



Office of the City Auditor Policies and Procedures

Number: 4.1.0

Title: CAIU Governing Policy

Original Date:

Revision Date:

Approved by:

10/01/1999

04/14/2005

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I. Policy

- A. The City Auditor's Integrity Unit (CAIU) will conduct and direct investigations of alleged integrity violations. Authority for investigations is given in the City Charter and the City Code.
- B. The purpose of the CAIU is to help achieve accountability in local city government. By performing investigations we will detect legal and ethical violations (integrity violations) and help prevent and deter them. Ultimately, we want City government to be, and to be viewed by the public as, highly ethical.

II. Purpose

This policy establishes the City Auditor's mechanism for investigating specified acts or allegations of possible wrongdoing involving impropriety, malfeasance, or nonfeasance in the obligation, expenditure, receipt, or use of City funds, resources, or assets. Excluded from this policy are investigations of street crimes, violent crimes, and HR personnel issues including: employee grievances, or complaints relating to civil rights, and equal employment.

III. Definitions

- A. **Allegation** - an assertion of wrongdoing without proof or before being proved.
- B. **Predication** - the basis for an investigation, the totality of circumstances that would lead a reasonable, professionally trained, and prudent individual to believe a violation has occurred, is occurring, and/or will occur.

- C. **Investigation** - planned, systematic search for relevant, objective and sufficient facts and evidence to determine the validity of allegations or to determine responsibility for, and propriety of specified acts.
1. The investigation may be conducted through interviews, interrogations, record examinations, and other approved investigative techniques.
- D. **Integrity violations** for purposes of this policy include, but are not limited to:
1. Intentionally or knowingly causing or attempting to cause false or incomplete information to affect City programs, functions, activities or decision making.
 2. Intentionally or knowingly causing or attempting to cause illegal acts by a public servant to affect City programs, functions, or activities.
 3. Unlawfully, appropriating City property, monies, services, resources, or other assets with intent to deprive.
 4. Intentionally, knowingly, or recklessly, misusing or misapplying City assets or resources.
 5. Intentionally or knowingly tampering with a governmental record.
 6. Soliciting, accepting, or agreeing to accept any benefit, gift, or bribe illegally.
 7. Abuse of official capacity, official misconduct, official oppression, misuse of official information, or conflicts of interest.
 8. Intentionally or knowingly obstructing, retaliating, or tampering with a public servant, witness, prospective witness, or informant.

IV. Procedures/Process

See CAIU policy number **4.3.0 Investigative Process**