CHAPTER 1
ORGANIZATION AND GOVERNING PRINCIPLES

This chapter addresses the purpose, authority and responsibility for establishing an investigative function within the Office of Inspector General.

Authority

1.01M
A written directive states the purpose, authority, and responsibility of the Office of Inspector General investigations function.

I. Bullets

II. Proofs of Compliance Keys

• Written directive addressing elements of the standard (Qty Initial: 1) (Qty Reaccred: 1)

III. Required References

III.IV. Assessor Guidelines

IV.V. Accreditation Manager Notes
**Mission Statement**

1.02M
The Office of Inspector General investigations function has a written mission statement that is posted or distributed to all investigative staff members. (O)

I. Bullets

II. Proofs of Compliance

- **Current** Mission Statement (Qty Initial: 1) (Qty Reaccred: 1)
- Documented proof of distribution or observation of posted statement. (Qty Initial: 1) (Qty Reaccred: 3 YD1 each year)

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes

For reaccreditation, only need 1 each year if there have been mission statement changes.
Inspectors General Code of Ethics

1.03M
A written directive requires all investigative staff members annually receive a copy of and abide by a code of ethics.

I. Bullets

II. of Compliance

- Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Code of Ethics. (Qty Initial: 1) (Qty Reaccred: 1)
- Documented proof of receipt. (Qty Initial: 1) (Qty Reaccred: 3每年 each year)

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes
Organizational Chart

1.04M
The Office of Inspector General distributes or posts an organizational chart showing components/functions, and demonstrates the Inspector General reports directly to the agency head as defined by law, ordinance, charter, or other authority. The chart is updated as changes occur. (O)

I. Bullets

II. Proofs of Compliance

• Current organizational chart(s). (Qty Initial: 1) (Qty Reaccred: 3 YD1 each year)
• Documented proof of distribution or observation of posting. (Qty Initial: 1) (Qty Reaccred: 3 YD1 each year)

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes

For reaccreditation, only need 1 each year if there have been organizational changes.
**Independence From Impairments**

1.05M

A written directive requires the Inspector General and each investigative staff member to complete an annual attestation of independence from impairments, to include, at a minimum:

I. **Bullets**
   a. Personal;
   b. Organizational;
   c. External; and
   d. Reporting requirements if impairment occurs.

II. **Proofs of Compliance**
   - Written directive addressing elements of the standard (Qty Initial: 1) (Qty Reaccred: 1)
   - Attestations(s). (Qty Initial: 1) (Qty Reaccred: 3 YD1 each year)

III. **Required References**

IV. **Assessor Guidelines**

V. **Accreditation Manager Notes**

The annual attestation is required separate from any individual statements that may be used for each investigation.
Confidentiality

1.06M
A written directive establishes procedures for the release of information to the public in accordance with Florida Statutes.

I. Bullets

II. Proofs of Compliance

• Written directive addressing elements of the standard (Qty Initial: 1) (Qty Reaccred: 1)

III. Required References

• Florida Statute Chapter 119

IV. Assessor Guidelines

V. Accreditation Manager Notes
Refer to Florida Statute Chapter 119.
Notification to Officials

1.07M
A written directive establishes protocols for notification to appropriate officials concerning significant investigative issues and complaints or allegations of misconduct related to the Office of Inspector General or its employees. (I)

I. Bullets

II. Proofs of Compliance

• Written directive addressing elements of the standard (Qty Initial: 1) (Qty Reaccred: 1)
• Interviews

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes

For agencies under the Governor’s jurisdiction, the Inspector General will also notify the Chief Inspector General.
CFA Annual Report

1.08M
The Office of Inspector General investigations function electronically submits an annual accreditation report to the Commission to report compliance efforts with accreditation standards by January 31 of each year.

I. Bullets

II. Proofs of Compliance

● Annual Reports (Qty Initial: N/A) (Qty Reaccred: 1 each year3 YD)

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes

The annual report form, available on the Florida Accreditation website, is required to be filed for each calendar year, January 1 – December 31.

● An annual report is required to be filed for each calendar year, January 1 – December 31. The report shall be filed electronically.
Written Directive System

1.09M
The Office of Inspector General Investigations function has a written directive system which includes:

I. Bullets
a. A description of the format for each type of directive;
b. Procedures for numbering, indexing or searching, and revising directives, as appropriate;
c. A system for keeping the directives current;
D. Statements of policy;
E. Procedures for carrying out activities;
d. Procedures for staff review and/or approval of proposed policies, procedures, rules, and regulations prior to their promulgation;
e. Identification of individuals or positions within the Office of Inspector General investigations function having authority to issue written directives;
f. Procedures for dissemination and receipt of new or revised directives within a specified timeframe; and
H. Procedures for dissemination to affected members.
g. Procedures for storing and archiving directives.

II. Proofs of Compliance
• Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
• Observation of each type of written directives.
• Proof of review and/or approval process. (Qty Initial: 1 each type) (Qty Reaccred: 1 each type)
• Proof of receipt of written directives. (Qty Initial: 1 each type) (Qty Reaccred: 1 each type)
• Interview staffagency members.
• Written directive addressing elements of the standard (Qty Initial: 1) (Qty Reaccred: 1)
Receipt by affected members of new and revised policies, procedures, rules and regulations, and any other directives when specified by the agency. (Qty Initial: 1 each) (Qty Reaccred: 1 each 3 YD)
Observation of disseminated written directive manuals or electronic access system.
Examples of written directives used. (Qty Initial: 1 each type) (Qty Reaccred: 1 each type)
Proof of review and/or approval process in Bullet F. (Qty Initial: 1 each type) (Qty Reaccred: 1 each type)

III. Required References

IV. Assessor Guidelines
Applies to formal directives, but may not be necessary for informal communications, such as memoranda or interoffice emails.

