COMMISSION FOR FLORIDA LAW ENFORCEMENT ACCREDITATION, INC.

THE FLORIDA INSPECTORS GENERAL STANDARDS MANUAL EDITION 2.22

October 2026

PREFACE

The Standards Manual is the principal publication of the Commission for Florida Law Enforcement Accreditation, Inc. Inspectors General Accreditation Program. The first edition was published in February 2009. The current version of the Florida Standards Manual is version 2.0, published February 2016.

This manual and other accreditation publications are available from:

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LIMITATION OF LIABILITY

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ACKNOWLEDGMENTS

In an effort to keep up with current trends, criminal justice issues, and Florida Statutes, the Standards Review and Interpretations Committee (SRIC) and the Commission have been accepting and reviewing input from Inspectors General practitioners for improving the Florida Standards Manual. The second edition is the result of various committee and subcommittee meetings, executive workshops, and numerous individual hours dedicated to addressing all suggestions and concerns.

The work of the SRIC is ongoing and many dedicated professionals contributed to this edition. The Commission for Florida Law Enforcement Accreditation, Inc. thanks the past and present members of the SRIC for ensuring the standards continue to meet the needs of the Florida Inspectors General community.

MISSION STATEMENT

The Commission for Florida Law Enforcement Accreditation establishes standards, oversees an accreditation program, and awards accreditation to compliant Florida law enforcement agencies. The Commission strives to improve the ability of law enforcement agencies to deliver professional public safety services.

VISION STATEMENT

All Florida law enforcement agencies are state accredited.

PROGRAM DEVELOPMENT

An accreditation program has long been recognized as a means of maintaining the highest standards of professionalism. Schools, universities, and hospitals are some of the most well-known organizations required to maintain accredited status. The accreditation process is an outstanding management tool for criminal justice agencies. Accreditation provides a blueprint for building an agency committed to providing value-based services through accountability and transparency to the communities it serves.

Commission for Florida Law Enforcement Accreditation, Inc. (CFA)
In 1993, Florida Statute 943.125 encouraged the Florida Sheriffs Association (FSA) and the Florida Police Chiefs Association (FPCA) to create an independent voluntary law enforcement agency accreditation program.

Representatives from FSA and FPCA developed an accreditation program, which requires compliance with more than 250 professional standards designed specifically for Florida law enforcement agencies. These standards are practical, easily understood, and achievable for all law enforcement agencies. The program has the following objectives:

- Establish and maintain standards that represent current professional law enforcement practices
- Increase effectiveness and efficiency in the delivery of law enforcement services
- Establish standards that address and reduce liability for the agency and its members
- Establish standards that make an agency and its personnel accountable to the constituency they serve.

Feasibility study and status reports were delivered to the Speaker of the House of Representatives in November 1993. A joint FSA/FPCA Charter Review Committee was then formed, headed by Sheriff Neil J. Perry of St. Johns County. This committee developed the charter for the CFA and established the overall framework for its operation. The CFA awarded its first agency accreditation in 1996.

In contrast to the internal auditing function within agency Inspectors General Offices, no statutorily required standards existed for conducting **investigations** within offices of Inspectors General. However, the inspectors general community in Florida worked to codify a set of nationally recognized standards, entitled *Principles and Standards for Offices of Inspector General*, published by the Association of Inspectors General. Inspectors General in Florida were instrumental in the development of these standards. These standards outlined appropriate organizational characteristics of Inspectors General Offices and appropriate practices for different activities of Inspectors General Offices, including investigations. Although these standards presented guiding principles, they tended to be very general in nature, were not specific to the Florida Inspectors General community, were voluntary in nature, and did not provide for a quality assessment process for periodic review of operational and investigatory procedures.

In February 2007, Chief Inspector General Melinda Miguel of the Office of the Florida Chief Inspector General (CIG) addressed the Commission at the executive workshop regarding a number of Inspectors General's desire to have the Commission develop an accreditation program for the Inspectors General investigative function. The Commission determined staff should form a committee with the CIG and others to develop a feasibility report on developing another accreditation program to be administered by the Florida Accreditation Office staff. In October 2007, the Commission approved the development of the Inspectors General Accreditation Program.

