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**PHYSICAL PLANT**

- A. Office or laboratory space will be provided for each established Bureau District/Section/Unit for purposes of conducting Bureau business.
- B. The Special Agent in Charge or Supervisor will be responsible for management of the office.
- C. The location of the Office will be determined by the appropriate Assistant Director with approval of the Director.
- D. All expenses incurred in regard to expansion, alterations, or additional services to an Office must have written prior approval from the Director or his/ her designee.
- E. Bureau Property
  - 1. The appropriate Assistant Director will be responsible for recommending to the Director and overseeing the implementation of all policies and procedures related to the control of all Bureau property.
  - 2. Operating under the direction of the Assistant Director for Administrative Services, the Supervisor of the Logistics Support Section will establish and maintain a system designed to procure and account for the receipt, distribution and disposal of all Bureau property.

**AUTHORITY**

- A. The Special Agent in Charge or Supervisor is responsible for all investigative or casework activity or other Bureau business conducted by assigned personnel. The Special Agent in Charge or Supervisor will be apprized of pertinent activity conducted by the District/Section/Unit by the Agent or Employee conducting the activity.
- B. Special Agents in Charge or Supervisors have authority to formulate and implement policy and procedure within their District/Section/Unit to enhance the effectiveness and efficiency of Bureau operations in their respective areas. Such policy and procedure shall be in accordance with established Bureau policy and procedure.
- C. The Special Agent in Charge or Supervisor of a District/Section/Unit bears the responsibility of deciding whether a Bureau Agent or employee will be assigned to

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investigations by the District, Section or Unit, active laboratory casework, or other Bureau responsibilities.

## **SECURITY OF SBI FACILITIES**

- A. Assistant Directors will be responsible for the security plan for the building(s) occupied by their personnel.
- B. A log will be maintained for all non-Bureau personnel allowed into the District/Section/Unit Office. This log should include the visitor's name, date/time of visit, and purpose. It should be maintained in a secure area to prevent access by unauthorized persons.
- C. All Bureau employees will wear, in plain view, the issued Bureau identification card while in the interior of a Bureau occupied and controlled building. Lucite pocket inserts, if issued, will be utilized at appropriate functions in other than Bureau occupied buildings. Neither form of identification will be used as a substitute for official Bureau credentials.
- D. Each visitor to a Bureau controlled building or area will display the issued identification while in the interior of the building. Visitors allowed into the interior of Bureau controlled buildings or areas will be accompanied by a Bureau employee.
- E. Formal security plans for each Bureau building or area will be developed and submitted to the Director for approval. Approved plans will be communicated to all affected employees.
- 6. Each Bureau office and/or building facility should have an intrusion and fire and smoke alarm systems that are monitored unless an exception is granted by the Director.

## **DISTRICT/DECU/FCI OFFICE SECURITY**

The Special Agent in Charge shall establish and maintain a security plan for the District/Section/Unit Office facility which will insure the safety and integrity of the facility including:

- A. Intrusion alarm system for the office perimeter, the file room, and the evidence room;
- B. A fire and smoke alarm system for the entire office which will be monitored on a full time basis by the Wildlife

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Dispatcher. There should be direct notification to the local police department, local fire department, and Special Agent in Charge or Supervisor respectively, in the event of system activation;

- C. Maintenance and display of the proper type and number of fire extinguishers in the District/Section/Unit Office;
- D. Annual fire safety inspection conducted by a local fire inspector;
- E. Proper control of access to inner offices. All non-Bureau visitors shall be escorted by a Bureau employee;
- F. Pre-position and maintain First Aid Kit(s);
- G. Designated and controlled storage of Bureau reports and other confidential files, to prevent improper access;
- H. Daily visual inspection of the exterior of the facility; and
- I. The intrusion alarm code may be changed at the discretion of the Special Agent in Charge or Supervisor. Upon the termination, retirement, or transfer of an employee, the individual access code(s) must be changed immediately. If warranted, the key access system may be changed at the discretion of the Special Agent in Charge.

#### **CRIME LABORATORY SECURITY**

The Assistant Director of Crime Laboratory Services is responsible for the security plan for the building(s) occupied by the two Bureau laboratories. The Special Agent in Charge of the Western Regional Laboratory is responsible for administering the on-site security of the Western Regional Laboratory facility. These security plans will be developed and submitted to the Director for approval. Approved plans will be communicated to all affected employees.

#### **CONTROLLED ACCESS TO CRIME LABORATORY BUILDINGS**

- A. A Visitor=s Log will be maintained for all individuals not assigned to Bureau Crime Laboratory facilities. This log should include the visitor's name, date/time of visit, and purpose/individual to be seen, and time the

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visit is terminated. This log should be maintained at all exterior entrances through which a visitor may routinely gain access.

Required locations for Visitor Logs in the Raleigh Laboratory Facility:

1. Main Lobby entrance
2. Evidence Submissions Entrance
3. Logistics Support Section

Required location for Visitor Log in the Western Regional Laboratory:

Main Entrance

- B. Bureau employees displaying approved Bureau identification cards are not considered visitors and are not required to utilize a Visitor=s Log.

All Bureau personnel assigned to a Crime Laboratory facility shall be issued an appropriate identification card. Each Special Agent in Charge or Supervisor will determine the area(s) of a facility to which each employee needs access. The Assistant Director of Crime Laboratory Services will approve the recommendations made by the Special Agent in Charge or Supervisor. The issuance of **ALL** keys to Bureau Crime Laboratory facilities requires the same recommendation/approval process.

No new access cards, or modifications to existing access cards may be made without approval of the Assistant Director of Crime Laboratory Services.

Lost Bureau identification cards (or forgotten access codes) must be immediately reported to the respective Special Agent in Charge or Supervisor. The Special Agent in Charge or Supervisor must report the loss to the Assistant Director of Crime Laboratory Services immediately. The Assistant Director of Crime Laboratory Services will effect immediate changes to lock-out the lost access card/code. Keys to Bureau facilities will not be attached to identification cards.

- C. Each visitor to a Bureau crime laboratory will display a photo ID or an issued visitor identification badge while

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in the interior of the building. Approved visitor badges will be maintained at the required entrances in a secure location. Visitor badges will not be maintained in a manner which makes them accessible to visitors.

Only visitor badges authorized by the Assistant Director of Crime Laboratory Services may be utilized. The badges will be produced in a variety of colors, and a different color will be used each work day.

Visitors allowed into the interior of Bureau controlled buildings or areas will be accompanied by an employee assigned to the crime laboratory building. It is the responsibility of the employee escorting the visitor to ensure that the visitor has signed the visitor=s log, wears photo identification or a visitor badge, signs the visitor=s log upon exit from the laboratory, and turns in the visitor badge.

If wearing proper identification or an approved visitor=s badge, maintenance personnel or vendors making routine, authorized deliveries may be left unescorted when working outside of areas requiring controlled access. Examples of acceptable areas would include public hallways, mechanical rooms, vending machine areas, or mechanical chase areas.

4. Tour groups will be accompanied by individuals approved by the Assistant Director of Crime Laboratory Services to conduct tours in the Raleigh Laboratory, and in the Western Regional Laboratory by the Special Agent In Charge of the Western Regional Laboratory or designee. Employees assigned to provide tours are responsible for keeping members of the tour under their control. Individuals on tours will not be required to wear a visitor=s badge.
5. After the completion of an approved background, custodial personnel assigned to the Raleigh Laboratory facility will be issued a facility access card with photo identification. All facility access cards issued to custodial personnel will be maintained in the central security office and issued to each individual only during normal working hours.

Custodial staff in the Western Regional Laboratory will wear identification which is visible.

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- F.    SBI Crime Laboratory employees are prohibited from loaning a Bureau issued facility access card to another Bureau employee or to anyone else. Employees are prohibited from allowing non-Bureau employees entry while using an access card, unless the visitor has complied with paragraph AC@ above.
7.    Bureau Crime Laboratory Services facility access cards will not be duplicated.

SBI Western Regional Crime Laboratory employees are prohibited from revealing an assigned alarm code to another individual.

1.    Key Control

1.    All Bureau personnel assigned to a Crime Laboratory Services facility shall be issued an appropriate key(s) for the facility to which they are assigned. Each Special Agent in Charge or Supervisor will determine for which area(s) of a facility each employee needs access. The Assistant Director of Crime Laboratory Services will approve the recommendations made by the Special Agent in Charge or Supervisor. The issuance of **ALL** keys to Bureau Crime Laboratory facilities requires the same recommendation/approval process.

Once approved by the Assistant Director of Crime Laboratory Services, the issuance of keys will occur in the following manner:

Raleigh Laboratory Facility - Keys will be produced and controlled by the State Lock Shop and issued to laboratory personnel through the Logistics Support Section. The Logistics Support Section will maintain a complete inventory of keys issued and the respective Special Agent in Charge or Supervisor will maintain an inventory of the keys issued within their section.

Western Regional Laboratory - Keys will be procured from a reliable contractor/lock shop and issued to laboratory personnel through the Special Agent in Charge. The Special Agent in Charge will maintain an inventory of all keys issued.

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1. Lost, missing, or stolen keys must be reported by employees to their Special Agent in Charge or Supervisor immediately. The Special Agent in Charge or Supervisor will report missing, stolen, or lost keys to the Assistant Director of Crime Laboratory Services immediately. The Assistant Director of Crime Laboratory Services will then take appropriate actions to see that this security lapse is corrected.
  2. SBI Crime Laboratory Services employees are prohibited from loaning a Bureau issued key to someone not employed in the SBI Crime Laboratory Services Division. SBI Crime Laboratory Services employees are prohibited from duplicating a Bureau issued key.
1. Duty Agent (Raleigh Laboratory)
    1. All sworn agents in the Raleigh Laboratory (below the rank of Special Agent in Charge) will serve as Duty Agent on a rotating basis.
    2. With the exception of evidence rooms, the drug vault, and the firearms reference room, the duty Agent will have access (with a temporarily assigned master access card and key) to all areas of the laboratory facility while on duty. The Duty Agent will use the master access card while on duty and use the master key only in extreme circumstances. In addition, a pager will be assigned to the Duty Agent.
  1. The weekly assignment will commence at 8:00 A.M. on Monday and end at 8:00 A.M. the following Monday. In the event of a Monday holiday, the shift will be extended until 8:00 A.M. on the Tuesday following the holiday. In the event that a Duty Agent becomes ill, is summoned for court, or becomes unavailable due to extenuating circumstances, an alternate agent will be assigned by the respective Special Agent in Charge.
10. Responsibility of the Duty Agent

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1. Unless otherwise directed by the Assistant Director of Crime Laboratory Services, the primary responsibility of the Duty Agent will be to man the Security Office once each day to relieve the assigned State Capital Police Officer for a lunch break.
2. While on duty in the Security Office, the Duty Agent will:
  1. Maintain security and ensure the integrity of the laboratory facility
  - b. Assist with accident/emergency situations
  3. Meet and escort visitors as needed
  - d. Greet tour groups

11. Western Regional Laboratory Security

Security at the Western Regional Laboratory is supplemented by the on-call agent who is available for duty during emergency situations.

