

Department of the Interior Departmental Manual

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Series: Law Enforcement and Security

Part 446: Law Enforcement

Chapter 9: Case Management Standards

Originating Office: Office of Managing Risk and Public Safety

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9.1 **Purpose.** This chapter provides guidelines for adequate management controls over investigative functions within Departmental law enforcement programs.

9.2 **Policy.** The policy of the Department of the Interior is to ensure that qualitative standards are attained and maintained by each law enforcement bureau/office with investigative responsibilities. If the case management function is to be successful, there are four qualitative standards that must be addressed. These standards are Planning, Execution, Reporting and Information Management.

9.3 Responsibilities.

A. Each bureau/office head with investigative responsibilities shall establish and implement procedures to ensure that qualitative standards are maintained. A case management system to assure performance of responsibilities and measure accomplishments shall be developed and implemented.

B. Law enforcement supervisors will:

(1) immediately report systematic weaknesses disclosed during an investigation to the bureau/office law enforcement administrator to ensure compliance with system standards and effective investigative case monitoring.

(2) conduct and document a review of all cases at least quarterly.

9.4 **Qualitative Standards.** Each bureau/office head will establish written procedures and policies, specific to the needs of the bureau/office, to ensure that the following standards are addressed:

A. **Planning.** Under the direction and approval of the Senior Law Enforcement Official, case management plans shall be developed. Investigative priorities should be established and objectives developed to ensure that individual case tasks are performed efficiently and effectively.

B. Execution. Investigations should be conducted in a timely, efficient, thorough, and legal manner. The following guidelines should be adhered to when conducting interviews:

(1) Impartiality - All interviews should be conducted in a fair and impartial manner with the objective of obtaining the most accurate, relevant, timely and complete information from the source.

(2) Prior Preparation - A review of known information should precede a planned interview.

(3) Full Identification - All investigators shall fully identify themselves and state the purpose(s) of the interview, if appropriate.

(4) Joint Interviews - Consideration should be given to conducting interviews with more than one investigator in situations that are potentially hazardous or compromising.

(5) Complete Information - Relevant personal data will be obtained from the interviewee.

(6) Related Information - When conducting an interview, particular attention should be given to obtaining the interviewee's observation of incidents and the actions or statements of other persons connected with the event.

(7) FOIA and Privacy - The investigator should bear in mind the interviewee's access to information through the Freedom of Information Act (5 U.S.C. 552) and under provisions of the Privacy Act (5 U.S.C. 552a).

(8) Inclusion in Reports - All interviews are subject to inclusion in reports.

(9) Retention and Disposal of Notes - Any contemporaneous interview notes that are prepared in a criminal investigation shall be retained until final disposition of the case. Any interview notes will be disposed of in accordance with 44 U.S.C., Chapter 33, and a National Archives and Records Administration approved records retention and disposition schedule.

C. Reporting. Reports must thoroughly address all relevant aspects of the investigation and be accurate, objective, timely, understandable, and logically organized. They shall be prepared in a clear, concise manner, and presented in a straightforward, grammatically correct language avoiding the use of confusing verbiage, using the following guidelines:

(1) Organize the report in an orderly, logical manner to quickly identify the issues and evidence.

(2) Write in short, simple, direct sentences and paragraphs.

(3) Without sacrificing clarity, completeness, and accuracy, reports should be no longer than is necessary to communicate the relevant investigative findings.

(4) Each report must contain a recitation of facts that is as accurate as possible.

(5) Information obtained during an investigation should be verified by as many sources as are necessary and reasonable to establish the validity of such information.

(6) Investigative reports shall not contain opinions, conclusions, or personal views of the investigator.

D. Information Management. The following minimum items are to be included in the bureau/office law enforcement information system:

(1) Workload Data.

(a) Cases open.

(b) Cases closed.

(c) Cases pending.

(d) Referrals to program agencies.

(e) Referrals to another investigative agency (Federal, State or local - include name).

(f) Prosecutive and administrative referrals

(i) accepted;

(ii) declined; and

(iii) agency referrals.

(g) Number of complaints handled.

(2) Identification Data.

(a) Fraud and corruption case tracking system referral numbers.

(b) Type of violation alleged.

(c) Category of investigation priority.

(d) Joint investigations.

(e) Sensitive investigations.

(f) Supplemental investigative activities.

(g) Location where investigation is centered.

(h) Investigative techniques employed (i.e., consensual monitoring, forensic sciences, etc.).

(i) Release of data under FOIA or Privacy Act.

(3) Investigative Results Data.

(a) Number of indictments, convictions, final disposition, civil actions.

(b) Amount of recoveries, cost efficiencies, restitutions, fines and settlements.

(c) Recommendations to management (these are not included in criminal case files).

(4) Investigative File. All investigative activity, both exculpatory and incriminating, should be recorded in an official case file. A case file should be established immediately upon the opening and assignment of an investigation. A case may also be opened upon the receipt of referral from another investigative agency or program office.

E. Written Directives. Written directives should specify procedures for at least the following:

- (1) Assignment of case numbers.
- (2) File organization or prescription.
- (3) Filing of exhibits and storing evidence.
- (4) Distribution and dissemination of reports.
- (5) Privacy and security provisions.
- (6) Accounting for disclosure of information.
- (7) Record retention and disposition approved by NARA.
- (8) Contents of files to ensure adequate documentation of the investigation.

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