The First Edition of the Florida Inspectors General Standards Manual was developed and approved by the Commission in February 2009.

THE COMMISSION

The CFA was established by charter December 13, 1994 and incorporated on February 9, 1995. It is an independent, not-for-profit corporation designated as the accrediting body for Florida law enforcement and inspectors general accreditation. The Commission's purpose is to establish a program for accreditation that can be achieved by all Florida law enforcement agencies and Inspectors general investigations offices. The Commission is comprised of 15 volunteer members:

- Five sheriffs appointed by the FSA
- Five police chiefs appointed by the FPCA
- Representative appointed by the State Law Enforcement Chiefs Association
- Mayor, city commissioner, city manager, or other representative appointed by the Florida League of Cities
- County commissioner appointed by the Florida Association of Counties
- Appellate or Circuit Court Judge appointed by the Florida Supreme Court
- Two representatives appointed by the Office of the Chief Inspector General

The Role of the Commission

The Commissioners set forth all policies and procedures for the accreditation process. They are responsible for the direction and operation of the Florida Accreditation Office (FAO).

The Commission holds three meetings annually for reviewing agencies for accreditation or reaccreditation. Assessors play a key role in this review process by serving as representatives of the Commissions. Commissioners determine an agency's accredited status based on the information provided by the assessment team. The Commissions hear all appeals and are responsible for resolving any conflicts that cannot be resolved during the assessment.

The Philosophy of the Commission

The Florida accreditation process is designed to reflect best practices in the areas of law enforcement, inspectors general, corrections and pretrial management, administration, operations, and support services. The Commission expects agencies to maintain compliance and presumes agencies operate in compliance with their established directives.

Commission Staff

The Florida Department of Law Enforcement (FDLE) provides funding for positions in an effort to support the Commissions and agencies going through the accreditation process. In conjunction with the FDLE, the CFA and the FCAC appoint the Executive Director, who manages the FAO staff and the accreditation programs.

The Executive Director and staff have the responsibility and authority to carry out all policies, procedures, and activities of the Commissions and their committees. This includes supporting agencies working toward accreditation or reaccreditation, overseeing the assessment process, coordinating Commission meetings and review, and handling all business matters and daily operations.

The FAO serves as the Commissions' information and materials resource center. Training classes are regularly held for accreditation managers and new assessors. Specialized training is also offered during each accreditation conference.

INITIAL ACCREDITATION

Agencies begin the accreditation process with an application. Once the application is completed and submitted to the Commission for review to determine eligibility, an agreement and invoice are sent to the applicant agency. The formal accreditation process begins when the agency executes this agreement, which specifies the obligations of the agency and the Commission. The agency has 24 months to complete the self-assessment phase from the date the executive director signs the accreditation agreement.

REACCREDITATION

Initial accreditation is valid for three years and annual reports must be submitted by January 31st of each year. The accreditation manager should continue to evaluate the agency's progress toward meeting accreditation standards by monitoring changes to the written directive system and how they affect agency compliance.

Proofs for a reaccreditation are required to show compliance from assessment to assessment. The Commission review for reaccreditation will occur on or about the agency's anniversary date.

THE STANDARDS

Scope

The Commission expects accredited agencies to maintain compliance and live by the letter and spirit of the standards. The Commission presumes agencies operate in compliance with their written directives. The agency must consider its mission, its legally mandated responsibilities, and the demands of its service community when determining which standards are applicable and how to comply with applicable standards. The standards provide a description of "what" must be accomplished by the applicant agency. The agency has wide latitude in determining "how" to achieve compliance.

Composition

Each chapter begins with an "Introduction", which provides important guidance to an agency regarding the subject area, its applicability, or related standards.

Each standard is composed of the standard statement and at least one proof of compliance. The standard statement is a declarative sentence that places a requirement on the agency. Many standards require the development and implementation of directives. Other standards require an activity, a report, an inspection, equipment, or other action that may be observed. The standard statement is binding on the agency.

