



Protocol for Internal Affairs

Supplemental to DCS Policy: [1.16, Internal Affairs Investigations](#)

An Investigator assigned to the Internal Affairs Division (IAD) shall follow the following procedure.

1. Investigations:

- a) IAD investigators conduct investigations in an objective and impartial manner to ensure the integrity of the employee, investigation, IAD, and DCS is protected.
- b) Investigators have an obligation to investigate or review all allegations regarding violations of rules, policies, or procedures surrounding the operation and management of DCS, as well as appropriate conduct as a state employee. This obligation to investigate includes not only the specific allegation but any and all violations uncovered throughout the investigative process.
- c) IAD Investigators will open assigned cases within two (2) business days, excluding holiday and weekends.
- d) IAD Investigators will make every effort to complete investigations within 30 (thirty) calendar days.
- e) Upon opening an investigation of an employee, the assigned IAD investigator will notify the IAD Supervisor, IAD Executive Director, Executive Director of Human Resources (EDHR), and the appropriate Deputy Commissioner (DC) or Assistant Commissioner responsible for the chain of command within which the employee reports, unless such notification would jeopardize the integrity of the investigation.
- f) IAD Investigators will submit case status reports to the case management system and the IAD Supervisor every 15 (fifteen) days for cases that are open or suspended status.
- g) Investigators shall consult with the IAD Supervisor before divulging investigative actions or results with any individual outside of the Internal Affairs Division.
- h) Completed investigative reports are routed through the Internal Affairs Case Management System to the IAD Supervisor for approval. The IAD Supervisor will then route the reports to Human Resources for documentation and processing.

2. Interviews:

- a) Interviews will be conducted in-person unless specifically approved by the IAD Supervisor.
- b) Investigators will be responsible to make every effort to conduct interviews in a private location.
- c) Investigators will be responsible for reserving the interview location ahead of schedule.

3. Report writing:

- a) Investigators will document their findings in an investigative report.
- b) Investigative reports contain no recommendations for disciplinary action or administrative sanctions.
- c) Investigative reports reflect one of these case closure classifications for each allegation investigated:
 - ◆ UNSUBSTANTIATED: The evidence does not meet the burden of proof (preponderance of the evidence) to either support or refute the allegation.
 - ◆ SUBSTANTIATED: The evidence supports and meets the burden of proof that the allegation occurred.
 - ◆ UNFOUNDED: The allegation was investigated but found no demonstrable evidence to support it. Such claims typically originate as hearsay, speculation, or groundless rumor.
 - ◆ ADMINISTRATIVE: An investigation had been initiated and the alleged employee resigned their position prior to a full investigation being completed and where a determination is unable to be made.

4. Substantiated IAD Investigations:

- a) IAD may open a separate and distinct investigation of any employee's current and previous case work, if the DCS employee is substantiated for any of the following:
 - ◆ Falsification of records/case documentation.
 - ◆ Failure to complete face-to-face visits with children/youth within required timeframes.
 - ◆ Failure to adequately complete case requirements and/or documentation as directed by policy.
 - ◆ Any substantiated offense deemed to require additional investigation into an employee's work product.
- b) The IAD Investigator will report any findings from the review, as denoted in section three (3).

5. Training and Conferences:

- a) IAD Investigators will attend an Internal Affairs training course within 12 (twelve) months of appointment into the division and renew the course every three (3) years, subject to Fiscal approval.