Assessors should review additional examples.

V. Accreditation Manager Notes
The agency has a designated ADA coordinator in accordance with 28 C.F.R. 35.107. (I)

I. Bullets

II. Proofs of Compliance

• 28 C.F.R. 35.107 (Qty Initial: 1) (Qty Reaccred: 1)
• Documentation designating the ADA Coordinator. (Qty Initial: 1) (Qty Reaccred: 1)

III. Required References

• 28 C.F.R. 35.107

IV. Assessor Guidelines

V. Accreditation Manager Notes

The ADA Coordinator may be within the jurisdiction of the agency.
Campaigning, Lobbying, and Political Practices

1.104M
A written directive describes policy regarding campaigning, lobbying, and political practices. This policy conforms to governmental statutes and regulations and is distributed to all investigative staff members.

I. Bullets

II. Proofs of Compliance
- Written directive addressing elements of the standard (Qty Initial: 1) (Qty Reaccred: 1)

III. Required References
- Florida Statutes 104.31, 112.313

IV. Assessor Guidelines

V. Accreditation Manager Notes
F.S. 104.31, 112.313
Notification of Assessment

1.112M
The agency notifies the public at least 30 days prior to a CFA accreditation assessment.

I. Bullets

II. Proofs of Compliance

   • Proof of notification. (Qty Initial: 1) (Qty Reaccred: 1)

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes

Notification may be through the media, or posted on the agency's public website.
CHAPTER 2
PERSONNEL PRACTICES

This chapter addresses personnel practices and staff qualifications applicable to the Office of Inspector General that are in compliance with established laws, rules, policies, and procedures.

Investigator Qualifications

2.01M
A written directive requires investigators assigned to conduct investigations to have, at a minimum:

I. Bullets
   a. A baccalaureate degree from an accredited college or university; or
   b. Relevant employment experience as determined by the agency.

II. Proofs of Compliance
   • Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
   • Diploma, and/or official transcript, or electronic confirmation of degree, if applicable. (Qty Initial: Sampling3) (Qty Reaccred: Sampling3)
   • Application or resume. (Qty Initial: Sampling3) (Qty Reaccred: Sampling3)
   • Employment verification documentation. (Qty Initial: Sampling3) (Qty Reaccred: Sampling3)

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes

For reaccreditation, show proof for new staff members only.
Investigative Teams

2.02M
A written directive states requires the Inspector General or designee to ensure teams used to conduct investigations the Inspector General or designee is responsible for ensuring that investigative teams possess the necessary skills to conduct the investigation. The directive addresses include, at a minimum: (I)

I. Bullets

a. Familiarity with the programs and policies of the agency being investigated, as required;
b. Prior investigative experience in the subject area;
c. Training in the subject matter;
d. Educational background in subject area;
e. Preliminary research of program area; or
f. Specialized skills.

II. Proofs of Compliance

• Written directive addressing elements of the standard (Qty Initial: 1) (Qty Reaccred: 1)
• Interviews

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes
Position Description

2.03M
The Office of Inspector General maintains a position description for each investigative staff member in the investigation section. Each investigative staff member will acknowledge receipt of their position description.

I. Bullets

II. Proofs of Compliance

• Acknowledge Documentation of receipt of position descriptions. (Qty Initial: Sampling3) (Qty Reaccred: Sampling3)

III. Required References

IV. Assessor Guidelines

Acknowledgement may be in written or electronic form.

V. Accreditation Manager Notes

For reaccreditation, show proof for new staff members only.
Performance Evaluation

2.04M
A written directive requires a documented annual performance evaluation of each investigative *staff member* who reports directly or indirectly to the Inspector General, to include at a minimum:

I. Bullets

a. Performance evaluation based only on the performance during the rating period;
   b. Evaluation criteria specific to the position(s) occupied by the *staff member* during the rating period;
   c. Investigative staff members are informed of expectations for the assigned position at the beginning of the evaluation period;
   d. Investigative staff members are rated by their immediate supervisors;
   e. The immediate supervisor and the investigative staff member review, discuss, and acknowledge the evaluation; and
   f. The Inspector General will review all investigative staff members’ performance evaluations.

II. Proofs of Compliance

- Written directive addressing elements of the standard (Qty Initial: 1) (Qty Reaccred: 1)
- Completed performance evaluations. (Qty Initial: Sampling 3) (Qty Reaccred: 3 YD1 each year)
- Acknowledgement of performance expectations at the beginning of the evaluation period (Qty Initial: 1) (Qty Reaccred: 1)
- Interviews

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes

For reaccreditation, show one evaluation for a different staff member for each year for a total of three proofs.
CHAPTER 3
TRAINING

This chapter addresses the training and continuing education requirements for investigative staff members.