Proofs of compliance are the recommended means for the agency to demonstrate compliance with standards. The proofs are included to help the Accreditation Manager and others involved in the process to understand the type and sufficiency of proofs necessary to demonstrate compliance.

Applicability

Standards may or may not be applicable depending upon the functions performed by the agency. Assessors must review all standards to identify those not applicable by function. For example, if an agency does not perform the court security function, then the chapter dealing with court security becomes not applicable (N/A). However, simply because an agency may not perform the function, the standard may still apply. For example, standards in the communication chapter of the CFA standards manual would need to be addressed even if the agency does not perform these functions internally. Standards are considered applicable if the function is an integral element for improving the delivery of services or professional management of an agency. Standards beginning with an "if" statement indicates a conditional requirement. If the condition pertains to a function not applying to the agency, the standard becomes N/A. Assessors will verify that functions are not applicable during the assessment. The Commission reserves the right to require compliance with any standard.

Standards that are mandatory address life, health, and safety issues; legal matters; or essential Inspectors General requirements. These standards have a letter "M" placed immediately following the standard number. The agency is required to meet all of these standards unless a standard does not apply to the agency's function.

If an agency is prevented from complying with an applicable mandatory standard due to circumstances beyond its control, such as labor contracts, court decrees, it may ask the Commission to waive the obligation to comply. The agency must make the request in writing during the self-assessment phase. Assessors will verify waiver conditions during the assessment and complete the form. The Commission will make a final determination during the agency's review.

Proofs of Compliance

A standard is in compliance when the proofs demonstrate an agency has met all of the standard requirements to include interviews, observations and time-sensitive requirements.

Elements of a File

- Written directives
  - Policy/procedure
  - Plan
  - Rule
  - General/special order
  - State law or local ordinance
  - Collective bargaining agreement

- Supporting documentation (other than written directives)
  - Memoranda
  - Computer printouts
  - Job description/JTAs
  - Letters from citizens
  - Logs/rosters/evaluations
  - Budget documents
  - Instructional materials
  - Police reports
  - Incident reports

- Observations/Interviews
  - Activities
  - Equipment
  - Security
  - Facility
  - Policies
  - Procedures

Agencies have one year from the published date of the standards manual to comply with newly issued standards, or as directed by the Commission or Florida Statutes. Agencies must notify their FAO Program Manager regarding which edition and change notices

apply prior to conduct of the assessment. Assessors will verify agencies are following the appropriate standards manual.

New or Amended Standards

Unless otherwise directed by the Commission, new or amended standards are effective upon publication. Agencies seeking initial accreditation, reaccreditation, or having already achieved accreditation or reaccreditation must demonstrate compliance with new or amended standards at their first assessments following the publication dates of those standards. However, if those assessments occur within one year after publication of new or amended standards, agencies may delay compliance for up to one year after the enactment dates of those standards.

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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

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

III. Required References

IV. Assessor Guidelines

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.

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: 1 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. Proofs 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: 1 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.

I. Bullets

II. Proofs of Compliance

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

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: 1 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

Notification to Officials

1.07M
A written directive establishes protocols for notification to appropriate officials concerning significant investigative issues.

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

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 by January 31 of each year.

I. Bullets

II. Proofs of Compliance

- Annual Reports (Qty Initial: N/A) (Qty Reaccred: 1 each year)
- Documentation verifying submission of annual reports (Qty Initial: N/A) (Qty Reaccred: 1 each year)

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.

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. Procedures for 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
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 staff members.

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

Campaigning, Lobbying, and Political Practices

1.10M
A *written directive* describes *policy* regarding campaigning, lobbying, and political practices. This *policy* conforms to governmental statutes and regulations.

