requiring investigative personnel to be subject to periodic criminal history and background checks, including continuous vetting.

**Knowledge, Skills, and Abilities**—Because of the critical and sensitive nature of an investigator's position, OIGs must ensure that all investigators, commensurate with grade level, possess the following knowledge, skills, and abilities to fulfill their responsibilities:

1. 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. Knowledge of government organizations, programs, activities, functions, and, where applicable, their interrelation with the private sector.
3. Knowledge of applicable laws, rules, and regulations, including but not limited to 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. Ability to exercise tact, initiative, ingenuity, resourcefulness, and judgment in collecting and analyzing facts, evidence, and other pertinent data; apply sound deductive reasoning; and deliver oral and written reports.
5. 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.
6. The skills necessary for investigation. This qualification standard recognizes that proper training is required 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 listed below apply to the skills of an OIG as a whole and not necessarily to every

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<sup>2</sup> See *Giglio v. United States*, 405 U.S. 150 (1972); Lautenberg Amendment, 18 U.S.C. § 922(g)(9); and *Brady v. Maryland*, 373 U.S. 83. (1963).

individual investigator. Skills required to conduct an investigation include the ability to:

- a) Obtain relevant information from people;
- b) Identify, analyze, and understand evidence;
- c) Understand confidentiality considerations for complainants and witnesses;
- d) Analyze and evaluate facts; make sound and objective assessments and observations; and, where appropriate, make recommendations based on the assessments and observations;
- e) Deliver clear, concise, accurate, and factual summaries of results of investigations, both orally and in writing;
- f) Prepare and obtain signed, sworn statements; and
- g) Use appropriate and authorized specialized investigative techniques.

**Professional Development**—The training of an investigator is a continuous process. An investigator should receive formal and on-the-job training prior to an assignment requiring independent application of a given subject matter. A career development program that includes mentoring should be established to provide the proper preparation, training, and guidance to develop into professionally qualified investigators and supervisors. OIGs must offer appropriate investigative training to ensure investigative work is performed in accordance with applicable laws, guidelines, and standards. To facilitate this effort, the OIG should develop a training profile that will satisfy its needs and strongly consider a mentoring program. (See Appendix B, “Training Profile for Investigators.”)

### **Additional Specific Requirements for Criminal Investigators**<sup>3</sup>

**Criminal Investigator Entry-Level Training**— All OIG investigators who exercise law enforcement powers (authorized by the Inspector General Act (IG Act), 5 U.S.C. § 406(f), and implemented by the Attorney General (AG) Guidelines for OIGs, U.S. Marshals Service deputation, or other statutory authority) must successfully complete a formal basic training course, such as the Criminal Investigator Training Program at the Federal Law Enforcement Training Centers. As an alternative, this training requirement may be satisfied by completion of an agency-approved comparable course of instruction. In either instance, proof of satisfactory completion of training must be maintained.

New investigators with law enforcement authority should attend a formal OIG-specific training program, such as the Inspector General Investigator Training Program at the Inspector General Investigator Academy (IGCIA). Experienced criminal investigators hired from federal law enforcement agencies outside the IG community should attend the IG Transitional Training Program at the IG CIA or an equivalent program.

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<sup>3</sup> A “criminal investigator” is specifically an individual conducting investigative activities under IG authority who also exercises law enforcement authority and generally classified as an 1811 job series.



Each agency must also provide orientation training (formal or informal) specifically relating to the agency's mission, programs, policies, procedure, rules, and regulations. Agencies may also consider in-service training covering similar topics, as best suits the agency's requirements and the investigator's experience. (See Appendix A, "Basic Skills for Investigators.")

**Physical Capabilities**—Each OIG must develop medical/fitness for duty screening to include job-related physical or medical requirements consistent with current statutes, regulations, and agency policies to enable criminal investigators to discharge their duties, while also promoting personal well-being<sup>4</sup>. The physical demands placed upon the investigator will vary among agencies. OIGs employing criminal investigators should establish a fitness program to provide and maintain physical and mental fitness.