New Investigative Staff Member Training

3.01M
A written directive requires that within six months of being hired into an investigative position, the individual staff members assigned to the investigative function receive the following training, at a minimum:

I. Bullets
a. Office of Chief Inspector General;

b. Agency Inspectors General Act;

c. Public Records Law;

d. Code of Ethics for Public Officers and Employees;

e. Law Enforcement and Correctional Officers’ Rights;

f. Florida Whistle-blower’s Act;

g. Principles and Standards for the Office of Inspector General;

h. Agency specific statutes, rules, regulations, and directives;

i. Minimal standards of conduct for state employees; and

j. Florida accreditation standards and process.

II. Proofs of Compliance

• Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)

• Documentation verifying staff member training. (Qty Initial: Sampling3) (Qty Reaccred: Sampling3)

• Lesson plan, if used. (Qty Initial: 1) (Qty Reaccred: 1)

• Interviews.

III. Required References

• Florida Statute 14.32

• Florida Statute 20.055

• Florida Statute Chapter 119

• Florida Statute Chapter 112, Part III

• Florida Statute Chapter 112, Part VI

• Florida Statute 112.3187 – 112.31895

• DMS Rule 60L-36.005

• Principles and Standards for Offices of Inspector General as published by the Association of Inspectors General
IV. Assessor Guidelines

V. Accreditation Manager Notes

A checklist may be used for training documentation. Proofs should include both investigators and investigative staff members.
A directive requires that within six months of being hired into an investigative support staff position, the individual receive orientation in the following areas, at a minimum:

**I. Bullets**

A. Office of the Chief Inspector General; FS 14.32
B. Agency Inspectors General Act; FS 20.055
C. Public Records Law; FS Chapter 119
D. Code of Ethics for Public Officers and Employees; FS Chapter 112, Part III
E. Law Enforcement and Correctional Officers' Rights; FS Chapter 112, Part VI
F. Florida Whistle-blower's Act; FS 112.3187-112.31895
G. Principles and Standards for the Office of Inspector General;
H. Agency specific statutes, rules, regulations, and directives;
I. Minimal standards of conduct for state employees; and DMS Rule 60L-36.005
J. Florida accreditation standards and process.

**II. Compliance keys**

Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred:1) Documentation verifying member training. Sampling

**III. Assessor Guidelines**

**IV. Accreditation Manager Notes**

A checklist may be used for orientation documentation.
A written directive requires investigators, the Director of Investigations, and the Inspector General receive a minimum of 40 hours of documented continuing education every two years, with at least 12 of the 40 hours in subjects directly related to their primary responsibility.

I. Bullets

II. Proofs of Compliance

- Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Training Documentation. (Qty Initial: Random Sampling3) (Qty Reaccred: Random Sampling3)
- Interviews.

III. Required References

IV. Assessor Guidelines

Interview training records custodian.

V. Accreditation Manager Notes
Training for Staff Members Authorized to Carry Weapons

3.04M 3.03M

If the agency has sworn staff members, a written directive requires that staff members authorized to carry weapons receive in-service training which includes:

I. Bullets

a. Annual demonstration of proficiency with firearms authorized to carry;
b. Annual use of force training;
c. Annual Dart-Firing Stun Gun training in accordance with Florida Statute;
d. Biennial less-lethal weapon training (for weapons other than the Dart-Firing Stun Gun); and
e. Applicable legal updates.

II. Proofs of Compliance

- Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Proof of training for each element of the standard. (Qty Initial: Sampling3) (Qty Reaccred: 3YD1 each year)
  - Florida Statute 943.1717
  - Interviews.

III. Required References

CJSTC Rule 11B-27.00212 (Requirements for use of force training topics)
Florida Statute 943.1717

IV. Assessor Guidelines

View lesson plans for each training topic identified in the standard (not necessary to be in the file); verify full agency compliance (including upper-command staff). Remember to verify training for civilian members carrying weapons, e.g., batons, OC spray, etc.

Requirements for use of force training topics are contained in CJSTC Rule 11B-27.00212.

V. Accreditation Manager Notes
First Aid Training for Sworn Staff Members

3.05M 3.04M
If the agency has sworn staff members, all sworn staff members will receive periodic first aid refresher training, as defined by the agency.

I. Bullets

II. Proofs of Compliance

• Proof of Training. (Qty Initial: 1) (Qty Reaccred: Sampling 3)
• Interviews.

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes
CHAPTER 4
INVESTIGATION PROCESS

This chapter addresses the procedures for reviewing and processing complaints, conducting investigations, and preparing and disseminating reports. This chapter also addresses the responsibility of the Office of Inspector General to exercise due professional care throughout the investigative process.

Complaint Intake, Assessment, and Assignment

4.01M
A written directive establishes protocols for reviewing and tracking all complaints, to include:

I. Bullets
   a. Receipt and documentation;
   b. Categorization;
   c. Disposition;
   d. Written notification of disposition to complainant; and
   e. Required timeframe from receipt to disposition, with documented supervisory approval for exceptions.

II. Proofs of Compliance
   • Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
   • Complaint tracking documentation. (Qty Initial: Sampling1) (Qty Reaccred: 3YD1 each year)
   • Disposition documentation. (Qty Initial: Sampling1) (Qty Reaccred: 3YD1 each year)
   • Complainant notification documentation. (Qty Initial: Sampling1) (Qty Reaccred: 3YD1 each year)

III. Required References

IV. Assessor Guidelines

Disposition refers to assignment to investigative staff, referral to management or other appropriate official, or to file.