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

Notification of Assessment

1.11M – Deleted (October 2024)

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:

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, official transcript, or electronic confirmation of degree, if applicable. (Qty Initial: 3) (Qty Reaccred: 3)
- Application or resume. (Qty Initial: 3) (Qty Reaccred: 3)
- Employment verification documentation. (Qty Initial: 3) (Qty Reaccred: 3)

III. Required References

IV. Assessor Guidelines

The requirements of this standard may be satisfied by meeting either Bullet A or Bullet B. Only the applicable proofs for either bullet must be provided. Diploma, official transcripts, or electronic confirmation of degree apply to Bullet A. The Application or resume and employment verification will satisfy the requirement of Bullet B.

V. Accreditation Manager Notes

For reaccreditation, show proof for new staff members only.

Investigative Teams

2.02M
A written directive requires the Inspector General or designee to ensure investigative teams, as defined by the agency, used to conduct investigations collectively possess necessary skills, to include:

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; and/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*. Each investigative *staff member* will acknowledge receipt of their position description.

I. Bullets

II. Proofs of Compliance

- Documentation of receipt of position descriptions. (Qty Initial: 3) (Qty Reaccred: 3)

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: 3) (Qty Reaccred: 1 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 for State Agencies

3.01M
A *written directive* requires that within six months of being hired, staff members assigned to the investigative function receive the following training:

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. Standards of conduct for 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: 3) (Qty Reaccred: 3)
- 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
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 must address bullets A-J, regardless of applicability of function, and should include both investigators and investigative staff members.

For non-state agencies, see 3.07M.

Continuing Education

3.02M
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, and at least two of the 40 hours must be in ethics topics.

I. Bullets

II. Proofs of Compliance

- Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Training Documentation. (Qty Initial: 3) (Qty Reaccred: 3)
- Interviews.

III. Required References

IV. Assessor Guidelines

Interview training records custodian.

V. Accreditation Manager Notes

Two hours of required ethics training are in addition to the 12 hours of training in subjects directly related to the primary responsibility.

Training for Staff Members Authorized to Carry Weapons

3.03M
If the agency has sworn staff members, a *written directive* requires that staff members authorized to carry weapons and/or firearms receive *in-service training* which includes:

I. Bullets

A. Annual demonstration of proficiency with firearms authorized to carry;
B. Qualification as required by CJSTC;
C. Annual refresher training on the agency's use of force policy;
D. Use of Force training in accordance with CJSTC; and
E. *Biennial* less-lethal weapon training (for weapons other than the Dart-Firing Stun Gun).

II. Proofs of Compliance

- *Written directive* addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Documentation showing proficiency with on-duty firearms (Qty Initial: 3) (Qty Reaccred: 1 each year)
- Documentation showing proficiency with personal firearms authorized to carry (Qty Initial: 3) (Qty Reaccred: 1 each year)
- Completed CJSTC 86A form (Qty Initial: 3) (Qty Reaccred: 1 each year)
- Completed CJSTC 74 form (Qty Initial: 3) (Qty Reaccred: 1 each year)
- Proof of refresher training on use of force policy (Qty Initial: 3) (Qty Reaccred: 1 each year)
- Documentation showing biennial training with each type of less lethal weapon carried (Qty Initial: 3) (Qty Reaccred: 1 each year)
- Interviews

III. Required References

CJSTC Rule 11B-27.00212

IV. Assessor Guidelines

V. Accreditation Manager Notes

Proofs will show compliance for a variety of ranks.

Firearms authorized to carry include those that are personally owned.

Proficiency may be shown in various formats to include, but not limited to, live fire of firearms, simunitions, reality-based training scenarios, and physical manipulation of inert or training facsimiles of firearms authorized for the member to carry.

First Aid Training for Sworn Staff Members

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

I. Bullets

II. Proofs of Compliance

- Proof of Training (Qty Initial: 1) (Qty Reaccred: 3)
- Instructor qualifications (Qty Initial: 1) (Qty Reaccred: 3)
- Interview sworn members

III. Required References

IV. Assessor Guidelines

Instructors will possess active CPR or First Aid Instructor Certification for the training curriculum defined by the agency.

