



Office of the City Auditor  
Policies and Procedures

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**Number:** 4.3.0

**Title:** Decision to Investigate

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**Original Date:**
**Revision Date:**
**Approved by:**

10/01/1999

04/14/2005

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**I. Policy**

- A. Investigations will be conducted by the CAIU only when predication is present and when internally established criteria for investigations are met. When predication is present, the decision to investigate will be made using the following criteria:
1. probability of conclusive results,
  2. cost of an effective investigation,
  3. potential benefits to the City,
  4. probability of subsequent action,
  5. support of an ethical workplace, and
  6. current case load or resource constraints.
- B. Information not subject to investigations will be formally processed to allow for resolution of issues not requiring CAIU investigation.

**II. Purpose**

This policy, and the procedures by which it is implemented, codify a lawful and effective process to ensure allegations are properly examined and documented, to determine if an investigation will be performed, to protect informants and friendly witnesses, and to produce evidence that is relevant and admissible for a specific purpose.

**III. Definitions**

- A. See policy **4.1.0 CAIU Governing Policy** for definition of Predication
- B. **Non-invasive techniques** - methods of obtaining information that do not require contact with anyone with knowledge of the allegation or subject(s) involved. However, obtaining information from the initial informant is considered non-invasive.

**IV. Procedures/Process****A. INFORMATION RECEIPT**

Allegations presented to the CAIU for investigation will be entered in the CAIU database. The CAIU will create a hard copy file with the assigned case number.

**B. INFORMATION EVALUATION**

At least three members of the CAIU will evaluate the information. The CAIU will act on the information upon agreement of the evaluating members. CAIU action will be to:

1. conduct a preliminary inquiry.
2. conduct an investigation,
3. refer to another department or agency, or
4. close the case.

**C. PRELIMINARY INQUIRY**

A preliminary inquiry is appropriate when information evaluation indicates that specific additional information is required before the decision to investigate can be made. When information evaluation justifies a preliminary inquiry, investigators will use non-invasive techniques to acquire necessary and sufficient information to determine whether an investigation should be conducted.

**D. INVESTIGATION**

When CAIU investigators' agreement supports a decision to investigate, the investigators assigned are responsible for formulating an investigative plan, initiating the investigation, and documenting their activities. Investigators will be accountable for ensuring that all investigative activities are lawful and effective.

**E. INVESTIGATION EVALUATION**

1. When an investigation produces evidence that supports a finding that an integrity violation has occurred, a memorandum of findings will be prepared. The endorsement of at least two investigators and/or the Chief of Investigations is required for issuance of a memorandum of findings.
2. At any time, a consensus of two or more investigators and/or the Chief of Investigations to close a case will result in a cessation of investigative activities of that case.

**F. MEMORANDUM OF FINDINGS**

The memorandum of findings will summarize predication, state an opinion based upon the evidence, and report those facts that allow City Council and/or city management to form a general

understanding of the case and evaluate actions resulting from CAIU findings.

**G. ASSISTANCE**

When requested, the CAIU may provide assistance to internal or external investigative entities for City of Austin related cases not generated by the CAIU.

**H. FOLLOW-THROUGH**

Where control deficiencies are identified during the course of a CAIU or law enforcement investigation, the CAIU may conduct additional audit investigative inquiries and confer with city management on properly addressing those deficiencies. (Follow-through is further defined in CAIU policy number **4.6.0 Reporting on CAIU Projects.**)