**Age**—Consideration must be given to minimum and maximum age requirements for entry-level criminal investigator positions only in accordance with applicable statutes and regulations. Waivers may be granted by agency heads or their designee in accordance with applicable statutes and regulations. Please refer to U.S. Office of Personnel Management (OPM) for exceptions/waiver guidelines.

**Firearms Qualification**—OIGs must ensure that all criminal investigators authorized to carry a firearm train and qualify quarterly as prescribed by the AG Guidelines or other authoritative guidelines.

OIGs must develop a policy that ensures compliance with regular firearms qualification. Such policy should address occasions when failure to qualify or attend periodic training is excused and the corrective actions taken when failure is not excused. OIG policies shall require the surrender of a firearm or suspension of law enforcement authority if the failure reaches an unacceptable level. OIGs must implement an inventory control system for firearms and related equipment, law enforcement and administrative credentials/identification, and specialized technical equipment.

**Periodic Training Requirements**—OIGs must periodically train criminal investigators on effective and appropriate use of force, constitutional law, and other topics articulated in the AG Guidelines or other authoritative guidelines. Additional topics to consider are new laws and court decisions affecting operations; technological improvements; and any changes in agency and national level policies, procedures, rules, and regulations.

All post-basic training should be part of a systematic, progressive, and documented plan to maintain the requisite knowledge, skills, and abilities. OIGs should deliver such training based on the organization's needs and mission requirements.

OIG policies must determine the frequency of, and ensure compliance with, its recurring and periodic training. Periodic training is defined as not to exceed three years. The minimum required periodic, annual, and quarterly training is outlined within Appendix B, "Training Profile for Investigators.")

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<sup>4</sup> OPM publishes physical fitness standards for 1811s. Please refer to OPM for further guidance.

## B. INDEPENDENCE

The second general standard is:

*In all matters relating to investigative work, the investigative organization must be independent and free, both in fact and appearance, from impairments to independence.*

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

### Criteria

**Personal Impairments**—Circumstances may occur in which an investigator experiences difficulty in achieving impartiality because of the investigator's views and/or personal situations and relationships. These impairments may include, but are not limited to, the following:

1. Official, professional, personal, or financial interests/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.

**External Impairments**—Factors external to the OIG or its employees may restrict their ability to conduct an independent and objective investigation and issue reports. Such factors include, but are not limited to, the following:

1. Interference in the assignment of cases or investigative personnel.
2. Interference over investigative personnel's compensation, assignment, appointment, promotion, or employment status.
3. Restriction on funds or other resources dedicated to the investigation or to the OIG.
4. Authority to overrule or influence the extent and thoroughness of the investigative scope, the way in which the investigation is conducted, the individual(s) who should be interviewed, the evidence that should be obtained, and the content of the investigative report.
5. Denial of access to sources of information, including documents and records.

**Organizational Impairments**—An OIG's independence can be affected by its position within the hierarchical structure of the subject government entity. To help achieve maximum independence, the investigative function should be positioned outside the staff or reporting line of the unit or employees under investigation. Investigations of OIG personnel must reflect a special sensitivity to this issue of independence.

## **C. PROFESSIONAL JUDGMENT**

The third general standard is:

*Professional judgment must be used in conducting investigations and in preparing related reports.*

This standard requires a constant effort to achieve quality professional performance by adhering to training, guidelines, and agency direction. It does not imply infallibility or absolute assurances that an investigation will reveal the truth of a matter.

### **Criteria**

This standard requires:

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

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

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

**Impartiality**—All investigations must be conducted in a fair and equitable manner.

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

**Ethics**—The actions of the investigator and the OIG must conform with all applicable standards of ethical conduct.

**Timeliness**—All investigations must be conducted and reported in a timely manner. OIGs will define timeliness in objective and measurable ways. This is especially critical given the impact investigations have on the lives of individuals and activities of organizations.