V. Accreditation Manager Notes

Investigative Staff Member Training

3.05M
A *written directive* requires all investigative staff members receive refresher training annually in the following:

I. Bullets

A. Agency Ethics policies and procedures;
B. Agency Affirmative Action Plan, if available;
C. Agency Sexual Harassment policies and procedures;
D. Agency Discrimination policies and procedures;
E. Agency Computer Security and Acceptable Use policies and procedures; and
F. Accreditation standards and the agency's corresponding policies and procedures.

II. Proofs of Compliance

- *Written directive* addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Documentation verifying staff member training. (Qty Initial: 3) (Qty Reaccred: 1 each year)
- Lesson plan, if used. (Qty Initial: 1) (Qty Reaccred: 1)
- Interviews.

III. Required References

IV. Assessor Guidelines

Training can be accomplished formally or informally by either the agency or the Office of Inspector General.

V. Accreditation Manager Notes

A checklist may be used for training documentation. Proofs should include all investigators and investigative staff members.

Training for Staff Members Authorized to Carry Dart-Firing Stun-Guns

3.06M
If the agency has sworn staff members, a written directive requires members authorized to carry dart-firing stun guns receive annual in-service training.

I. Bullets

II. Proofs of Compliance

- Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Proof of dart-firing stun-gun training in accordance with Florida Statute (Qty Initial: 3) (Qty Reaccred: 1 each type, each year)
- Interviews

III. Required References

CJSTC Rule 11B-27.00212
Florida Statute 943.1717

IV. Assessor Guidelines

V. Accreditation Manager Notes

Proofs will show compliance for a variety of ranks.

New Investigative Staff Member Training for Non-State Agencies

3.07M
A *written directive* requires that within six months of being hired, staff members assigned to the investigative function receive the following training:

I. Bullets

A. Office of Chief Inspector General;
B. Agency Inspectors General Act;
C. Charter, Ordinance, or other governing directive establishing the local, county, or other jurisdictional Office of Inspector General
D. Public Records Law;
E. Code of Ethics for Public Officers and Employees;
F. Law Enforcement and Correctional Officers' Rights;
G. Florida Whistle-blower's Act;
H. Principles and Standards for the Office of Inspector General;
I. Agency specific statutes, rules, regulations, and directives;
J. Standards of conduct for employees; and
K. 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: 3) (Qty Reaccred: 3)
- Lesson plan, if used. (Qty Initial: 1) (Qty Reaccred: 1)
- Interviews

III. Required References

Florida Statute 14.32
Florida Statute 20.055
Charter, Ordinance, or other governing directive establishing the local. County, or other jurisdictional Office of Inspector General
Florida Statute Chapter 119
Florida Statute Chapter 112, Part III
Florida Statute Chapter 112, Part VI
Agency policies related to conduct for employees
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 must address Bullets A-K, regardless of applicability of function, and should include both investigators and investigative staff members.

New Accreditation Manager Training

3.08M

A written directive requires newly appointed accreditation managers receive specialized accreditation manager training, as defined by the agency.

I. Bullets

A. Training prior to or within 12 months of appointment; and
B. The training shall include information on the essential components of the process, the standards manual, and file maintenance.

II. Proofs of Compliance

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

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes

A checklist may be used for training documentation.

New Supervisor Training

3.09M

A written directive requires newly appointed first-time supervisors, prior to or within 12 months of appointment, to participate in a supervisory training program, as defined by the agency.

I. Bullets

II. Proofs of Compliance

- Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Proof of training. (Qty Initial: 1) (Qty Reaccred: 3)

III. Required References

IV. Assessor Guidelines

The intent is to ensure that a newly appointed supervisor, in their first ever supervisory position, receives supervisory training. Someone with documented prior supervisory training or prior supervisory experience would not be considered a first-time supervisor.

V. Accreditation Manager Notes

A checklist may be used for training documentation.

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.

If the Inspector General is the sole investigator, they may act as both investigator and supervisor for the provisions of 4.01M, 4.02M, 4.03M, 4.05M, and 4.07M.