V. Accreditation Manager Notes
Elements of Investigations

4.02M
A written directive requires each investigation include the following elements, a minimum:

I. Bullets
   a. Written case plan;
   b. Evidentiary support for findings;
   c. Interviews;
   d. Documented investigative activity;
   e. Written report;
   f. Bill of Rights/union contracts, when applicable; and
   g. Timeframe from assignment to case closure, with documented supervisory approval for extensions.

II. Proofs of Compliance
   • Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes
Case Planning

4.03M
A written directive requires investigators complete a written case plan that includes the following, at a minimum: (Review Method: I)

I. Bullets
   a. Elements of the complaint and the potential violation;
   b. Case plan updates, as necessary;
   c. Documented supervisory review and approval prior to implementation of the plan;
      and (Review Method: OR)
   d. Documented supervisory review and approval of significant plan updates, as defined by the agency. (Review Method: OR)

II. Proofs of Compliance
   • Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
   • Completed case plan. (Qty Initial: 1) (Qty Reaccred: 1 each year)
   • Documentation of supervisory review and approval of plans. (Qty Initial: 1) (Qty Reaccred: 1 each year)
   • Documentation of supervisory review and approval of updates. (Qty Initial: 1)
      (Qty Reaccred: 1 each year)
   • Interviews.

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes
Evidence Review

4.04M
A written directive requires the Inspector General, or the Director of Investigations, to document their review of cases to ensure evidence: (Review Method: OR)

I. Bullets
   a. Is relevant;
   b. Has logical, sensible relationships to the allegation;
   c. Is consistent with the facts; and
   d. Is sufficient to support conclusions.

II. Proofs of Compliance
   • Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
   • Review documentation. (Qty Initial: 1) (Qty Reaccred: 1)
   • Interviews.

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes
4.05M
A written directive establishes requirements for conducting interviews that includes, at a minimum: (Review Method: I)

I. Bullets

a. The complainant is interviewed, with exceptions documented;
b. Witnesses are interviewed, with exceptions documented;
c. The subject of the investigation is interviewed regarding all allegations prior to case completion, with exceptions documented;
d. Interviews are taken under oath, with exceptions documented; (Review Method: e) Interviews are audio recorded or documented, with exceptions documented; and; and (Review Method: I)
f. Documented supervisory review. Documented supervisory review. (Review Method: OR) (4.04M already addresses review of evidence)

II. Proofs of Compliance

• Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
• Case file documentation demonstrating elements of the standard. (Qty Initial: 1 each bullet) (Qty Reaccred: 1 each bullet)
• Interviews.

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes
Documenting Acceptance of Supporting Materials

4.06M
A written directive establishes a requirement method for documenting the receipt acceptance of case supporting materials. (Review Method: OR)

I. Bullets

II. Proofs of Compliance

- Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Proof of documentation of acceptance of receipt. (Qty Initial: 1) (Qty Reaccred: 1)

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes
Receipt may be documented electronically or on the case file itself.
Report Preparation

4.07M
A written directive establishes requirements for preparing reports that include, at a minimum:

I. Bullets
   a. A format for reports, with the following major sections at a minimum: predicate, allegations, findings, and recommendations when applicable;
   b. Proved or disproved allegations are based on developed facts related to governing directives;
   c. An attestation that the investigation was conducted in compliance with the Quality Standards for Investigations found within the Principles and Standards for Offices of Inspector General as published by the Association of Inspectors General; and
   d. Documented supervisory review. (Review Method: OR)

II. Proofs of Compliance
   • Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
   • Principles and Standards for Offices of Inspector General. (Qty Initial: 1) (Qty Reaccred: 1)
   • Documentation of supervisory review elements of the standard. (Qty Initial: 1 each bullet) (Qty Reaccred: 1 each bullet for each year)
   • Interviews.

III. Required References

Principles and Standards for Offices of Inspector General as published by the Association of Inspectors General.

IV. Assessor Guidelines

V. Accreditation Manager Notes
**Bill of Rights and Union Contracts**

4.08M

A written directive requires investigative staff members to comply with constitutional, statutory, and employee union/bargaining unit requirements when conducting investigations.

I. Bullets

II. Proofs of Compliance

- Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes
Legal Sufficiency Review

4.09M
A written directive establishes procedures for requires the Office of Inspector General to obtain a review of cases for legal sufficiency when necessary. (Review Method: I)

I. Bullets

II. Proofs of Compliance

• Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
• Interviews.

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes
CHAPTER 5
CASE SUPPORTING MATERIALS AND EVIDENCE
This chapter addresses the procedures for the privacy and security of materials gathered by the Office of Inspector General investigations function. Those materials include case supporting materials related to an administrative investigation and evidence related to a criminal investigation.

Security of Records

4.105.01M
The Office of Inspector General investigations function establishes measures to ensure the privacy and security of investigation records. (Review Method: OF,OS)

I. Bullets
II. Proofs of Compliance
   • Observation of records area and related security.
III. Required References
IV. Assessor Guidelines
V. Accreditation Manager Notes
Chain of Custody

4.145.02M
If the agency handles criminal evidence, a written directive specifies procedures for recording the chain of custody of evidence to include, at a minimum: (Review Method: Q)

I. Bullets
   a. Date, time, and method of transfer; (Review Method: OR)
   b. Receiving person's name and responsibility; and (Review Method: OR)
   c. Reason for the transfer. (Review Method: OR)

II. Proofs of Compliance
   • Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
   • Completed evidence recording document chain of custody documents. (Qty Initial: Sampling3) (Qty Reaccred: 3YD1 each year)
   • Interviews.