**Accurate and Complete Documentation**—Investigative report findings and outcomes (indictments, convictions, recoveries, etc.) must be supported by adequate, accurate, and complete documentation (investigator notes, digital recordings, court orders of judgment and commitment, suspension or debarment notices, settlement agreements, etc.) that is maintained in the case file.

**Documentation of Policies and Procedures**—OIGs must establish written investigative policies and procedures via handbook, manual, directives, or similar mechanisms that are reviewed and revised regularly based on evolving laws, regulations, and executive orders.

# QUALITY STANDARDS FOR INVESTIGATIONS

## QUALITATIVE STANDARDS

Qualitative standards address four critical standards that must be addressed for the effort to be successful. These are: planning, execution, reporting, and information management.

### A. PLANNING

The first qualitative standard is:

*Organizational and case-specific priorities must be established and objectives developed to ensure that investigative tasks are performed efficiently and effectively.*

This standard may best be achieved by conducting organizational and case-specific plannings and strategies.

### Criteria

**Organizational Planning**—OIGs should prepare goal-oriented annual plans that are consistent with prevailing law, AG Guidelines (if applicable), and OIG-specific mission and goals. Such annual plans generally present the OIG's goals and objectives, performance measures, and a guide for managers to implement these plans.

Annual plans should be flexible enough to accommodate individual agency needs and the shifting nature of investigative priorities and staff resources, as circumstances dictate.

**Complaint Evaluation**—After receipt, each individual 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.

**Individual Case Management**—OIGs must consider the following case management elements to ensure that from the outset investigations are conducted efficiently and effectively:

1. Primary nature and complexity of the allegations (criminal, civil, and/or administrative);
2. Planned focus and objectives of the investigation.
3. Possible violation(s) of law, rule, or regulation and the corresponding elements of proof or standards.

4. Coordination with appropriate authorities, if warranted (another OIG, the Federal Bureau of Investigation, etc.), including where notable security or public health and safety issues are raised.
5. Applicable judicial venue and coordination with prosecutors, when appropriate.
6. Pursuing leads in a timely manner.
7. Identification of any causative factors that should be reported as weaknesses or internal control issues requiring corrective action by agency/Department management.

## **B. EXECUTING INVESTIGATIONS**

The second qualitative standard is:

*Investigations must be conducted in a timely, efficient, thorough, and objective manner.*

The investigator is a fact-gatherer and has a duty to be receptive to evidence, including exculpatory and incriminating evidence. The investigator will collect and analyze evidence using a variety of lawful techniques, as necessary, including but not limited to interviews of complainants, witnesses, victims, and subjects, review of records, surveillance and consensual monitoring, undercover operations, and use of technology, as applicable.

### **Criteria**

Investigators shall consider the following requirements, recognizing that investigations are often fluid and unpredictable:

**Conducting Interviews**—A review of known information should precede a planned interview. Investigators should identify themselves to interviewees and state the purpose of the interview, if appropriate. Depending on the circumstances (hazardous, compromising, etc.), the OIG must consider having two investigators present. Appropriate warnings<sup>5</sup> must be provided to those individuals suspected of violating a law, rule, or regulation. When conducting an interview, particular attention should be given to obtaining the interviewee's observations and knowledge of incidents and actions or statements of other persons connected with the event. All interviews are subject to inclusion in reports. Any contemporaneous interview notes that are prepared in an investigation should be retained as required by law or agency policy.

Requests for witness confidentiality by complainants and witnesses must be honored, in accordance with the IG Act and to the extent legally permissible. Interviews must be either recorded and/or documented in writing.

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<sup>5</sup> For further details, see *Miranda v. Arizona*, 384 U.S. 436 (1966); *Kalkines v. United States*, 473 F.2d 1391, 1393, (Cr. Cl. 1973); *Garrity v. New Jersey*, 385 U.S. 493, 500 (1967). Also consult agency requirements related to other rights, such as *NASA v. FLRA* 527 U.S. 229 (1999) (Weingarten).