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: 1) (Qty Reaccred: 1 each year)
- Disposition documentation. (Qty Initial: 1) (Qty Reaccred: 1 each year)
- Complainant notification documentation. (Qty Initial: 1) (Qty Reaccred: 1 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:

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:

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
D. Documented supervisory review and approval of significant plan updates, as defined by the agency.

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 and Case Supporting Materials Review

4.04M
A written directive requires the Inspector General, or the Director of Investigations, to document their review of cases to ensure evidence and case supporting materials:

I. Bullets

A. Are relevant;
B. Have logical, sensible relationships to the allegation;
C. Are consistent with the facts; and
D. Are 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

Interviews

4.05M
A written directive establishes requirements for conducting interviews that includes:

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;
E. Interviews are recorded or documented, with exceptions documented; and
F. Documented supervisory review.

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

The Office of Inspector General should make a diligent effort to ensure that all known complainants, witnesses, and subjects are interviewed prior to case completion and that investigative interviews are taken under oath and recorded or documented. Exceptions to interviewing known complainants, witnesses, and subjects may include issues such as the complainant(s), witness(es), or subject(s) of the investigation cannot be located, refused to provide an interview, or are otherwise unavailable or incapacitated. Exceptions to conducting interviews under oath and recording or documenting interviews may include issues such as the interviewee refused to be placed under oath or refused to have their interview recorded. All exceptions should be atypical, applied on a case-by-case basis, and not used as a standard practice.

Documenting Acceptance of Supporting Materials

4.06M
A written directive establishes a method for documenting the acceptance of case supporting materials received from individuals or entities external to the Office of Inspector General. Documentation of acceptance of case supporting materials shall include the following elements:

I. Bullets

A. A description of the case supporting material(s) received;
B. The name of the individual or entity who provided the case supporting material(s); and
C. The date the case supporting material(s) were received.

II. Proofs of Compliance

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

III. Required References

IV. Assessor Guidelines

Acceptance of case supporting materials documentation may be in electronic form and does not include case supporting materials generated by Office of Inspector General staff.

V. Accreditation Manager Notes

Report Preparation

4.07M
A written directive establishes requirements for preparing reports that include:

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.

II. Proofs of Compliance

- Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Documentation of 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 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 the Office of Inspector General to obtain a review of cases for legal sufficiency, as defined by the agency, when necessary.

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

Other Investigative Activity

4.10M
A *written directive* requires other investigative activity, as defined by the agency, to include the following elements:

I. Bullets

A. The complainant is contacted to obtain an understanding of their concerns prior to closure of the other investigative activity, with exceptions documented;
B. Witnesses are contacted, with exceptions documented;
C. Evidence or case supporting materials are reviewed, with exceptions documented;
D. Closure documentation or memorandum summarizing the other investigative activity, with exceptions documented; and
E. Each other investigative activity is assigned a number for documentation and tracking purposes.

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

Offices of Inspectors General may conduct other investigative activities that do not constitute full investigations. These activities, as defined by the agency, may be called, but are not limited to, reviews, preliminary inquiries, or investigative assists.

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

5.01M
The Office of Inspector General investigations function establishes measures to ensure the privacy and security of investigation records.

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

5.02M
If the agency handles criminal evidence, a *written directive* specifies procedures for recording the chain of custody to include:

I. Bullets

A. Date and time of any *transfer* of custody;
B. Receiving person's name and responsibility;
C. Reason for the transfer;
D. If other than a *transfer* person to person or into a receptacle, the method of *transfer*;
E. Name and location of the laboratory and the examinations desired; and
F. Date and time of receipt in the laboratory.

II. Proofs of Compliance

- *Written directive* addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Completed document recording the chain of custody (property receipt). (Qty Initial: 3) (Qty Reaccred: 1 each year)
- Laboratory analysis request form. (Qty Initial: 3) (Qty Reaccred: 1 each year)
- Observation of chain of custody procedures.

III. Required References

IV. Assessor Guidelines

Chain of custody documentation may be in electronic form.