12. Reporting Security Concerns

It is the responsibility of all employees to take security seriously and to report any concerns they may have about security issues. Any and all problems or potential problems related to the security of a Bureau laboratory facility should be reported to the appropriate Special Agent in Charge or Supervisor as soon as the problem or concern arises. After verifying the existence of the problem, the Special Agent in Charge or Supervisor will notify the Assistant Director of Crime Laboratory Services. Security threats should be directed immediately to the attention of the Duty Agent and/or State Capitol Police officer on duty.

M. Alarms (Intrusion/Fire) will be installed in Bureau Crime Laboratories

1. Intrusion and fire alarms are monitored from the security desk at the headquarters laboratory building. There is a Capital Police officer assigned to the security desk 24 hours a day to respond to these alarms.
2. The Western Regional Laboratory has an intrusion alarm which recognizes a different access code



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assigned to each employee in the laboratory. These codes are set by the Logistics Support Section and may be changed by this group when necessary. Intrusion and fire alarms at the Western Regional Laboratory are monitored by the Wildlife dispatcher, who will in turn call the Asheville Fire or Police Department. This dispatcher will also notify the Special Agent in Charge of the Western Laboratory or the on-call agent of alarm receipts.

**DISTRICT/SECTION/UNIT MEETINGS**

- A. Regular District/Section/Unit Meetings should be scheduled as needed by the Special Agent in Charge or Supervisor; however, the minimum acceptable standard is one meeting each quarter. The appropriate Assistant Director, and Director will be notified by memorandum or electronic mail one (1) week prior to the designated date. When feasible, District/Section/Unit Meetings should be scheduled to follow meetings of the Special Agents in Charge or Supervisors to ensure the timely dissemination of information.
- B. A record of the District/Section/Unit Meeting Agenda, including minutes, and a roster of personnel in attendance will be maintained according to the Records Retention Schedule. (Any records or documents created to show compliance with this procedure for any Crime Laboratory Services Section will be maintained in the section for five years from the meeting date for ASCLD/LAB purposes.)
3. Personnel who are unable to attend a District/Section/Unit Meeting will be responsible for obtaining

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**ON-CALL DUTY OFFICER**

Normal office hours are from 8:00 a.m. until 5:00 p.m., Monday through Friday, with the exception of holidays.

The Assistant Director for Field Operations, the Assistant Director for Support Services, Assistant Director for Administrative Services and the Assistant Director for the Crime Laboratory Services, or their designee, will be on-call for their respective divisions during outside normal office hours. The Special Agent in Charge of Professional Standards or his/her designee, will be on call outside normal office hours.

Each Bureau Assistant Director will identify which Districts/Sections/Units within their Division require an On-Call Duty Officer to ensure the continuity of Bureau operations outside normal office hours. The Assistant Director will then direct the Special Agent in Charge or Supervisor of each District/Section/Unit requiring an On-Call Duty Officer to develop a On-Call Duty Officer plan and staffing subject to the approval of the Assistant Director.

The Special Agent in Charge or Supervisor will ensure that the name of the daily On-Call Duty Officer is entered into the Mapper On-Call Roster and that the name of the weekend or holiday On-Call Duty Officer is entered into Mapper by 2:30 p.m. on the last work day prior to the weekend or holiday. The Special Agent in Charge or Supervisor will ensure copies of the On-Call Roster are made available to all assigned personnel.

The duties, responsibilities, and authority of the Duty Officer will be:

A.      Responsibility

1.      Serve as the communication coordinator for the District/Section/Unit outside normal office hours.

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2. Evaluate requests for assistance, make preliminary determination as to what is needed, locate and dispatch appropriate District/Section/Unit personnel and equipment outside normal office hours.
3. Notify the appropriate Assistant Directors outside normal office hours.
4. Provide appropriate supervision as may be warranted.

B. Duties

1. A District On-Call Duty Officer will remain within the District while on call.
  2. Be accessible through pager, residence telephone, other publicized phone, or radio at all times.
  3. Be knowledgeable of Agents available for call-out.
  4. Be aware of general whereabouts of Agents on leave, attending school, or otherwise not available for call-out and a contact through which each may be reached in a crisis.
  5. Represent the Bureau /District/Section/Unit at law enforcement related funerals, ceremonies, public functions, or other appropriate events.
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1. A Laboratory On-Call Duty Officer will remain within a reasonable distance of the laboratory. AReasonable@ is defined as a response time to the lab of less than one (1) hour.

C. Authority

1. In matters of urgency or in an emergency situation, the Duty Officer shall have authority equivalent to that of the Special Agent in Charge or Supervisor if the Special Agent in Charge, Supervisor, Assistant Special Agent in Charge or other Designated Supervisory Personnel are not available.

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2. When the Special Agent in Charge or Supervisor is away from the District/Section/Unit or in "leave" status, he or she shall designate a Assistant Special Agent in Charge or other Designated Supervisory Personnel to be in charge.

D. Tour Of Duty Hours

1. Primary hours of responsibility shall be hours the District/Section/Unit Office is scheduled to be closed.
2. In the event an On-Call Duty Officer is not relieved when scheduled, he/she shall maintain the responsibility until the scheduled relief or a substitute relief assumes responsibility.

E. Overtime-Holiday Premium Pay

1. Since the On-Call Duty Officer's activity is virtually unrestricted, being "on-call" does not qualify as hours worked, either for overtime or holiday premium pay.
2. Work performed as the On-Call Duty Officer does qualify for overtime and holiday premium pay when applicable.

F. On-Call Schedule Changes

Changes in schedule may occur abruptly because of other assignments or personal reasons. The scheduled On-Call Duty Officer is responsible for arranging his/her own replacement and notifying the Special Agent in Charge and entering the changes into Mapper.

**DISTRICT AGENTS ABSENT FROM DUTY STATION**

- A. All District Agents shall notify the On-Call Duty Officer of their whereabouts

insofar as a contact through which they may be reached when they are away from their duty station overnight or more than 12 hours.

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- B. This requirement will be satisfied by notifying the District/Section/Unit Secretary of weekend plans on Fridays and/or on the last working day before leaving. In unexpected situations, the On-Call Duty Officer should be personally notified by phone.

**DAILY CHECK-IN ROSTER**

- A. A Special Agent in Charge or Supervisor will be aware of the daily location of all assigned personnel and may require a daily check-in roster to be kept at the office.
- B. Agents should contact the District/Section/Unit Office via computer terminal, telephone, radio, or other means at the beginning of each workday and provide a morning and afternoon agenda. If there is a significant deviation from this agenda, he/she should communicate this change to the District/Section/Unit Office.
- C. Information from Special Agents in Charge or Supervisors to all District/Section/Unit Agents which should be disseminated in a timely manner, including death and sickness notices, should be conveyed at this time. This dissemination should be documented on a District/Section/Unit Agent check-off list.
- D. The roster will be maintained according to the Records Retention and Disposition Schedule.

**U. S. MAIL**

- 1. Each Agent who is subject to receiving evidence directly from the U.S. Postal Service, shall maintain a post office box address where U.S. mail can be routinely delivered and received by that Agent.
- 2. Each Agent is responsible for monitoring U.S. mail delivery on a daily basis when possible.

**INTRA-BUREAU DISTRICT/SECTION/UNIT MAIL/MESSAGES**

- A. Each employee will be provided a receptacle or other acceptable method in the District/Section/Unit Office in which routine correspondence, memorandums, publications,

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and notices may be delivered. This should be a controlled access area.

- B. Matters requiring immediate attention will not be placed in the receptacle unless the employee is personally notified by the Special Agent in Charge or Supervisor or his/her designee.
- C. Each employee should personally extract all material in the designated receptacle or other acceptable method at least once a week or arrange to have it delivered to him/her by other Bureau personnel.

**CONCESSIONS**

The sale of soft drinks, coffee and snacks are allowable in the District/Section/Unit Office under the following provisions:

- A. Concessions may only be displayed in an area that will not interfere or detract from the business atmosphere of the District/Section/Unit Office.
- B. An individual will be designated to maintain accurate records of all disbursements and receipt of all proceeds for non-commercial concessions.
- C. Concession items should be replaced as necessary to replenish the inventory.
- D. If a profit is made, it shall be handled in accordance with North Carolina General Statute 111-43.
- E. Sales shall be limited to Bureau personnel and official visitors.

**EQUIPMENT**

- A. District/Section/Unit Equipment
  - 1. Equipment Accountability

The Special Agent in Charge or Supervisor shall acknowledge receipt of all District/Section/Unit equipment and he/she shall be accountable for its location, security, and serviceability at all times.

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2.     Issuance of Equipment

- a.     The Special Agent in Charge or Supervisor shall maintain custody of equipment necessary for business conducted by the District/Section/Unit Office and necessary for office security.
- b.     The Special Agent in Charge or Supervisor may re-issue equipment to individual employees on a temporary basis.
- c.     The Special Agent in Charge or Supervisor may re-issue equipment to individual employees for indefinite periods of time for use in specialized job assignments.
- d.     The Special Agent in Charge or Supervisor may re-issue equipment to individual employees for use on specific assignments. Equipment shall be immediately returned upon completion of the assignment.
- e.     A record will be maintained of all re-issued equipment.

B.     Responsibility for Operational Readiness of Equipment

The term, "operational readiness" includes the proper care, cleaning, preventive maintenance, repair, serviceability, and responsiveness.

1.     Property Stored for Issuance

The Supervisor of the Logistics Support Section will be responsible for ensuring the operational readiness of all Bureau owned property stored for either permanent or temporary issuance.