**Collecting Evidence**—Evidence collection must ensure that all known relevant material is lawfully obtained, the chain of custody is preserved, and the evidence is admissible in any subsequent proceeding. The validity of information and evidence obtained during an investigation should be verified. A procedure for the appropriate disposal of physical evidence must be followed. When using the work of specialists, such as criminal laboratory examiners, computer forensic examiners, and financial experts, investigators should assess the specialists' abilities to perform and report on the work in an impartial manner and should understand the scope and objective required of the specialists. Investigators should also consider the specialist's professional certification, experience, and relevant standards. (An individual who is a "specialist" for this purpose is not necessarily a subject matter expert for court purposes.)

**Documenting Activities**—The results of investigative activities must be accurately and completely documented in the case file. Internal investigative guidelines should specifically and clearly address due diligence and timeliness of the documentation.

**Complying With Legal Requirements**—Interviews, evidence collection, and other activities must be initiated, conducted, and reported in accordance with all applicable laws, rules, and regulations; and must be conducted with due respect for the rights and privacy of those involved. This includes, for example, providing appropriate warnings and assurances and appropriately restricting Grand Jury information.

Considerations include, as applicable:

- Properly obtaining, securing, using, and storing Grand Jury information.
- Using parallel civil and criminal proceedings.
- Adhering to the Right to Financial Privacy Act.
- Adhering to the Family Educational Rights and Privacy Act.
- Developing and using confidential informants and other sources of information.
- Obtaining and using hotline information.
- Using IG subpoenas.
- Storing and handling electronic data and evidence.
- Reporting exculpatory evidence and relevant mitigating information to a prosecutor, if discovered during the investigation.

**Conducting Progress Reviews**—Supervisory reviews of case activities must occur at least quarterly to ensure that investigations are progressing in an efficient, effective, thorough, and objective manner.

## **C. REPORTING**

The third qualitative standard is:

*Reports must thoroughly address all relevant aspects of the investigation, ensuring they are accurate, clear, complete, concise, logically organized, timely, and objective.*

All reports must accurately, clearly, and concisely reflect the relevant results of the investigation. Facts must be presented in straightforward, grammatically correct language, and should avoid the use of unnecessary, obscure, and confusing verbiage.

### **Criteria**

OIGs will determine the most appropriate report mechanism (verbal or written) and format, based on the circumstances of the issue(s) involved. In pursuing this standard, the guidelines are:

1. Reports must clearly state facts and applicable law(s), rule(s), and/or regulation(s) that was/were allegedly violated and/or formed the basis for the investigation.
2. Reports must be logically organized, accurate, complete, concise, impartial/free of bias, clear, and issued in a timely manner.
3. Reports must contain exculpatory evidence and relevant mitigating information discovered during the investigation, if applicable.
4. Reports must be supported by evidence and documentation in the investigative case file.
5. Reports must include information on investigative outcomes (fines, savings, recoveries, indictments, convictions, suspensions and debarments, or management recommendations, etc.).
6. Systemic weaknesses or management problems disclosed in an investigation should be reported to the appropriate agency/Department officials as soon as practicable.

## **D. MANAGING INVESTIGATIVE INFORMATION**

The fourth qualitative standard for investigations is:

*Investigative data must be securely stored to facilitate effective retrieval, reference, and analysis, while ensuring the protection of sensitive data (i.e., personally identifiable information, health information, confidential, proprietary, or privileged information or materials).*



An effective information management system enhances the OIG's ability to conduct pattern and trend analysis and to fulfill the mandate of detection and prevention. Such a system may also assist in making informed judgments relative to resource allocation, training needs, investigative program development, prevention activities, and implementation of the investigative process. Further, the IG Act requires that certain data elements be reported in Semiannual Reports to Congress.

## **Criteria**

Written directives must define the organizational component responsible for record maintenance and the specific procedures to be performed.

**Information Management**—Information management systems must be orderly, systematic, accurate, and secure. Technical specifications should be based on legal requirements/needs and must include the proper security and storage of personally identifiable information and other sensitive information and the proper storage of discoverable information.