V. Accreditation Manager Notes

Method of *transfer* must be specified if evidence is shipped via common carrier.

Security of Evidence

5.03M
All evidence and case supporting materials are kept in designated secure area(s).

I. Bullets

II. Proofs of Compliance

- Observation of secured areas.

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes

Evidence Control

5.04M
If the agency has property and/or criminal evidence, a *written directive* states evidence custodians are accountable for all property and evidence within their control, and addresses the following:

I. Bullets

A. An annual examination of conformance with agency controls, policies, and procedures of the property and evidence function is conducted by a member not routinely or directly connected with control of property and evidence;
B. An annual inventory, which consists of a full or partial accounting, as defined by the agency, of property and evidence is conducted by the property and evidence custodian and a designee of the agency IG, not routinely or directly connected with the control of property and evidence;
C. Follow-up investigative procedures for lost, missing, or stolen property or evidence; and
D. Purging by lawful methods.

II. Proofs of Compliance

- *Written directive* addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Documentation demonstrating compliance with each element of the standard. (Qty Initial: 1 each) (Qty Reaccred: 1 each for each year)

III. Required References

Florida Statute 705.103
Florida Statute 705.105
Florida Statute 790.08

IV. Assessor Guidelines

V. Accreditation Manager Notes

Agency policy for inventory must specify amounts or percentages for both property and evidence. Proof of compliance must include proofs for both property and evidence, if applicable. Portions of this standard related to property are not applicable if the agency does not have property within their control.

CHAPTER 6
WHISTLE-BLOWER'S ACT

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.

Whistle-blower's Act for State Agency Offices of Inspectors General

6.01M
A written directive establishes requirements for ensuring compliance with the Florida Whistle-blowers Act for state agency Offices of Inspectors General, to include:

I. Bullets

A. A documented review of each complaint for whistle-blower determination;
B. Confidentiality;
C. Timeframes, with exceptions justified and documented;
D. Notification to the Florida Department of Law Enforcement, when applicable;
E. Provisions for whistle-blowers to respond to the final report; and
F. 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: 3) (Qty Reaccred: 1 each year)
- Proof of notification to law enforcement, when applicable. (Qty Initial: 3) (Qty Reaccred: 1 each year)
- Notice of opportunity to respond. (Qty Initial: 3) (Qty Reaccred: 1 each year)
- Documentation of dissemination. (Qty Initial: 1) (Qty Reaccred: 1 each year)

III. Required References

Florida Statute 112.3187-112.31895

IV. Assessor Guidelines

V. Accreditation Manager Notes

Whistle-blower's Act for Non-State Agency Offices of Inspectors General

6.02M
A written directive establishes requirements for ensuring compliance with the Florida Whistle-blower's Act for non-state agency Offices of Inspectors General, to include:

I. Bullets

A. A documented review of each complaint for whistle-blower determination; and
B. Confidentiality.

II. Proofs of Compliance

- Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Whistle-blower determination documentation. (Qty Initial: 3) (Qty Reaccred: 1 each year)

III. Required References

Florida Statute 112.3187-112.3188

IV. Assessor Guidelines

V. Accreditation Manager Notes

Offices of Inspector General established by non-state agencies may 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.

CHAPTER 7

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 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.

Contractor Investigation Notification for State Agency Offices of Inspectors General

7.01M
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 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

Florida Statute 20.055

IV. Assessor Guidelines

V. Accreditation Manager Notes

Contractor Investigation Notification for Non-State Agency Offices of Inspectors General

7.02M
A written directive requires entities contracting with non-state agencies 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 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

Entities contracting with non-state agencies must be defined by the agency.

Contractor Employee Investigation Notification for State Agency Offices of Inspectors General

7.03M
A written directive requires individuals substantially affected by the findings, conclusions, or recommendations of a state agency Office of Inspector General investigation, but who are not currently afforded an existing right to an independent review process, 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 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

Florida Statute 20.055

IV. Assessor Guidelines

V. Accreditation Manager Notes

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

7.05M
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.