2.     Property/Equipment                      Assigned                      to  
District/Section/Unit

The Special Agent in Charge or Supervisor will be responsible for the operational readiness of all Bureau owned property assigned to the District/Section/Unit.

3.     Property/Equipment Assigned to an Individual

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Every Bureau employee will be responsible for the operational readiness of any Bureau property issued to him/her.

**EQUIPMENT RECORDS**

- A. All equipment issued to employees from the Logistics Support Section on a temporary basis shall be receipted to the Special Agent in Charge or Supervisor on Form SBI-17 ("State Bureau of Investigation Equipment Receipt").  
(revised 07/11/03)
- B. Equipment issued to employees on a short-term basis may be receipted on Form SBI-17 or by a log maintained in the District/Section/Unit Office and available for checking out equipment in emergency or expedient matters.

**EQUIPMENT INVENTORY**

- A. Each Special Agent in Charge or Supervisor shall maintain a complete list of all equipment assigned to the District/Section/Unit.
- B. A physical inventory of all District/Section/Unit equipment will be conducted by the Special Agent in Charge or Supervisor or designee during each fiscal year utilizing the Logistics Support Section's computer-generated inventory print-out as a guide. The two inventories will be reconciled annually.
- C. It is required that no later than thirty (30) days prior to the scheduled Staff Inspection, the Special Agent in Charge or Supervisor or designee will accurately reconcile the physical inventory with the computer-generated print-out. If discrepancies exist, the Special Agent in Charge or Supervisor or designee will meet with Logistics Support Section personnel to reconcile the completed physical inventory with the computer-generated inventory maintained by the Logistics Support Section. The Special Agent in Charge or Supervisor or designee will be responsible for providing the appropriate documentation accounting for any discrepancies between the two inventories to the Logistics Support Section.
- D. The inventory to be reconciled must have been completed within the six (6) months prior to the Staff Inspection. The original print-out will be signed, dated, and maintained by the Logistics Support Section. A copy will be maintained in the District/Section/Unit Office files.



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1. All equipment shall be accounted for by receipt from an employee or otherwise physically located.
2. Any discrepancies shall be reported to the appropriate Assistant Director with an explanation and recommendation for pecuniary liability.
3. The Special Agent in Charge or Supervisor or designee will check quarterly the serviceability, usage, and adherence to Bureau procedure with regard to all District/Section/Unit technical equipment.

## **EQUIPMENT INSPECTIONS**

Each employee's equipment will be inspected for serviceability and adherence to Bureau procedure once each fiscal year by the Special Agent in Charge, Supervisor, designated Assistant Special Agent in Charge or other Designated Supervisory Personnel, utilizing a computerized inventory from the Logistics Support Section. Upon completion of the inspection, the original of the signed and dated inventory will be returned to the Logistics Support Section and a copy will be maintained in the employee's District/Section/Unit personnel file until the next inspection.

## **EQUIPMENT REPAIRS**

- A. Items of equipment in need of maintenance or repair should be brought to the attention of the Special Agent in Charge or Supervisor.
- B. The Special Agent in Charge or Supervisor shall contact the appropriate Assistant Director for the course of action on major repairs.

## **EXPENDABLE SUPPLY ITEMS**

1. The Special Agent in Charge or Supervisor will be responsible for maintaining sufficient expendable supplies or the District/Section/Unit.
- B. Expendable supplies may be ordered from the Logistics Support Section utilizing the Requisition and Inventory Control System.
- C. The Special Agent in Charge or Supervisor will be responsible for developing a District/Section/Unit

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procedure for the issuance of expendable supplies for proper utilization and accountability.

**RECORDING CALLS**

Each District/Section/Unit Office shall be equipped with a record-a-call device or voice mail to receive messages and to give an alternate emergency number. It shall be utilized during all periods when the office is closed.

**BOMB THREATS**

**A.      General Management Premise**

Bomb threat response is a difficult management problem for the target agency. The bomb threat situation presents the decision makers at the target with the possibility of dealing with one of two possible scenarios. The first is that an explosive device has been placed at the target and will explode as indicated in the threat, thereby meaning that the warning is a legitimate communication from the perpetrator of a serious and dangerous crime.

The other alternative scenario is by far the most common. Bomb hoax calls are a frequent harassment directed at private and public agencies by persons with a variety of motives. Largely, bomb hoax calls are a form of vandalism, costing the target in time, inconvenience, anxiety and loss of production of goods and services. The success of bomb hoax calling is based in the perception of the target occupants. Actual bombing in our culture is a rare and isolated crime. Although it is very rare here, bombing receives extensive news coverage in the international media. Also contributing to the fear factor in bomb hoaxes is the often exaggerated perspective of the nature and effect of explosive devices on the part of the public. These perceptions are based on images from films and television which do not depict the effect of explosive devices factually. These inordinate fears cause overreaction to bomb hoax calls, and thereby contribute to the perpetuation of bomb hoax problems.

**B.      Threat Analysis**

It is important to manage bomb threats in such a manner as to effectively respond to the real threat while minimizing the disruption of routine apparent outside the target.

It is necessary, therefore, to organize and plan in advance so that the threat response can proceed in an orderly and efficient manner. This is accomplished through a process of threat analysis which results in the implementation of one of

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five threat level responses, intended to address the reality of the threat as opposed to the maximum imagined possibility.

Threat analysis involves the collection of tactical and strategic intelligence specific to the threat. The examination of this information in the context of the incident will assist responsible authorities in assessing the probability of the threat, and responding accordingly. The threat analysis process examines high-risk factors in the target environment, and assesses information in the threat message so as to immediately identify probable high-threat situations. This process may also point to lower threat levels and indicate the appropriate responses to less probable threat levels.

This concept of bomb threat management is based on the premise that the threat is best managed by personnel most familiar with the target environment and occupants.

Planning, threat analysis, evacuation control and searches are best performed by those persons most familiar with the buildings, procedures, processes and people in the threatened area. Outside public safety responders are most valuable in a standby role during search and evacuation. In this posture, they are better able to respond to suspicious items identified in searches and to investigative and coordination tasks relating to the incident, whether it is a hoax or live bomb incident.

The thrust of this type of threat management plan is to use each operative in the task that they perform better than any other. In this manner, the plan assures prompt, decisive response to the threat.

C.      Response Level

The threat level determination provides a realistic appraisal of the severity of the threat against the target. This threat must then be addressed by implementing a compatible response. There are five recommended response levels, each consisting of one or more of the actions available to the threatened agency. The bomb threat plan provides for a systematic hierarchy of responses which escalate according to the perceived threat level and any subsequent increase in this threat assessment as additional information becomes available.

**There are four Atools@ available to the response organization.**

1.      Emergency Evacuation- This is the indicated response to a high level threat

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assessment or any situation where a suspicious item has been located. It involves immediate, general evacuation of all persons in the target area.

2.    Controlled Evacuation - Controlled evacuation involves the planned and orderly evacuation of personnel from one area of the target to another, or from the general area at a predetermined time. It is usually used in conjunction with general searches immediately prior to the threatened time-of-detonation, or in special target areas such as hospitals, where emergency evacuations are impractical or dangerous.
3.    General Search - When time permits and the threat level warrants, a thorough search of the target area by volunteer search teams familiar with the environment is undertaken to locate any unusual items that are out of place or unidentified. The general search is indicated in an intermediate threat level, or to be conservative in a low threat level.
4.    Cursory Search - This is the lowest level response procedure reserved for use in low threat situations where the probability of a hoax is extremely high. Cursory search involves the search of probable target areas by supervisors and key personnel without disruption of normal work.

These response levels are based upon the rationale that the higher the threat level, the greater the emphasis on evacuation - the lower the threat level, the greater the emphasis on search.

The logic addresses the problem of mutual antagonism between the alternative situations that the threat call represents. A real bomb warning threat should be acted upon immediately to remove persons from the area of the device, and to summon public safety and bomb disposal personnel. This, of course, is the result desired by the bomb hoax perpetrator, and continued maximum response to these low threat calls generally perpetuates the problem. The response levels are intended to provide appropriate responses to assure the safety of target area occupants while

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preventing the gratification of the motives of the hoaxter.

Five threat levels provide a sufficient assortment of operational plans to address the threat possibilities.

1.     Threat Level 1 - High Threat

This response is appropriate when there is a high level of belief that the threat is real or in any situation where a suspicious item or suspected bomb has been located. It involves immediate emergency evacuation of the threatened area. Following evacuation, further threat assessment activities can be conducted and a re-entry search organized following a sufficient period of time. The re-entry search can be a general search or a cursory search, depending on the second threat assessment outcome, and should be completed before the target area is re-occupied for routine work.

2.     Threat Level 2 - Intermediate Threat

This response is appropriate in situations where there is a substantial level of belief that the threat is real and sufficient time is available for search during and immediately after a general evacuation. Well organized and trained searchers can begin a general search during a general evacuation and then they evacuate immediately following completion of the search. This is a useful response when the threat contains a time-of-detonation statement allowing more than thirty minutes of response time.

3.     Threat Level 3 - Moderate Threat

This response is appropriate in situations where there is only a moderate belief that the threat could be real and/or there is an extended period of time before the stated time-of-detonation. The response consists of a general search of occupied work areas followed

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by a general evacuation fifteen minutes prior to the stated time-of-detonation. The target area will be re-occupied fifteen minutes following the time-of-detonation.

**4.**     Threat Level 4 - Low Threat

This response is appropriate for situations where the threat assessment indicates a very high likelihood that the threat is a hoax. The response involves the general search of occupied work areas by searchers without an evacuation.

**5.**     Threat Level 5 - Lowest Threat

This response is appropriate in situations where there is a very low probability that a real threat exists and there is a high level of belief that the threat is a hoax. This response involves a cursory search of occupied work areas.

**D.**     Organization

The basic organizational form for the bomb threat response is the supervisory structure and normal chain of command. The basic coordinating component for the response is the assistant director in charge of the units involved in the threat. The section and unit supervisors are responsible for search organization and evacuation in their respective units.

**E.**     Threat Receipt and Handling

Bomb threat calls offer the target organization the advantage of direct communication with the bomber/hoaxer at the outset of the threat period. This advantage can be exploited for threat analysis purposes by collecting the maximum information from and about the caller. The personnel receiving the bomb threat call should obtain the following information from the caller:

1.     What is the specific location of the device?
2.     What is the intended time-of-detonation of the device?

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3.    What is the nature of the device and how will it function?
4.    Can the device be moved?
5.    What is the reason or motive for this act?
6.    Who is the caller and who does he/she represent?