**Complaint-Handling Activities**—Policies, procedures, and instructions for handling and processing complaints must be developed. The agency shall adopt procedures to ensure that basic information is recorded, held confidential, and tracked to final resolution.

**Case Initiation**—OIGs must establish guidelines, including the level of the approving authority, for deciding to initiate an investigation or to pursue another course of action. Case assignments should be based on resource considerations, current workloads, and the geographic dispersion and level of experience of personnel. A decision not to investigate (refer to another entity or take no action) must be documented in the case file.

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

### Workload Data

- Complaints handled.
- Cases opened.
- Cases closed.
- Cases pending (active).
- Referrals to program managers and outcomes of such referrals.
- Referrals to other investigative agencies (Federal, State, or local, including agency name).
- Accepted and declined referrals (criminal, civil, and administrative).

### Identification Data

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

### Investigative Results Data

- Dates and number of indictments, convictions, declinations/acceptances, criminal outcomes, and civil actions.
- Dollar amount of recoveries, restitutions, fines, and settlements.
- Reports issued.
- Recommendations to agency management for corrective action(s) (e.g., initiate disciplinary action, recover funds, correct internal control weaknesses), if applicable.
- Number of disciplinary or other administrative agency actions (terminations, suspensions, debarments, and personnel and contractor actions), if applicable.
- Calculated savings from the investigation, if applicable.

The data above will generally allow for the design and implementation of a basic system of administrative checks and controls to meet management needs.

**Investigative File**—All investigative activity, both exculpatory and inculpatory, must be recorded in an official case file. A case file should ideally be electronic, but may be in paper format, electronic, or both, and should be established upon the opening and assignment of an investigation. The case file is used to maintain investigative records (written interview reports, data analysis, reports, etc.). Written directives/policies must specify procedures for at least the following:

- File organization, maintenance, storage, and security.
- Preparation and filing of documents and exhibits.
- Collection and storage of evidence.
- Distribution and dissemination of reports.
- Access control of the files.
- Retention of records including evidence, written interview reports, investigator notes, and other case file documentation (to be determined on the basis of agency records retention schedule requirements, Federal records regulations, and judicial decisions).
- Protection of sensitive information (e.g., personally identifiable information, Privacy Act information, Confidential Source status, Grand Jury information, national security information, classified information).
- Adequate controls over electronic case files, to include backup procedures and protection from cyberthreats.

## **BASIC SKILLS FOR INVESTIGATORS**

### **Receipt, Analysis, and Disposition of Allegations(s)**

- Obtain information and/or 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 Investigation**

- Review available information and evidence
- Review applicable 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

### **Conduct Investigation**

- Prepare for anticipated investigative activities (interviews, taking statements)
- Apply knowledge of laws and/or regulations
- Understand and apply techniques to ensure constitutional rights are upheld
- Project a professional image
- Use effective oral and written communicative skills
- Know evidentiary rules
- Collect, analyze, and preserve evidence
- Use appropriate specialized techniques (search warrants, forensics, consensual monitoring, etc.)
- Conduct reviews and data inquiries and promptly document such activities
- Collect and analyze data
- Assess progress and re-focus when necessary
- Coordinate progress with supervisor (prosecutors or management, as appropriate)
- Maintain appropriate liaison
- Effectively manage the case, 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 ensuring accuracy, thoroughness, objectivity, proper format, clarity, and correct grammar
- Review report to ensure information is accurate 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 with appropriate redactions

**Post-Investigative Tasks, as applicable**

- Know rules of criminal and/or civil procedure
- Assist with preparation for court/administrative proceedings
- Serve witness subpoenas
- Assist prosecutor 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 FOR CRIMINAL INVESTIGATORS