III. Required References

IV. Assessor Guidelines

Assessor will conduct random sampling of evidence submission documentation.

V. Accreditation Manager Notes
Security of Evidence

4.125.03M
All evidence and case supporting materials are kept in designated secure area(s).
(Review Method: OS)

I. Bullets

II. Proofs of Compliance

• Observation of secured areas.

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes
Evidence Control

4.135.04M
If the agency has criminal evidence, a written directive designates the position accountable for all evidence within their control, and addresses the following, at a minimum:

I. Bullets

a. An annual audit of evidence is conducted by a staff member not routinely or directly connected with control of evidence. The annual evidence audit includes an examination of conformance with agency controls, policies and procedures; (Review Method: I)

b. An unannounced annual inspection of evidence storage areas is conducted as directed by the agency's IG. The unannounced annual inspection includes a review of property and evidence storage areas for organization and orderliness; (Review Method: I)

c. An annual inventory of evidence is conducted by the responsible staff member and a designee of the IG. The annual evidence inventory includes a full or partial accounting of evidence, as defined by the agency; and

d. Follow-up investigative procedures for lost, missing, or stolen property or evidence.

II. Proofs of Compliance

- Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Documentation of inventories, inspections, and audits. (Qty Initial: 1 each) (Qty Reaccred: 3YD1 each year)
- Documentation of follow-up investigations. (Qty Initial: 1) (Qty Reaccred: 3YD1 each year)
- Interviews.

III. Required References

IV. Assessor Guidelines

- Audit: The examination of records and activities to ensure compliance with established controls, policies, and operational procedures.
- This inspection does not necessarily include the inventory of evidence, which is addressed in bullet C.
- Inventory: The act or process of cataloging through a full or partial accounting, as defined by the agency, of the quantity of goods or materials on hand.

V. Accreditation Manager Notes
This chapter addresses the requirements for meeting the provisions of the Whistle-
blower’s Act. The Office of Inspector General has a primary role in coordinating the
activities of the Act and investigating allegations made by employees of state agencies
and independent contractors of state agencies who report certain violations of law.
Offices of Inspector General established by non-state agencies also have a primary role
in coordinating the activities of the Act and investigating allegations made by
employees, individuals, contractors, and/or entities within their respective jurisdiction.

Whistle-blower’s Act

56.01M
A written directive establishes requirements for ensuring compliance with handling the
Florida Whistle-blower’s Act complaints, to include:

I. Bullets

a. A documented review of each complaint for whistle-blower determination;
b. Confidentiality; (Review Method: I)
c. Statutory Timeframes, with exceptions justified and documented;
d. For state agency Offices of Inspectors General, notification to the Florida Department of Law Enforcement or appropriate authority, when applicable;
d.e. For non-state agency Offices of Inspectors General, notification to the appropriate law enforcement entity, when applicable;
e.f. Provisions for whistle-blowers to respond to the final report; and
e.g. Procedures for dissemination of the final report to mandated recipients.

II. Proofs of Compliance

- Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Whistle-blower determination documentation. (Qty Initial: Sampling) (Qty Reaccred: 3YD1 each year)
- Proof of notification. (Qty Initial: Sampling) (Qty Reaccred: 3YD1 each year)
- Notice of opportunity to respond. (Qty Initial: Sampling) (Qty Reaccred: 3YD1 each year)
- Documentation of dissemination. (Qty Initial: Sampling) (Qty Reaccred: 3YD1 each year)

III. Required References

Florida Statute 112.3187-112.31895 for state Offices of the Inspector General
IV. Assessor Guidelines

V. Accreditation Manager Notes

Refer to FS-112.3187-112.318
CHAPTER 76

NOTIFICATION PROCESS

The standards outlined in this chapter address the procedures for state agency Offices of Inspectors General to notify entities contracting with the state and individuals substantially affected as defined in Section 20.055, Florida Statutes, of their opportunity to respond to the findings of Offices of Inspectors General investigations.

In addition, the chapter also addresses the procedures for state agency Offices of Inspectors General to notify the agency head and/or the Office of the Chief Inspector General when complaints are received from entities contracting with the state and individuals substantially affected as defined in Section 20.055, Florida Statutes.

The standards outlined in this chapter also address the procedures for non-state agency Offices of Inspectors General to notify contracted entities and individuals substantially affected by the findings, conclusions, and recommendations of Offices of Inspectors General investigative reports within their jurisdictions of their opportunity to respond to final investigative reports.

In addition, the chapter addresses the procedures for non-state agency Offices of Inspectors General to make appropriate notifications within their organizations when complaints are received from contracted entities and individuals substantially affected by the findings, conclusions, and recommendations of an Offices of Inspectors General investigative report.

Although not bound by Section 20.055 Florida Statute, county Offices of the Inspector General and Clerks of the Court Inspectors General must develop written directives and procedures addressing these standards as it relates to contractors within their jurisdiction.
Contractor Investigation Notification for State Agency Offices of Inspectors General

67.01M
A written directive requires that entities contracting with the state that are the subject of an Office of Inspector General investigation are provided the following information:

I. Bullets

a. Investigative findings;
b. Notification in writing that they may submit a written response within timeframes specified by statute, ordinance, or rule after receipt of the findings; and
c. Notification that their responses, and the Inspector General's rebuttal to the response, if any, will be included in the final investigative report.