The person taking the call should note the following information or impressions about the caller:

1.    Gender (male/female)
2.    Apparent age
3.    Accent
4.    Emotional state
5.    Apparent intelligence/education level
6.    Background noises
7.    Was the caller convincing and/or seeking credibility?
8.    Was the voice familiar?

Once the call is terminated, make notes immediately.

Following the call, the person receiving the threat should notify the appropriate supervisor. If this is not immediately possible, contact any assistant director.

F.    Threat Analysis

Upon notification of the threat, the appropriate Assistant Director will make a threat analysis assessment based on the following factors:

Text of the threat message - Did the threat message as received contain words or statements indicating a knowledge of explosives, familiarity with the target area, a motive, or the emotional state of the perpetrator? Did the caller seem to be seeking credibility or indicate an intense desire to be believed?

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How much information was provided by the caller and how much time for a response was allowed?

Organizational environment - What circumstances exist within the agency/institution that would warrant bombing or make hoaxing attractive as a harassment?

Societal context - What circumstances exist in the larger societal or political environment that warrant bombing or make hoaxing attractive as a harassment?

Nature of the work area - Is the reality of the threat practical and could the threat be carried out as stated?

Follow-up communication - Has more than one call been received and has a follow-up call been made to any other agency or institution?

G. Bomb Threat Response

Following the threat analysis decision by the assistant director, notification of the appropriate response level should be made by telephone to the supervisors in sections and units in the threatened areas. Indicated searches and evacuations will be directed by supervisors with results communicated to the assistant director by telephone. Simultaneously, the assistant director will cause the following notifications to take place:

1. Notification of local police - In all but a high level threat, response from the local police should be in a quiet, non-emergency mode.
2. Notification of local fire department - In all but a high level response, the local fire department should be put on alert and only summoned to the scene in event of a located suspected device or detonation.
3. Notification of bomb disposal personnel - SBI bomb technicians will be immediately notified in the event of any bomb threat to SBI facilities. In outlying locations, local bomb squads and/or nearby military EOD units should be notified. Bomb squads should not respond to the scene unless there is a high level threat.



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H.      Search Organization and Planning

Each supervisor will divide the unit into subsections and assign personnel familiar with the area to search duties.

The search areas should be small enough so that each can be searched by one person in 10 minutes. Where available, two searchers should be assigned to an area. Searchers will respond to and communicate with the supervisor, and the supervisor will respond to and communicate with the assistant director in all matters concerning the search and evacuation.

I.      Search Duties and Responsibilities

Personnel assigned to bomb threat search duties are responsible for examining a work area with which they are familiar for the presence of any item or package which they do not recognize and/or do not know the origin thereof. Under no circumstances should a searcher move, remove, open or otherwise disturb a suspicious or unknown package or item. When an unidentified item is located, the searcher will evacuate other personnel from the immediate area, notify the supervisor of the incident, and then leave the immediate area. The supervisor will notify the assistant director who will authorize further evacuations and responses.

10.    Evacuation

Emergency evacuation of threatened areas will be accomplished using the fire evacuation plan. The supervisor will designate a holding point for evacuated personnel at least 100 yards from the threatened building. In case of a controlled evacuation, the supervisor will designate an evacuation holding point in a safe interior area. In a bomb threat evacuation, employees should be encouraged to take easily recovered personal items with them in order to simplify the search.

Emergency evacuations may be ordered by a searcher, supervisor, or superiors upon identification of a suspected explosive device. Evacuation may be ordered by a supervisor or superiors in cases not involving the presence of an unknown item.

11.    Monitoring and Reassessment

Once the appropriate response has been implemented, the assistant director and supervisors will continue to

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assess available intelligence for any information requiring a need to upgrade the response level.

Upon completion of the appropriate searches and/or evacuations, the assistant director and supervisor will assess the situation and make a second threat assessment in light of search results or time-of-detonation expiration, and either direct implementation of another response or order the resumption of normal duties.

**12. Explosion Procedures**

In the event of a detonation or explosion, normal fire safety procedures will be implemented.

**A. Telephone Bomb Threat Report**

A Telephone Bomb Threat Report form is included in the appendix.

**DISPOSAL OF DISCARDED BUREAU OFFICE PAPERS**

- A. Each District/Section/Unit Office will be equipped with a paper shredder.
- B. Discarded copies of all Bureau correspondence, or any sensitive or confidential material will be disposed of by shredding. Each employee is responsible for shredding his/her own copies.

**COMMENDATIONS**

- A. The Special Agent in Charge or Supervisor may issue a commendation or letter of appreciation to an employee for service beyond that which is expected. A copy of the commendation or letter of appreciation will be maintained in the District/Section/Unit Office personnel file, a copy sent to the Director, the appropriate Assistant Director and to the employee's DOJ personnel file.
- B. In order to recognize exceptional performance, dedication, and service to the Bureau and State of North Carolina, the Bureau will issue formal commendations to Agents and employees whose performance warrants such honor. The Special Agent in Charge or Supervisor may prepare a draft letter of commendation, including appropriate details, in the name of the Director and forward to the appropriate Assistant Director for his consideration and approval. If approved, a copy of the

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Director=s letter of commendation will be directed to the employee=s DOJ personnel file, a copy to the employee=s to be included in the District/Section/Unit Office personnel file, and a copy will be forwarded to the appropriate Assistant Director.

- C. When a Bureau employee receives a letter of commendation or appreciation from outside the Bureau, the employee will forward a copy to the Special Agent in Charge or Supervisor, who will place a copy in the employee's District/Section/Unit Office personnel file and forward a copy to the appropriate Assistant Director and to the employee=s DOJ personnel file.

**DISTRICT/DECU/FCI/CASE RECORDS MANAGEMENT SECTION/INTELLIGENCE AND TECHNICAL SERVICES OFFICE FILES**

- A. A room within the DISTRICT/DECU/FCI/CASE RECORDS MANAGEMENT SECTION /INTELLIGENCE AND TECHNICAL SERVICES OFFICE FILES will be designated as a File Room. This room will have a lockable door and be wired into the intrusion alarm system.
- B. If a separate room is not available, file cabinets should be arranged in an area which limits direct access to the cabinets. All cabinets shall be equipped with a secure locking device.
- C. Access to DISTRICT/DECU/FCI/CASE RECORDS MANAGEMENT SECTION/INTELLIGENCE AND TECHNICAL SERVICES file cabinets should be limited to management and clerical personnel. Cabinets not in a file room and/or door(s) to the file room should be locked at all times unless at least one authorized person is in the building.

**CUSTODIAN OF DISTRICT/SECTION/UNIT RECORDS**

- A. The Special Agent in Charge or Supervisor is the custodian of all files classified as "District/Section/Unit Records."
- B. All official records and reports submitted to the Special Agent in Charge or Supervisor, including copies, automatically become property of the Bureau under the custodial care of the Special Agent in Charge or Supervisor.
- C. Removal, alteration, correction, destruction, substitution, mutilation, or amendments to any existing District/Section/Unit record must be approved by the Special Agent in Charge or Supervisor.

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- D. Only management or clerical personnel are authorized to remove any record or report from an established file. All files should be replaced by clerical personnel.

### ACTIVITY SUMMARY

- A. Sworn personnel will prepare an activity summary (SBI-1) of his/her daily activities by completing an Activity Summary each week. The period begins at 12:01 AM Saturday through midnight the following Friday with the exception of the last day of the month which will end the period. A new Activity Summary and period will begin to cover the remainder of the week until midnight Friday (a split week). It will not be necessary to account for Saturday and Sunday unless there is activity to be reported.

Non-sworn personnel may be required to prepare a weekly Activity Summary at the discretion of the Special Agent in Charge or Supervisor. The decision to require completion of an Activity Summary would especially be indicated for personnel who travel regularly, accrue reimbursable expenses, or earn compensatory time.

1. The Activity Summary is to be completed and submitted to the District/Section/Unit Office no later than Tuesday of the week following the activity period.
  2. The Activity Summary must have the approval of the Special Agent in Charge, Supervisor, designated Assistant Special Agent in Charge, or other Designated Supervisory Personnel.
  3. The completed Activity Summary may be computer generated, typed, or written legibly in ink.
  4. Sworn Personnel Only - Hours exceeding 8.5 per day and hours worked on Saturdays, Sundays and holidays will be assigned the appropriate overtime Codes (OT) as listed under B.
  5. Activity summaries shall be purged according to the Records Retention and Disposition Schedule. The District/Section/Unit copy of the Activity Summary is the original and only copy maintained in the Bureau.
- B. Activity Codes are established for the following seven (7) categories of activities:

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1.    Investigative (INV):

100	110(OT)	Investigation
101	111(OT)	Court
102	112(OT)	Investigative Travel
103	113(OT)	Wiretap
104	114(OT)	SRT Mission Travel
105	115(OT)	SRT Mission
  
2.    Federal Reimbursement for Overtime (FROT)

120 (OT)	Investigation
121 (OT)	Court
122 (OT)	Investigative Travel
123 (OT)	Wiretap
124 (OT)	STR Mission Travel
125 (OT)	STR Mission
  
3.    Leave (LV):

200	Annual
201	Sick
202	Compensatory
203	Administrative
299	Other
  
4.    Administrative (ADM):

300	310(OT)	Administrative
301	311(OT)	Administrative Travel
302	312(OT)	SRT Administrative Activity
  
5.    Crime Lab (CL):

400	410 (OT)	Case Work
401	411 (OT)	Research and Development
499		Other
  
6.    Management (MGT):

500	510(OT)	Management Activity
501	511(OT)	Management Travel
502	512(OT)	Wiretap Management
  
7.    Training (TRN):

600	610(OT)	Receiving Training
601	611(OT)	Training Travel
602	612(OT)	Instructing
603	613(OT)	Coordinating Training
604	614(OT)	SRT Training
605	615(OT)	SRT Training Travel

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606	616 (OT)	SRT	Instruction
607	617 (OT)	SRT	Coordinating Training/Preparation

## 1. Anti-Terrorism (ATRM)

700	710 (OT)	Anti-Terrorism	Investigation
701	711 (OT)	Anti-Terrorism	Travel
703	713 (OT)	Anti-Terrorism	Receiving Training
704	714 (OT)	Anti-Terrorism	Instructing
705	715 (OT)	Anti-Terrorism	Training Travel

C. General information concerning Activity Codes:

1. Accrued leave time taken off for time worked on a State holiday is coded 299.
2. Funerals, retirement functions, military leave, child involved leave, or other non-work approved events which occur during the workday are assigned a 299 Activity Code. A combination of other coded activity and 299 coded activity will not exceed 8 hours per day.
3. The 299 Activity Code will not be used for approved non-work activities occurring on State holidays, Saturdays, Sundays, or after an 8 hour workday. Travel in a State vehicle to an approved non-work event such as a funeral, retirement function, etc. on a State holiday, Saturday, Sunday, or after an 8 hour workday should be reflected on the Activity Summary with no Activity Code or times shown.
4. The 299 Activity Code will not be used if eight (8) hours of work time is claimed during a workday. The 299 Activity Code cannot be used to accrue overtime.
5. Any use of 299 leave must have the prior approval of the Special Agent in Charge or Supervisor.
6. Administrative activity (300) would generally be defined as all activity of a non-investigatory nature such as routine office work, attending meetings on law enforcement issues, non-investigative planning sessions, public appearances, preparation of activity summaries, expense accounts, SBI-88's, BA=s, reporting for law enforcement physicals, auto and

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equipment maintenance and repairs, non-investigative paper work, special project assignments, etc.