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

Florida Statute 20.055

IV. Assessor Guidelines

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.

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

CHAPTER 8

CASE MANAGEMENT

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

Case Tracking System

8.01M
A written directive establishes a case tracking system for the investigation function to include the following:

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

8.02M
Investigative case files will include the following:

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.

III. Required References

IV. Assessor Guidelines

- Case files may be paper copy and/or electronic.

V. Accreditation Manager Notes

Record Retention

8.03M
A written directive establishes procedures for the storage, archival, and destruction of investigative records.

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: 1 each year)
- Observation of storage and archival systems.
- Interviews.

III. Required References

Florida Records Retention Schedule GS1-SL and/or GS2, as applicable

IV. Assessor Guidelines

V. Accreditation Manager Notes

CHAPTER 9

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

9.01M
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

Final Report Distribution

9.02M
A written directive establishes procedures for distributing final Office of Inspector General investigative reports.

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

9.03M
A written directive establishes guidelines for addressing post investigative responses to reports:

I. Bullets

A. A documented review of issues raised; and
B. Response documentation, if applicable.

II. Proofs of Compliance

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

III. Required References

IV. Assessor Guidelines

Post investigative responses refer to complaints, concerns, or issues received regarding the final investigative report to include disagreements with conclusions of fact, concerns regarding the conduct of the investigation, or any other issue raised regarding the investigative report. Post investigative responses can be received from complainants, witnesses, subjects, management, or any other individual who expresses concerns about a final investigative report.

Review documentation refers to the Office of Inspector General's documented review of the issues raised within the post investigative response.

Response documentation refers to the Inspector General or designee's written response, if any, to the issues raised within the post investigative response. Response documentation includes correspondence sent to the individual(s) who expressed concerns about a final investigative report.

V. Accreditation Manager Notes

Law Enforcement Notification

9.04M
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: 3) (Qty Reaccred: 1 each year)

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes

Procedures for Follow-Up

9.05M

A written directive establishes procedures for follow-up on the findings and recommendations in investigative reports.

I. Bullets

II. Proofs of Compliance

- Written directive addressing elements of the standard. (Qty Initial: 1) (Qty Reaccred: 1)
- Documentation demonstrating follow-up. (Qty Initial: 1) (Qty Reaccred: 1 each year)
- Interviews

III. Required References

IV. Assessor Guidelines

V. Accreditation Manager Notes

GLOSSARY

ACCREDITATION	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.
AGENCY	As used in this standards' manual, agency refers to the investigative function of an Office of Inspector General.
AGENCY HEAD	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 & Comptroller, etc.)
ANNUAL	An event occurring once every 12 months.
APPLICANT AGENCY	An agency that has applied to the Commission for state accredited status.
AUDIT	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.
BIENNIAL	An event that occurs every two years.
CASE SUPPORTING MATERIALS	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.
CEO	The agency's Inspector General.
CFA	The Commission for Florida Law Enforcement Accreditation, Inc.
CJSTC	The Criminal Justice Standards and Training Commission.
COMPLAINT	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.
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 or to agency file.
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.
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.
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.
POSITION DESCRIPTION	An official written statement setting forth the duties and responsibilities of a job, and the skills, knowledge, and abilities necessary to perform it.
PROCEDURE	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.
PROCESS	A series of actions, changes, or functions bringing about a result.
PROFICIENCY	As it relates to the carrying of firearms, means that an individual has shown an ability to utilize a firearm to an agency defined standard.
QUALIFICATION	Qualify with agency approved firearm(s) on the CJSTC approved course of fire with skills documented on the Law Enforcement Officer Firearms Qualification Standard, form CJSCT-86A.

SEMI-ANNUAL	Occurring or issued twice a year.
STANDARD OPERATING PROCEDURE	A written directive which specifies how agency activities are carried out.
SWORN MEMBER	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.
TRANSFER	The change in custody of any items of an evidentiary nature from the possession of one organization or individual to another organization or individual.
WITNESS	A person having information or evidence relevant to a complaint, administrative review, investigation, or crime.