<b>Basic/Entry Level Training – GS 5/7/9<sup>6</sup></b>	<b>CITP<sup>7</sup></b>	<b>IGITP<sup>8</sup></b>
Administering Rights Warnings	X	X
Agent Liability	X	X
Cardiopulmonary Resuscitation	X	
Complaint Assessment	X	
Ethics and Code of Conduct	X	
Federal Rules of Criminal Procedure	X	
Informants	X	X
Harassment/Diversity	X	
Surveillance	X	
Testifying in Court and Trial Processes	X	
Victim/Witness Awareness	X	
Affidavits and Statements	X	X
Applying for Search Warrants	X	X
Executing Search Warrants	X	
Arrest Techniques	X	
Working with Prosecutors	X	X
Authority and Jurisdiction	X	X
Case Development	X	X
Collection and Safeguarding of Evidence	X	X
Rules of Evidence	X	X
Oral and Written Communication	X	X
Constitutional Rights	X	X
Control Tactics	X	
De-Escalation	X	
Driver Training	X	
Disclosure/Privacy/FOIA	X	X
Electronic Sources of Information	X	X
Elements of a Crime	X	X
Firearms Proficiency	X	
Fraud Schemes	X	X
Interviewing Techniques	X	X
Investigative Planning	X	X
Relevant Civil and Criminal Statutes	X	X
Report Writing	X	X
Electronic Evidence	X	X
Authentication of Identity Documents	X	
Financial Analysis	X	
Mental Health Crises	X	
Prisoner Processing	X	
Aircraft Countermeasures	X	
Flying While Armed	X	
Terrorism	X	
OC Spray	X	
Tactical Medicine	X	
Mobile Device Investigations	X	
Cyber Investigations	X	
Undercover Operations	X	
Active Threat Tactics	X	
Concepts of Confidentiality		X
Employee Complainants		X
Inspector General Act		X
Inspector General Subpoenas		X
Whistleblower Protections		X

<sup>6</sup> On-the-Job or In-Service Training should, to some degree, be provided for each of these areas based on the OIG's mission and needs.

<sup>7</sup> Criminal Investigator Training Program conducted by the Federal Law Enforcement Training Center.

<sup>8</sup> Inspector General Investigator Training Program conducted by the Inspector General Criminal Investigator Academy.

## **Agency In-Service Training**

*The training identified here represents the minimum required periodic, annual, and quarterly training for criminal investigators, and OIGs are encouraged to offer more frequent and extensive investigative, law enforcement, and leadership development training.*

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Periodic Refresher Training (to be completed at least every three years):

- Trial process
- Federal criminal and civil legal updates
- Laws of arrest, search, and seizure
- Interviewing techniques and policy
- Mental and physical health and wellness
- Scenario-Based Use of Force Training, including the proper application of the use of force policy

Annual Training:

- Law enforcement control tactics, including the use of any intermediate weapons, de-escalation, and exercising judgment and discretion in using less-than-lethal force
- Rendering aid to injured persons
- Use of Force Training

Quarterly Training Requirements:

- Firearms training and qualification
- Use of Force policy refresher

### The QSI working group consisted of the following OIG employees:

- Assistant Inspector General for Investigations **Drew Grimm**, OPM OIG
- Deputy Assistant Inspector General for Investigations **Jason Suffredini**, GSA OIG
- Assistant Special Agent in Charge **Jon-Paul Correia**, HHS OIG
- Senior Special Agent **Jill Dempsey**, DOT OIG
- Senior Special Agent **Malik Freeman**, FRB OIG
- Special Agent **Brad Geary**, HUD OIG
- Senior Special Agent **Joseph Hong**, FDIC OIG
- Special Agent **Matthew Koppenhaver**, DOC OIG
- Assistant Special Agent in Charge **Patrick McCarthy**, GSA OIG
- Director **Leonard Meade**, DOT OIG
- Special Agent in Charge **Thadious Motley III**, SEC OIG
- Senior Special Agent **Thomas Redmann**, EXIM OIG
- Assistant Special Agent in Charge **Allison Russo**, DOD OIG
- Special Agent **LeKeith Stancil**, USDA OIG
- Senior Special Agent **Cheryl Tinkham**, SBA OIG
- Special Agent **Michelle Uthe**, TIGTA