- D. The following entries will be completed on the SBI-1:
1. **Agent or Employee Number:** Enter assigned Agent or Employee number.
  2. **Period:** The seven day period beginning at 12:01 AM Saturday, enter month and date.
  3. **Thru:** The period ending 12:00 PM Friday (unless a split week), enter date. Calendar year should be entered in space provided.
  4. **Date/Time:** Enter day of the month followed by the abbreviation for the day of the week, e.g., 1 M., 2 T., 3 W., 4 Th., 5 F., Sa., Su. Under the Date entry, enter the start time for the workday (rounded to the nearest half- hour), immediately under the start time enter the ending time for the workday if no breaks in the workday occur. It is not necessary to show meal breaks, but all other breaks in the workday must be shown. An eight (8) hour workday may be shown as:  

1 M.	2 T.	3 W.
800 A.	800 A.	900 A.
500 P.	200 P.	600 P.
	300 P.	
	600 P.	
  5. **From:** Enter the location of the nearest city From which the workday begins. In some instances an Agent may reside at one location, but the assigned duty station may be designated as a District/Section/Unit Office or SBI Headquarters. An employee whose primary office is located in a Bureau facility will reflect the location of that facility as his or her duty station. In this situation, From would reflect the duty station, e.g., District/Section/Unit Office or Headquarters as opposed to the employee=s home city. For example, an employee may reside in Garner and is assigned to SBI Headquarters. Except when the employee is in a travel status, the employee would begin each workday From Raleigh, employee=s duty station.

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6.    **To:** Enter the location(s) of the nearest city traveled To during the workday and indicate whether a return was made before 12:00 PM the same day. It is not necessary to list every location traveled To, but the location or locations where the majority of the workday was spent. This may be shown as follows:

<u>FROM</u>	<u>TO</u>
Raleigh	Durham
	Chapel Hill
	Rtn.

7.    **File Number/Control Number:** Enter the nine (9) digit Case File Number(s) under which the days work is performed and/or the assigned employee=s number followed by the applicable prefix for one or more of the seven (7) Activity Codes listed in paragraph B. Non-case file number entries (Control Numbers) may appear as follows:

999-INV	999-FROT	999-LV	999-ADM
999-CL	999-MGT	999-TRN	

8.    **Code:** Enter the appropriate Activity Code (paragraph B) to correspond to the SBI File Number or Control Number.

9.    **Hours:** Enter the appropriate hours for the assigned activities rounded to the nearest half-hour. The cumulative total of the Hours entries should be the final entry in the column. The word Atotal@ or AT.@ may be entered adjacent to the total hours under the Acode@ column. This entry may appear as:

<u>Code</u>	<u>Hours</u>
100	2.0
101	2.5
102	1.5
<u>300</u>	<u>2.0</u>
T.	8.0

10.   **Remarks/Explanation/Expenses:** Brief remarks or explanations of File Number or Control Number activities may be entered in this column. Documentation of subsistence expenditures and/or other reimbursable expenditures may also be entered here. Subsistence allowances may be identified as B



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(Breakfast), L (Lunch), D (Dinner), M (Motel), and T for the Atotal@ daily accumulated subsistence expenditures . Other expenses may simply be shown as registration, parking fees, toll charges, etc.

11. **Summary:** This block of the Activity Summary captures cumulative totals of information contained in the body of the SBI-1. Cumulative totals are captured in line one (1) and lines two (2) and three (3) capture vehicle information required in the Mapper system.
  - a. **Hours Worked:** The cumulative total hours actually worked as reported under the Hours column (paragraph 9.)
  - b. **Annual Leave:** Enter the cumulative total hours of leave reported as LV-200 (paragraph B. 2).
  - c. **Sick Leave:** Enter the cumulative total hours of sick leave reported as LV-201 (paragraph B. 2).
  - d. **Other Leave:** Enter the cumulative total hours of compensatory leave, LV-202, administrative leave, LV-203, and other leave, LV-299 (paragraph B. 2).
  - e. **Subsistence:** Enter the total of the daily subsistence expenditures reported under the Expenses column as described in paragraph 10.
  - f. **Other Expenditures:** Enter the total of the Other expenditures reported under the Expenses column as described in paragraph 10.
  - g. **Auto Maintenance For Individually Assigned Vehicle:** Enter the total of the costs of all vehicle maintenance and routine service which occur during the reporting period.
  - h. **Gallons State Gas:** Enter total gallons of gasoline obtained from State gas pumps during the reporting period unless purchased from a DOT pump utilizing an electronic key.
  - i. **Gallons of Commercial Gas:** Enter total gallons of gasoline obtained from commercial gas pumps during the reporting period.

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- j.    **Cost of Commercial Gas:** Enter total cost of all gasoline obtained from commercial gas pumps during the reporting period.
- k.    **License Number For Individually Assigned Vehicle:** Enter tag number of vehicle operated during the reporting period.
- l.    **Odometer Period Began For Individually Assigned Vehicle:** Enter beginning mileage for the period beginning at 12:01 AM Saturday. The last day of the month will end the period and require a new Activity Summary (split week). A new beginning mileage will be entered on the Activity Summary to cover the remainder of the week (split week) unless the last day of the month occurs on a Saturday or Sunday and no activity is reported.
- m.    **Odometer Period Ended For Individually Assigned Vehicle:** Enter mileage for the period ending at 12:00 PM Friday unless the period is ended by the last day of the month (split week).
- n.    **Miles Driven For Individually Assigned Vehicle:** Enter the total mileage driven during the period by subtracting the beginning mileage from the ending mileage.
- 12.   **Remarks:** This space is reserved for any additional explanatory remarks or notations concerning the activities described on the SBI-1.
- 13.   **Employee:** Enter the signed, original signature of the employee submitting the Activity Summary (unless electronically transmitted).
- 14.   **Date Submitted:** Enter the date the SBI-1 is submitted or mailed.
- 15.   **Approved:** Reserved for signature or initial of reviewing supervisor.

\*Refer to Appendix    for an example of a completed Activity Summary.

**EXPENSE ACCOUNT**

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This Section of Procedure 1, of the Policy and Procedure Manual is in a constant state of change. The definitive source for information on Travel Policies and Regulations can be found in Section 5 of the Budget Manual, Office of State Budget and Management as well as requirements established by the Department of Justice.

A Bureau employee will be reimbursed or approved expenses incurred by the employee or

other approved eligible individual when conducting official state business in accordance

with applicable statutes, regulations and rates established by the Office of State Budget and

Management and/or the N. C. Department of Justice.

An employee traveling on official state business is expected to exercise the same care in incurring expenses that a prudent person would exercise if traveling on personal business and expending personal funds. Excess costs, circuitous routes, delays, or luxury accommodations and services unnecessary, unjustified, or for the convenience or personal preference of the employee in the performance of official state business are not acceptable under this standard. Employees will be responsible for unauthorized costs and any additional expenses incurred for personal preference or convenience.

Each Division/District/Section/Unit will keep on file a copy of all Budget Authorizations and expense accounts that have been completed for Bureau employees for a period of three years.

A.    **Duty Station:** Is the job location at which the employee is assigned and where the employee normally spends the majority of his or her working hours. For an employee who travels, the duty station should be the point where traveling begins the majority of the time (home or office). An employee whose primary office is located in a Bureau facility will reflect the location of that facility as his or her duty station, even though the employee may live some distance from that location. An employee with a primary office in a Bureau facility but who lives at a different location, will not be able to claim travel expenses while working at the location of the office or at the location of the employee=s home.

B.    **Transportation:** Includes personal automobile, taxi, bus, train, airplane, motor pool charges, auto rental, tolls, and parking fees.

1.    When travel by car is determined to be feasible, a state-owned vehicle, when available, should be used instead of a private vehicle.

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Reimbursement for mileage for use of a private vehicle will be paid at a rate authorized by the Office of State Budget and Management. Such reimbursement requires prior approval.

2. Prior to utilizing a travel agency for making airline and other reservations, the employee should check with the Financial Services Section of the N. C. Department of Justice for the current recommended travel agencies.
3. Prior to making reservations for a rental car, the employee should check with the Financial Services Section of the N. C. Department of Justice for the current recommended rental car agency.
4. Only coach fare will be reimbursed for airline travel. A copy of the airline ticket must be submitted with the expense account. It can be submitted for the month in which purchased. The employee does not have to wait until the ticket is used.
5. Receipts are required for bus tickets, train fares, motor pool vehicle rental, regular rental cars, parking fees, and toll charges.

**C. Travel To/From Airport:**

1. At Employee=s Duty Station: Reimbursement for travel between the employee=s duty station and the nearest airline terminal (or train/bus station if applicable) and for appropriate parking may be made under the following circumstances. For travel by:
  - a. Taxi or Airport Shuttle - actual costs with receipts.
  - b. Private Car - the business standard mileage rate set by the Internal Revenue Services for a maximum of two round trips with no parking charge, or for one round trip with parking charges. Receipts are required for airport parking claims.
1. Use of Public Transportation - In lieu of using a taxi or airport shuttle, employees can be

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reimbursed without receipts \$5.00 for each one-way trip either from the airport to hotel/meeting or from the hotel/meeting to the airport.