II. Proofs of Compliance

- Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Proof of notifications. (Qty Initial: 1 each bullet) (Qty Reaccred: 1 each bullet 3YD for each year)

III. Required References

Florida Statute 20.055

IV. Assessor Guidelines

V. Accreditation Manager Notes

Non-state agencies must address this standard as it relates to entities contracting within their purview.
Contractor Investigation Notification for Non-State Agency Offices of Inspectors General

7.02M
A written directive requires that entities contracting with non-state agencies that are the subject of an Office of Inspector General investigation are provided the following information:

e-1. Bullets

a. Investigative findings;
b. Notification in writing that they may submit a written response within specified timeframes after receipt of the findings; and
e-c. Notification that their responses, and the Inspector General's rebuttal to the response, if any, will be included in the final investigative report.

VII.II. Proofs of Compliance

• Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
• Proof of notifications. (Qty Initial: 1 each bullet) (Qty Reaccred: 1 each bullet 3YD for each year)

VII.III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes
Contractor Employee Investigation Notification for State Agency Offices of Inspectors General

67.032M
A written directive requires that information is provided to individuals substantially affected by the findings, conclusions, or recommendations of a state agency\textsuperscript{7} a Office of Inspector General investigation, but who are not currently afforded an existing right to an independent review process, are provided the following information. Information includes:

I. Bullets

a. Investigative findings;
b. Notification in writing that they may submit a written response within timeframes specified by statute, ordinance, or rule after receipt of the findings; and
c. Notification that their responses, and the Inspector General's rebuttal to the response, if any, will be included in the final investigative report.

II. Proofs of Compliance

• Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
• Proof of notifications. (Qty Initial: 1 each bullet) (Qty Reaccred: 1 each bullet 3YD 3YD for each year)

III. Required References

Florida Statute 20.055

IV. Assessor Guidelines

V. Accreditation Manager Notes

Non-state agencies must address this standard as it relates to individuals substantially affected by the findings.
Contractor Employee Investigation Notification for Non-State Agency Offices of Inspectors General

7.04M
A written directive requires individuals substantially affected by the findings, conclusions, or recommendations of a non-state agency Office of Inspector General investigation are provided the following information:

I. Bullets
   a. Investigative findings;
   b. Notification in writing that they may submit a written response within specified timeframes after receipt of the findings; and
   c. Notification that their responses, and the Inspector General's rebuttal to the response, if any, will be included in the final investigative report.

II. Proofs of Compliance
   • Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
   • Proof of notifications. (Qty Initial: 1 each bullet) (Qty Reaccred: 1 each bullet for each year)

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes

Individuals substantially affected must be defined by the agency.
OIG Complaint Notifications for State Agency Offices of Inspectors General

67.053M
For state agency Offices of Inspectors General, a written directive requires the Inspector General to provide the agency head with copies of complaints or allegations of misconduct related to the Office of Inspector General or its staff members when complaints are received from entities contracting with the state or individuals substantially affected by an Office of Inspector General investigation. Employees. For agencies under the Governor’s jurisdiction, the Inspector General will also provide copies to the Chief Inspector General.

I. Bullets

II. Proofs of Compliance

- Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Documentation showing dissemination. (Qty Initial: Sampling3) (Qty Reaccred: Sampling3YD1 each year)

III. Required References

IV. Assessor Guidelines

For state agency Offices of Inspectors General under the Governor’s jurisdiction, the Inspector General will also provide copies of the complaints referenced above to the Chief Inspector General.

V. Accreditation Manager Notes

For state agency Offices of Inspectors General under the Governor’s jurisdiction, the Inspector General will also provide copies of the complaints referenced above to the Chief Inspector General. This standard applies only to complaints received from individuals contracting with the state/county or individuals substantially affected.
OIG Complaint Notifications for Non-State Agency Offices of Inspectors General

7.06M
For non-state agency Offices of Inspectors General, a written directive requires the Inspector General to provide the head(s) of their organization with copies of complaints or allegations of misconduct related to the Office of Inspector General or its staff members when complaints are received from contracted entities within their jurisdictions or individuals substantially affected by an Office of Inspector General investigation.

I. Bullets

II. Proofs of Compliance

• Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
• Documentation showing dissemination. (Qty Initial: 3) (Qty Reaccred: 1 each year)

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes

Individuals substantially affected must be defined by the agency.
CHAPTER 78

CASE MANAGEMENT

This chapter outlines the elements necessary for data-case tracking, file organization and records retention regarding investigative cases.

Case Tracking System

78.01M
A written directive establishes a case tracking system for the Office of Inspector General investigation function to include the following, at a minimum: (Review Method: O)

I. Bullets
   a. Type of case;
   b. Assigned investigator;
   c. Date assigned;
   d. Summary or listing of allegations; and
   e. Current status.

II. Proofs of Compliance
   • Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
   • Observation of system.

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes
Case File Organization

78.02M
Investigative case files will include the following: documentation, at a minimum: (Review Method: OR)

I. Bullets
   a. Intake form;
   b. Initial complaint;
   c. Initial case plan;
   d. Florida Whistle-blower analysis, if applicable;
   e. Interviews;
   f. Evidence and supporting documentation;
   g. Referral documentation;
   h. Final report of investigation with exhibits/and attachments; and
   i. Management's response to Inspector General's recommendations, if applicable.

II. Proofs of Compliance
   • Observation of completed investigative case files. (Qty Initial: Random-sampling)
     (Qty Reaccred: Random sampling)

III. Required References

IV. Assessor Guidelines
   • Supporting documentation includes electronic records. Case files may be paper copy and/or electronic.