2. At Employee=s Destination: Reimbursement for travel to and from the airline terminal (or train/bus station if applicable) at the employee=s destination may be made where travel is via most economical mode available as listed below:
  - a. Taxi or Airport Shuttle service - Actual costs with receipts.
  - b. Rental Vehicles - may be used with the prior approval of the department head or his or her designee; however, rental vehicles may not be used for the sole convenience of the employee (receipt required).
3. Use of Public Transportation - In lieu of using a taxi or airport shuttle, employees can be reimbursed without receipts \$5.00 for each one-way trip either from the airport to hotel/meeting or from the hotel/meeting to the airport.

**4. Travel Involving Trips Other Than To And From The Airport**  
The actual cost of taxi and shuttle service fares are reimbursable when required for travel on official state business. The request must be documented with a receipt. The use of public transportation is reimbursable up to \$5.00 per one way trip.

- E. Subsistence:** Is an allowance related to lodging and meal costs and gratuities thereon. The reimbursement rate is inclusive of gratuities.
1. Except as provided, subsistence will only be reimbursed when travel involves a destination located at least 35 miles from the employee=s assigned duty station.
  2. A maximum allowable (up to) statutory rate is established by the Office of State Budget and Management for the reimbursement of in-state and out-of-state lodging expenses and breakfast, lunch, and

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dinner meals. The employee may apply through their supervisor in advance for excess lodging reimbursement if lodging cannot be located within the allowable rate. The employee=s Special Agent in Charge or Supervisor will then request that the appropriate Assistant Director submit a Budget Authorization (BA) to the N. C. Department of Justice requesting excess lodging reimbursement. The employee, when possible, will provide the Special Agent in Charge or Supervisor with the lodging rate including any taxes.

The maximum allowable rates for Subsistence are available in the District/Section/Unit office or in the State Budget Manual.

While attending the N. C. Justice Academy at Salemburg, the rate for meals eaten away from campus will be reimbursed at the contractor=s rate for meals at the Justice Academy

While attending the N.C. Justice Academy at Edneyville, the rate for meals eaten away from campus will be reimbursed at the contractor=s rate for meals at the Justice Academy provided a cafeteria is opened.

The Justice Academy at Edneyville does not provide dinner meals at this time and personnel will be reimbursed at the regular in-state subsistence rate for a dinner meal.

To claim lunch at any time, the employee must stay overnight.

3. The payment of sales tax, lodging tax, local tax, or service fees applied to the cost of lodging is allowed in addition to the lodging rate and is to be paid as a lodging expense. The employee may exceed the part of the ceiling allocated for lodging without approval for over expenditure provided that the total lodging and food reimbursement does not exceed the maximum allowed daily subsistence.

- F. **Authorization for Lodging:** Written approval by the department head or his or her designee must be obtained in order to qualify for reimbursement for

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overnight stays. Supervisory personnel certifying the reimbursement request as necessary and proper must require documentation from the traveler to substantiate that the overnight lodging was necessary and accomplished. The travel must involve a travel destination located at least 35 miles from the employee's regularly assigned duty station (vicinity) or home, whichever is less.

**G.      Reimbursement for Lodging:**

1.      Each employee is responsible for his or her own request for reimbursement. The travel must involve a travel destination located at least 35 miles from the employee's regularly assigned duty station (vicinity) or home, whichever is less. Requests for reimbursement should be filed within 30 days after the travel period ends for which the reimbursement is being requested. Specific dates of lodging must be listed on the reimbursement request, and substantiated by a receipt from a commercial lodging establishment. Reimbursement for lodging in an establishment treated as an apartment building by state or local law or regulation is not allowed unless approved by the Office of State Budget and Management in advance.
2.      Telephone access fees for business calls are considered a miscellaneous expense. Telephone access fees for personal calls are not reimbursable. Baggage handling tips and other tips (except tips for meals or food service) may be claimed as "Miscellaneous." Excessive tips must be documented with a receipt.

**H.      Excess Lodging:** Excess lodging authorization for instate, out-of-state, and out-of-country travel must be obtained in advance from the department head or his or her designee. Excess lodging is allowed when the employee is in a high cost area and unable to secure lodging within the current allowance, or when the employee submits in writing an opinion that his/her personal safety or security is unattainable within the current allowance. Excess lodging authorization is not allowed for reason of convenience or personal preference for the employee. The employee may exceed the part of the ceiling allocated for lodging without approval from the department head or his or her designee provided that the total lodging and food reimbursement does not exceed the maximum daily subsistence.

1.      **Penalties and Charges Resulting from Cancellation:**  
Penalties and charges resulting from the cancellation of travel reservations (including airline or hotel reservations and conference registration) shall be the department's obligation if the employee's travel has been approved in advance and the cancellation or change is

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made at the direction of and/or for the convenience of the department. If the cancellation or change is made for the personal benefit of the employee, it shall be the employee's obligation to pay the penalties and charges. However, in the event of accidents, serious illness, or death within the employee's immediate family or other critical circumstances beyond the control of the employee, the department may pay the penalties and charges.

- J.     **Authorization for Meals:** Written approval by the department head or his or her designee must be obtained in order to qualify for reimbursement for meals. Supervisory personnel certifying the reimbursement request as necessary and proper must require documentation from the traveler to substantiate that the payment for meals was necessary and accomplished.
  
- K.     **Reimbursement for Meals:** Each employee is responsible for his or her own request for reimbursement. Tips for meals are included in the meal allowance. Each meal reimbursement rate must be listed on the reimbursement request. Times of departure and arrival must also be listed on the reimbursement request. The costs of meals included in other related activities (registration fees, conference costs, hotel registration, etc.) may not be duplicated in reimbursement requests.
  
- L.     **Meals During Overnight Travel:** A state employee may be reimbursed for meals including lunches, while on official state business when the employee is in overnight travel status. The travel must involve a travel destination located at least 35 miles from the employee's regularly assigned duty station (vicinity) or home, whichever is less.
  
- M.     **Meals During Daily Travel:**
  - 1.     Employees may be reimbursed for meals for partial days of travel when in overnight travel status and the partial day is the day of departure or the day of return. The following applies:
    - a.     Breakfast: depart duty station prior to 6:00 a.m. and extend the working day 2 hours.
    - b.     Lunch: depart duty station prior to Noon (day of departure) or return to duty station after 2:00 p.m. (day of return).



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- c. Dinner: depart duty station prior to 5:00 p.m. (day of departure) or return to duty station after 8:00 p.m. (day of return) and the workday is extended 3 hours.
    - d. The travel must involve a travel destination located at least 35 miles from the employee's regularly assigned duty station (vicinity) or home, whichever is less.
  - 2. Allowances cannot be paid to employees for lunches if travel does not involve an overnight stay; however, employees can be eligible for allowances for the breakfast and evening meals when the following applies:
    - a. Breakfast (morning): depart duty station prior to 6:00 a.m and extend the working day 2 hours.
    - b. Dinner (evening): return to duty station after 8:00 p.m and extend the workday by 3 hours.
    - c. The travel must involve a travel destination located at least 35 miles from the employee's regularly assigned duty station (vicinity) or home, whichever is less.
    - d. Allowances for the breakfast and evening meals for employees working nontraditional shifts must have prior approval of the Office of State Budget and Management.
- N. **Meals and Day-to-Day Activities:** State employees may not be reimbursed for meals eaten in conjunction with a congress, conference, assembly, convocation or meeting, or by whatever name called, of the employees within a single state department, institution or agency, or between the employees of two or more state departments, institutions or agencies to discuss issues relating to the employee's normal day-to-day business activities.
- O. **Meals for Required Employee Attendance:** A state employee may be reimbursed for meals, including lunches, when the employee's job requires his attendance at the meeting of a board, commission, committee, or council in his official capacity and the meal is preplanned as part of the meeting for the entire board, commission, committee or council. Such board, commission, committee, or council must include persons other than the employees of a single state department, institution, or agency.

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- P.     **Meals and Commercial Air Travel:** Employees are allowed to claim reimbursement for meals even though they are shown and offered as a part of one's flight schedule on a commercial airline.
- Q.     **Excess Meals:** No excess reimbursement will be allowed for meals unless such costs are included in registration fees and/or there are predetermined charges, or the meals were for out-of-country travel. The department head or his or her designee may grant excess subsistence for meals for out-of-country travel.
- R.     **Registration Fees:** State law allows reimbursement of the actual amount of convention registration fees as shown by a valid receipt or invoice. They may be paid by the department or employee. The registration fee is typically made for defraying the cost of speakers, building (room) use, handout materials, breaks and lunches at conferences and conventions. These fees are charged as a travel expense. Prior approval must be obtained for registration or tuition fees exceeding one hundred dollars (\$100.00) by the employee requesting through their Special Agent in Charge or Supervisor that the appropriate Assistant Director submit a Budget Authorization (BA) to the N. C. Department of Justice requesting approval of same. An employee requesting registration fees in excess of \$100.00 must submit a copy of the program registration with the Budget Authorization so that the Department of Justice can determine if there are any meals included in the registration. A registration fee less than \$100.00 in which there is no Budget Authorization submitted, may be submitted for reimbursement on an employee's expense account but a copy of the program must be attached to the expense account so that the Department of Justice can determine if there are any meals included in the registration fee.
- S.     **Out-of-State Travel:** Out-of-state travel status begins when the employee leaves the state and remains in effect until the employee returns to the state. However, in-state allowances and reimbursement rates apply when employees and other qualified official travelers use hotel and meal facilities located in North Carolina immediately prior to and returning from out-of-state travel during the same travel period.

To make sure that an employee is insured during travel, a Budget Authorization is required even if all expenses are being paid by the Federal Government or from some other source other than the N.C. Department of Justice.

- T.     **Prisoner and Witness Expenses:** Transportation and subsistence for prisoners and witnesses may be claimed with approval of the employee's Special Agent in Charge or Supervisor and these non-state employees will be reimbursed in accordance with

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the same regulations and rates as state employees. These expenses will be listed in the Miscellaneous Column of the expense account and under explanation begin with Prisoner or Witness and their name. If the expenses involve a witness returning for a trial, etc., arrangements should be made by the District Attorney for the witness= expenses to be paid for by the Administrative Office of the Courts.

- U.    **Miscellaneous Expenses:** These expenses which may include such things as post office box rental fee, car wash, minor car repair, purchase of a specialized battery, postage stamps, etc., may be submitted on an expense account with the approval of the employee=s Special Agent in Charge or Supervisor and supported with a receipt. If a purchase order number was required, it should be written on the receipt.
  
- V.    **Receipts Required and Not Required:** Original receipts must be submitted with the employee=s expense account as supporting documentation for reimbursement claims (e.g., copy of airline ticket for airline fare) with the exception of the following which will not require receipts:
  - 1.    Meals at or below the maximum allowable statutory rates established by the Office of State Budget and Management;
  - 2.    Tips, unless excessive. (Excessive is more than \$1 or \$2 per piece of luggage); and
  - 3.    Mileage expense for use of personal vehicle.

**REIMBURSEMENT OF TRAVEL AND OTHER EXPENSES INCURRED IN THE DISCHARGE OF OFFICIAL DUTY**

- 1.    The form must be typed or printed legibly in ink, and the original form with original receipts must be submitted to the employee=s Special Agent in Charge or Supervisor prior to the 5th day of the month following the month in which the expenses were incurred. Each expense account will include an entire calender month. The employee should keep a copy of the expense account and receipts.
- B.    The employee will complete the following:
  - 1.    Soc. Sec.#:    Employee will enter their social security number.

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2. Payee=s Name: Employee will enter their first, middle initial, and last name.
3. Division/Section: Enter SBI.
4. Title: Employee will enter their position title.
5. Payee=s Address: Employee will enter the address where they want their check mailed.
6. City, State, Zip: Enter this information for mailing address.
7. New Address: Indicate either yes or no if this is a new address.
8. Period covered by this request: Enter the month, inclusive dates of the month (e.g., March 1-31) and, year.
9. Has Budget Authorization been done: Indicate yes or no. (Submit copy if available)
10. Best Contact Phone#: Enter office number of District/Section/Unit.
11. Headquarters: Enter duty station.
12. Claimant: Employee signs their name.
13. Date: Enter date employee signs expense account.
14. Supervisor: Print or type name of supervisor. Supervisor signs and dates.
15. Skip shaded block and go to expense columns.

C. For each Day block:

1. Day: Under Day, enter date of expense such as: 1-30
2. Travel Column: Under Travel, and under From, enter duty station or town/city you depart from; and under To, enter town/city traveled to. Continue if more than one town/city.

Example: 1-30 (From) Raleigh                      (To) Hickory  
   Asheville

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1-31 (From) Asheville

(To) Raleigh

- D. If there is an expense claim for something purchased in the location of the employee=s duty station such as an airline ticket, parking fee, etc., enter the duty station under both From and To such as:

1-30 (From) Raleigh

(To) Raleigh

- E. If the travel involves staying in a town for several days, enter the town under both From and To for each day in the town such as:

1-25 (From) Raleigh

(To) Asheville

1-26 (From) Asheville

(To)  
Asheville

1-27 (From) Asheville

(To)  
Asheville

1-28 (From) Asheville

(To)  
Asheville  
Raleigh

- F. Time Depart: For travel expenses, enter the time departing or leaving duty station or the location you are departing from to return to your duty station and then for Return, enter the time you return or arrive back at your duty station.
- G. Daily Private Car Mileage: Add the number of miles driven each day on approved official business and after @ enter the applicable mileage rate established by the Office of State Budget and Management.
- H. Transportation Column: Under In-State and/or Out-of-State, enter the amounts for G: Ground, rail, bus, rental car; A: Airline; O: Other; or P: Private Car.
- I. Meals Column: Depending on the location of the meal, being in-state or out-of-state, enter in the applicable column the amount claimed for each meal up to the maximum allowable statutory rate for each meal, unless a Budget Authorization (BA) has been approved for a higher rate.
- J. Hotel Column: Enter the daily hotel charge for your room only, which should include any room tax charge, not to

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exceed the maximum allowable statutory rate unless a Budget Authorization (BA) has been approved for a higher actual room rate. If someone else such as your spouse stays in the room, you must only charge the rate, including tax, that it would be for just the employee to stay, but not to exceed the maximum allowable statutory rate. If you and another SBI employee are sharing the room, the room charge is divided in half and each employee will claim their part for reimbursement. Charges for local telephone calls or access to long distance on your hotel bill, should be claimed under Misc. Expenses, if incurred while conducting official state business.

- K. Misc.(Miscellaneous) Expenses Column: Enter various other approved miscellaneous expenses in this column such as post office box rental, parking charges, toll charges, charges for copies of records, etc.
- L. Daily Totals: For each day in which expenses are claimed, enter the daily total of expenses for each column.
- M. Page Totals: For each page of the expense account at the bottom, enter the total of expenses for each column.
- N. Total Expenses: Enter the grand total for all expenses claimed on each expense account.

\*Refer to Appendix for an example of a completed expense account.

**BUDGET AUTHORIZATION (BA)**

- A. The Budget Authorization is a N. C. Department of Justice form and is used to request approval for such things as out-of-state travel, in-state and out-of-state excess subsistence, registration and tuition fees exceeding \$100.00, and certain other expenses requiring approval of the N. C. Department of Justice.
- B. The form is prepared by the appropriate Assistant Director, pursuant to a request of a Special Agent in Charge or Supervisor, and submitted to the N. C. Department of Justice.
- C. The BA must be requested and submitted in advance to the N. C. Department of Justice and should be done as far in advance as possible (minimum of 10 working days). A BA

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submitted after the fact must be accompanied by a memorandum from the employee justifying the BA and giving a valid reason why it could not be submitted in advance.

D. BA=s for training activity must be received at the N. C. Department of Justice ten working days prior to the beginning of the requested training.

E. The BA must include the following information:

1. Date Submitted;
2. Names of Travelers or employees requesting training;
3. Names of cities and towns Traveling To;
4. Method of travel (Type Transportation) such as state vehicle, commercial air, etc.;
5. Subsistence Expenses Maximum Per Day: Should reflect State Rates unless excess lodging is being requested in which case it should reflect Actual Hotel plus meals;
6. Any Convention or School Registration or Tuition fee;
7. Total Estimated Expenditure;
8. Dates of Travel: Beginning and ending dates;
9. Purpose of travel, including SBI file number if applicable, or purpose of request, such as: To interview witness in a homicide case in Raleigh, NC, SBI File Number 1900-00000;
10. Registration Check Information: Provide complete address where convention registration/tuition check should be mailed if requesting DOJ to mail directly to vendor or provide other explicit mailing instructions such as, mail to District Office, mail to requesting Agent, etc. A program, brochure, pamphlet, tuition bill, etc. should be attached to the BA documenting the registration/tuition fee information and to what organization, agency, school,

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etc. the check should be made payable. List any deadlines for receipt of registration fees;

11. Vendor I.D. Number: List vendor I.D. number (Federal Tax I.D. Number) of the organization, agency, school, etc. to which the registration check is made payable. This information is required; and
12. List All Other Staff Members Making Trip: Use this space to identify additional personnel making the trip if ATravelers@ space on the BA is inadequate.
13. Total Estimated Expenses must be broken down such as:  
(example)

Air Transportation	Out-of-state	\$400.0
	0	
Ground Transportation	Out-of-state	\$100.0
	0	
Meals	Out-of-state	\$135.0
	0	
Lodging	Out-of-state	\$306.0
	0	
Registration	Out-of-state	\$
		<u>50.00</u>
	Total	\$991.0
	0	

**ADMINISTRATIVE RECORDS**

A. Leave Requests

1. Employees are to request leave by submitting a Leave Authorization Request (SBI-108) to the Special Agent in Charge or Supervisor or designated Assistant Special Agent in Charge or other Designated Supervisory Personnel.
2. Leave requests must have the approval of the Special Agent in Charge or Supervisor or designated Assistant Special Agent in Charge or other Designated Supervisory Personnel.



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- B. Activity Summaries, expense accounts, leave records, and other similar records will be maintained in a locked cabinet accessible only by management and assigned or designated clerical personnel.
- C. Source of Information files and Special Funds Reports shall be kept in a combination file safe. Special Funds reports shall be purged according to the Records Retention and Disposition Schedule.
- D. Review of Source of Information files and Special Funds Reports will be limited to management and assigned or designated clerical personnel and the individual preparing the records.

**INVESTIGATIVE FILES**

- A. Investigative files will be identified by a Case Number assigned by the Case Records Management System (CRMS). The Case Number is comprised of the year plus a five digit number.
- B. The District/Section/Unit investigative case files should be filed in sequential order by Case Number. A divider should separate each year=s files; or the District investigative case files are to be filed by Case Agent Number with only one case agent=s files per file drawer(in Case Agent Number sequential order). Once a method is selected in a District/Section/Unit, all investigative case files must adhere to the selected method for that District/Section/Unit.
- C. Each case file folder should be identified by a label displaying the Case Number and the Current Agent Assigned (CAA) number.
- D. Cases involving a Juvenile suspect will be filed in a red file folder, sequentially with other files. No other separation is required.
- E. All reports relating to the same case number should be filed in one file folder, beginning with the Initial Report, followed by the Cover Sheet and Synopsis. All investigative reports should be filed in the order in which they are received by the District Office. The Arrest and Drug Stat Forms should be grouped and filed after the investigative reports. The Defendant Dispositions and Closing Report should be filed at the end.