V. Accreditation Manager Notes
Record Retention

78.03M
A written directive establishes procedures for the storage, receipt, and archival of case file materials. (Review Method: I)

I. Bullets

II. Proofs of Compliance

• Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
• Destruction documentation. (Qty Initial: 1) (Qty Reaccred: 3YD1 each year)
• Observation of storage and archival systems.
• Interviews.

III. Required References

Florida Records Retention Schedule GS1-SL and GS2

IV. Assessor Guidelines

V. Accreditation Manager Notes
Refer to Florida Records Retention Schedule GS1-SL and GS2.
CHAPTER 89

FINAL REPORTING PROCESSES

This chapter addresses investigative conclusions, distribution of final reports, post investigative activities, and notification of criminal allegations to appropriate law enforcement agencies.

Conclusions of Fact

89.01M
A written directive describes the various conclusions of fact used by the Office of Inspector General investigations function.

I. Bullets

II. Proofs of Compliance

• Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
• Documentation demonstrating the various conclusions of fact. (Qty Initial: 1 each type) (Qty Reaccred: 1 each type)

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes
**Notification of Case Closure**

**9.02M**

A written directive establishes protocols for written notification to the complainant and the subject of administrative investigations that the investigation has been closed, with exceptions documented.

I. **Bullets**

II. **Proofs of Compliance**

- Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Documentation of written notification to the complainant that the investigation has been closed. (Qty Initial: 1) (Qty Reaccred: 1 each year)
- Documentation of written notification to the subject that the investigation has been closed. (Qty Initial: 1) (Qty Reaccred: 1 each year)

III. **Required References**

IV. **Assessor Guidelines**

V. **Accreditation Manager Notes**
Final Report Distribution

8.02M - 9.03M
A written directive establishes procedures for distributing final Office of Inspector General investigative reports. (Review Method: I)

I. Bullets

II. Proofs of Compliance

• Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
  • Interviews.

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes
Post Investigative Responses

A written directive establishes guidelines for addressing post investigative responses to reports, to include at a minimum:

I. Bullets
   a. A documented review of issues raised; and
   b. Response documentation, if appropriate.

II. Proofs of Compliance
   - Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
   - Review documentation. (Qty Initial: Sampling3) (Qty Reaccred: 3YD1 each year)
   - Response documentation. (Qty Initial: Sampling3) (Qty Reaccred: 3YD1 each year)

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes
Law Enforcement Notification

8.04M 9.05M
A written directive requires documented timely notification to appropriate law enforcement officials when there are reasonable grounds to believe a criminal violation has occurred.

I. Bullets

II. Proofs of Compliance

- Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Documentation of notification. (Qty Initial: Sampling3) (Qty Reaccred: 3YD1 each year)

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes
<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACCREDITATION</td>
<td>Granting of credentials symbolizing approval from a professional organization upon practitioners or specific institutions. Complying with specific accepted standards established for an investigative function of an Office of Inspector General.</td>
</tr>
<tr>
<td>AGENCY</td>
<td>As used in this standards’ manual, agency refers to the investigative function of an Office of Inspector General.</td>
</tr>
<tr>
<td>AGENCY HEAD</td>
<td>The Governor, a Cabinet officer, a secretary, an executive director, commissioner, chair or board of directors and duly elected local official (i.e. Board of County Commissioners, City Mayor, Clerk of the Circuit Court &amp; Comptroller, etc.)</td>
</tr>
<tr>
<td>ANNUAL</td>
<td>An event occurring once every 12 months.</td>
</tr>
<tr>
<td>APPLICANT AGENCY</td>
<td>An agency that has applied to the Commission for state accredited status.</td>
</tr>
<tr>
<td>AUDIT</td>
<td>The examination of records and activities to ensure compliance with established controls, policies, laws and regulations and operational procedures, and to recommend any indicated improvements and changes.</td>
</tr>
<tr>
<td>BIENNIAL</td>
<td>An event that occurs every two years.</td>
</tr>
<tr>
<td>CANDIDATE AGENCY</td>
<td>An agency that has completed a successful onsite assessment and is being reviewed by the Commission for accreditation or reaccreditation status.</td>
</tr>
<tr>
<td>CASE SUPPORTING MATERIALS</td>
<td>Materials gathered to support conclusions and recommendations. Case supporting materials may include, but are not limited to, sworn statements, witness statements, timesheets, travel vouchers, and other documentation gathered during the administrative investigation.</td>
</tr>
<tr>
<td>CEO</td>
<td>The agency’s Inspector General.</td>
</tr>
<tr>
<td>CFA</td>
<td>The Commission for Florida Law Enforcement Accreditation, Inc.</td>
</tr>
<tr>
<td>CIVILIAN MEMBER</td>
<td>A full or part-time person who is not certified and does not possess arrest powers.</td>
</tr>
<tr>
<td>CJSTC</td>
<td>The Criminal Justice Standards and Training Commission.</td>
</tr>
<tr>
<td>COMPLAINT</td>
<td>An allegation of misconduct, violation of law or agency directives against any member of the agency or for which the OIG has jurisdiction. This does not include a complainant’s misunderstanding or disagreement with the application of law or agency policy or procedures.</td>
</tr>
</tbody>
</table>
COMPLIANCE KEYS
Documentation or other methods used to demonstrate compliance with a standard.

COMPONENT
A subdivision of the agency, such as a division, bureau, section, unit, or position that is established to provide a specific function.

CONCLUSIONS OF FACT
Final determination about allegations based on investigative activities. Classifications of investigative findings may include exonerated, sustained, not sustained, unfounded, and policy failure.

CONDITIONAL STANDARDS
Standards beginning with “If” refer to conditions that may render the standard Not Applicable.

CRITERIA
A standard, rule, or test on which a judgment or decision can be based.

DIRECTIVE
A written document used to guide the actions of members and establish agency policies and practices. Examples of written directives include, but are not limited to, policy statements, standard operating procedures, general orders, memoranda, union contracts, laws, written orders, and instructional material.

ENTITIES CONTRACTING WITH THE STATE
For-profit and not-for-profit organizations or businesses having a legal existence, such as corporations or partnerships, as opposed to natural persons, which have entered into a relationship with a state agency as defined in paragraph (a) to provide for consideration of certain goods or services to the state agency or on behalf of the state agency.

FUNCTION
A general term for the required or expected activity of a person or an organizational component.

GUIDELINES
Statements or other indications of policy or procedure to determine a course of action.

INDIVIDUALS SUBSTANTIALLY AFFECTED
"Individuals substantially affected" means natural persons who have established a real and sufficiently immediate injury in fact due to the findings, conclusions, or recommendations of a final report of a state agency inspector general, who are the subject of the audit or investigation, and who do not have or are not currently afforded an existing right to an independent review process. The term does not apply to employees of the state, including career service, probationary, other personal service, Selected Exempt Service, and Senior Management Service employees; former employees of the state if the final report of the state agency inspector general relates to matters arising during a former employee’s term of state employment; or persons who are the subject of audits or investigations conducted pursuant to ss. 112.3187-112.31895 or s. 409.913 or which are otherwise confidential and exempt under s. 119.07. Natural persons who have established a real and sufficiently immediate injury in fact due to the findings.
conclusions, or recommendations of a final report of a state agency inspector general, who are the subject of the audit or investigation, and who do not have or are not currently afforded an existing right to an independent review process. See Florida Statute 20.055 for exemptions.

**IN-SERVICE TRAINING**
Training received by agency members to enhance knowledge, skills, or abilities. This includes formal retraining, specialized, promotional, or advanced training. In-service training may also include less formal types of instruction.

**INSPECTION**
The act or process of examining or looking at carefully.

**INSPECTOR GENERAL**
The head of an Office of Inspector General.

**INVENTORY**
The act or process of cataloging through a full accounting of the quantity of goods or materials on hand, unless a standard specifically allows for a partial accounting.

**LESSON PLAN**
A detailed format an instructor uses to conduct a course. A lesson plan may include: goals, specific subject matter, performance objectives, references, resources, and method of evaluating or testing students.

**MANDATORY STANDARDS**
Every agency is required to meet all of these standards except those not applicable, or for which a waiver has been granted.

**MEMBER**
A generic term utilized in this manual to describe all agency personnel, including volunteers, and part-time personnel, and interns.

**MEMORANDUM**
An informal, written document that may or may not convey an order; it is generally used to clarify, inform, or inquire. Memoranda may be used for proofs of compliance.

**NOT APPLICABLE (N/A) STANDARDS**
Standards that address areas of responsibility or investigative practices for which the agency is not performing due to contracts, jurisdiction, or mutual aid agreements. The agency must prove non-applicability. See Conditional Standards definition for additional information on non-applicability.

**PERIODIC**
Conducted or occurring at least every three years.

**PLAN**
A detailed scheme, program, or method worked out beforehand for the accomplishment of an objective, proposed or tentative project, or goal. A plan may be a systematic arrangement of details, an outline, drawing, or diagram.

**POLICY STATEMENT**
A broad statement of agency principles that provides a framework or philosophical basis for agency procedures.

**POSITION**
The duties and responsibilities assigned to one employee. A position may have functional responsibility for a single task or multiple tasks.
<table>
<thead>
<tr>
<th>POSITION DESCRIPTION</th>
<th>An official written statement setting forth the duties and responsibilities of a job, and the skills, knowledge, and abilities necessary to perform it.</th>
</tr>
</thead>
<tbody>
<tr>
<td>PROCEDURE</td>
<td>A manner of proceeding, a way of performing or affecting something, an act composed of steps, a course of action, and a set of established forms or methods for conducting the affairs of the agency.</td>
</tr>
<tr>
<td>PROCESS</td>
<td>A series of actions, changes, or functions bringing about a result.</td>
</tr>
<tr>
<td>RULES AND REGULATIONS</td>
<td>Specific guidelines describing allowed and prohibited behavior, actions, or conduct.</td>
</tr>
<tr>
<td>SEMI-ANNUAL</td>
<td>Occurring or issued twice a year.</td>
</tr>
<tr>
<td>STANDARD OPERATING PROCEDURE</td>
<td>A written directive which specifies how agency activities are carried out.</td>
</tr>
<tr>
<td>SWORN MEMBER</td>
<td>A member, as defined by statute, who is certified by CJSTC, possesses full law enforcement and arrest powers, and is employed either full or part-time by a law enforcement agency. This member may or may not be compensated.</td>
</tr>
<tr>
<td>WITNESS</td>
<td>A person having information or evidence relevant to a complaint, administrative review, investigation, or crime.</td>
</tr>
</tbody>
</table>