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F.     Purging

1.     District office copies of investigative files will be purged in accordance with the Records Retention and Disposition schedule.
2.     Agents= individual copies of the same investigative files will be turned into the appropriate District Office and purged with the District Office copies, in accordance with the Records Retention and Disposition schedule.
3.     If any District/Section/Unit receives a Court Order for expungement of any SBI files/records, the Special Agent in Charge or Supervisor shall notify the SBI Legal Counsel prior to the destruction of any SBI files/records.  
*(revised 07/11/03)*

**DISTRICT/SECTION/UNIT PERSONNEL FILES**

- A.     District/Section/Unit Personnel Files are an extension of Bureau Personnel Files and are subject to the same guidelines, i.e., right to review and confidentiality.
- B.     Files shall be maintained in a locked file cabinet with an individually keyed lock. Direct access to personnel files is restricted to the Special Agent in Charge or Supervisor and the Administrative Secretary. Additional access must be approved by the Special Agent in Charge or Supervisor.
- C.     Each individual file should be segregated into sub-files for storing and filing in chronological order for the following matters:
  1.     Personnel History and Miscellaneous
    - a.     Personnel History
    - b.     Update(s) to Personnel History
    - c.     Orders pertaining to assignment or duty station
    - d.     Promotion or salary change
    - e.     Fictitious license or automobile registration

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- f.      Miscellaneous records that may be relative to above items
  - 2.      Commendations
  - 3.      Complaints/Disciplinary Action
  - 4.      Equipment
  - 5.      Training
  - 6.      Evaluations
- D.      Dissemination of Personnel Information  
  
(See N.C. State Personnel Manual, Section 11, pages 1-4.)
- E.      Purging
  - 1.      Personnel History and Training records should be retained indefinitely.
  - 2.      Performance Management Work Plans and Appraisals should be retained for a minimum of three years and purged when administrative value ends.
  - 3.      Equipment records of current issue only should be in files.
  - 4.      Commendations should be retained indefinitely. Bureau personnel files should have copies of all letters of commendation.
  - 5.      Written warnings or other formal disciplinary actions may remain in the individual's personnel file for a period of eighteen months before removal. Removal of written warnings or other disciplinary action prior to eighteen months must have the approval of the appropriate Assistant Director.

#### **ADMINISTRATIVE COMMUNICATIONS AND FILING**

- A.      All communications to be retained must be filed in a manner to facilitate timely retrieval and updating.

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- B. Correspondence received from Bureau administrative personnel should be filed chronologically in individual file folders identified by the name of the contributor.
- C. Correspondence from the Special Agent in Charge or Supervisor should be grouped in folders according to Bureau administrative personnel by name, intra-district, inter-district, non-Bureau, and miscellaneous, and filed in chronological order.
- D. All other correspondence should be filed alphabetically by subject and in chronological order, with the most recent correspondence in the rear.
- E. Administrative files should be retained for a period of one year and destroyed unless the subject matter is of timely importance.

**RETAINED EVIDENCE FILE**

- A. A separate file folder will be prepared and maintained for each Agent retaining evidence in cases which are otherwise closed.
- B. The file should contain the white copy of the 69-A indicating evidence is being retained in a closed case.

**INTELLIGENCE AND TECHNICAL SERVICES SECTION REPORTS**

- A. Intelligence reports should be maintained in an expanding folder, filed numerically or chronologically if an Intelligence and Technical Services Section number is not affixed.
- B. A folder should be maintained for each calendar year.
- C. An updated report during the year may be attached to the original report and filed.
- D. These files should be purged according to the Records Retention and Disposition Schedule.

**REMINDER FILE**

- A. Each District/Section/Unit Office shall maintain a file which will constitute an alert system to monitor deadlines of scheduled reports or actions.

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- B.      The file will be reviewed each workday for compliance with prior directions. Non-compliance should be brought to the attention of the Special Agent in Charge or Supervisor.

**VACANT POSITION NOTICES**

- 1.      The Department of Justice Personnel Division maintains a web site at <http://webs.jus.state.nc.us/doj/hr/> in which all vacant Department of Justice positions are listed.
- 2.      Each Assistant Director will develop a plan for his or her division in which the web site is accessed daily for vacant position notices in the SBI. Vacancies for an employee position which could mean a promotion for an employee within their division shall be made available to all affected employees in a timely manner.
- 3.      Unless notified by E-Mail, the name of each employee affected by the notice will be noted on the file copy of the notice, which will be date stamped when printed from the web site, and will reflect the date and time each was personally contacted. The copy will be filed for a period of one year.
- D.      All Vacant Position Notices, including E-Mail, shall be date-stamped when received at the District/Section/Unit Office.
- E.      All Vacancies for positions shall be posted on E-Mail and or posted on the District/Section/Unit Office bulletin board until date of expiration and then filed for one year.
- F.      Vacant position notices as well as reassignment opportunities shall be made available to all personnel in a timely manner. A sample NOTIFICATION OF CAREER OPPORTUNITY is included in the Appendix.

**VACANCIES/PROMOTIONS/TRANSFERS**

- A.      Vacancies for an employee position which could mean a promotion for an within a District/Section/Unit shall be

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made available in the manner described in Vacant Position Notices above.

- B. The name of each employee affected by the notice will be listed on the file copy of the notice and will reflect the date-time each was personally contacted. The file copy will be date stamped when received by the District/Section/Unit and will be filed for a period of one year.
- C. Following initial assignment or transfer of duty station, sworn agents are to remain for a period of three (3) years before requesting transfer. Exceptions will be at the discretion of the Director.

**PROMOTION PROCESS FOR VACANT POSITIONS**

The SBI is committed to the development of its personnel and will give qualified current-employees first consideration in the filling of vacant positions. The steps of the promotion process for vacant positions within the SBI are described herein for the information of all employees.

- A. Determination of Continuing Need- The first step to be taken when a vacancy occurs is to evaluate the position and the need for the position where it is, against other organizational needs. When location is decided, the duties of the position will be reviewed. A position description and work plan will be made current.
- B. Verification of the Requirements for Applicants- The posting should be reviewed so it can be modified if necessary. "Preferred requirements" for the positions can be added. Accuracy of the posting will help applicants in evaluating their skills against the needs and minimum requirements of the position.
- C. Posting or Vacancy Announcement- All vacant positions will be posted.
- D. Applicant File Review- Applications will be received by Justice Personnel and reviewed to assure that each individual applying for consideration meets the minimum requirements for the position. The applicant documentation of qualified applicants will be provided to the Assistant Director for Administrative Services, and assigned to the appropriate Assistant Director.
- E. Review Process of Applicants- The purpose of the process is to evaluate applicants and identify their strengths and weaknesses in comparison to the responsibilities of the

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position. The promotional process will include an interview of each qualified applicant for the position by a process and review board approved by the Director.

- F. Recommendation for Further Consideration- The findings of the review board process will be reported to the Director. All applicant files are returned to Assistant Director for Administrative Services. The Dissemination Log is completed and returned to the Assistant Director for Administrative Services.
- G. Director's Review- The Director makes a review of the findings of the review board and other appropriate materials concerning the applicants for the position. The Director incorporates the recommendations of the review process, the personnel files of employees, and other pertinent information in his review. The Director, at his or her discretion, may employ additional means (e.g., personal interviews) in his review of the applicants.
- H. Polygraph and/or Medical and Psychological Testing- In the event an applicant selected for promotion is moving from a non-sworn to a sworn position (including non-sworn sensitive positions) additional evaluations of the individual will be made including polygraph, medical, and psychological testing (polygraph only for non-sworn sensitive positions).
- I. Promotion Decision- The Director will make the promotion decision. The salary and employment details will be coordinated with Justice Personnel and the appropriate Assistant Director by the Assistant Director for Administrative Services. The Dissemination Log will be completed and filed with the Personnel Director, Department of Justice.
- J. Notification of Applicants- Each individual applying for promotion within the SBI will be notified of the decision affecting that position. The Director will notify the individual selected for the position of his or her decision by memorandum. The Assistant Director supervising the position will be notified of the decision of the Director and will notify all other applicants for the position of the decision of the Director.
- K. Records- Records and promotional materials created for the promotional process will be returned and securely maintained by the Assistant Director for Administrative Services. Any nonessential materials or records to be destroyed must be shredded.

**SPECIAL AGENT RECRUITMENT PROGRAM**

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The purpose of the Special Agent Recruitment Program of the State Bureau of Investigation is to identify qualified individuals to be SBI agents and to further assist in increasing recruitment of minorities and under-represented groups. Portions of the program are ongoing, the result of requests for information or speaking engagements. Program recruiting activities are initiated by the Director when actual vacancies occur or potential vacancies are anticipated. The functions and activities of the Special Agent Recruitment Program are:

A.      Recruitment Committee

1.      Objectives: To increase the number of applicants for special agent positions, individuals who are of high moral character and integrity; and to increase the application for employment of women and other under-represented personnel.
2.      The committee will utilize, when possible, individuals fluent in the language of the community and sensitive to the cultural environment in which recruitment occurs.
3.      Duties:
  - a.      To oversee recruitment program
  2.      To prepare the Special Agent Recruitment Brochure
  3.      To oversee advertisement of special agent positions
  - d.      To provide a point of contact for applicant recommendations from SBI personnel
  4.      To coordinate SBI participation in college/university career day activities
  6.      To ensure SBI participants in recruitment activities are knowledgeable in personnel matters relating to equal employment opportunity
  7.      To encourage SBI special agents in recruitment within the law enforcement community and to solicit recommendations from civic organizations and community leaders
  8.      To prepare reports on recruitment activities for the Director

2.      SBI Special Agent Recruitment Brochure Contents

1.      Program Statement
2.      Policy
3.      Message from the Director



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4.    SBI History
5.    SBI Mission and Jurisdiction
6.    Candidate Qualification Requirements
7.    Academy Training for Special Agents
8.    SBI District Office Locations
9.    SBI Employment Benefits
10.   DOJ Equal Employment Opportunity Statement

3.    Recruitment Advertisements

When necessary, the SBI will advertise vacancies in newspapers. Advertisements may be placed in periodicals or organization publications if necessary to fill difficult positions, or those requiring specialized training or education. Newspapers in which SBI advertisements may be placed include but are not limited to: The Charlotte Observer, The Winston Salem Journal, The Durham Morning Herald, The Asheville Citizen Times, The Wilmington Morning Star, The Greensboro News and Record, and Raleigh The News and Observer.

4.    SBI Recruitment Poster

The committee is to keep the SBI Recruitment Poster current. The poster, which is used to promote special agent positions, is intended for use in newspaper and periodical advertisements and may be displayed at SBI functions.

E.    Equal Employment Opportunity Plan

Equal employment is a social, legal, and economic obligation involving all aspects of employment practices and policies. Implementation of equal employment is beneficial to state government, state employees, and to the state as a whole by affording full use of employee resources, skills and talents.

The purpose of an Equal Employment Opportunity (EEO) plan is to provide equal employment opportunities through a results-oriented program to which the Department of Justice and the SBI are strongly committed. The Department of Justice has an ongoing and active EEO plan and is an equal opportunity employer. The EEO plan is designed to provide a formal and effective implementation system to achieve full utilization of all employees, particularly female, minority, or other under-represented groups.

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Additional information and implementation guidelines may be obtained by referring to the EEO plan or by contacting the Equal Employment Opportunity Officer of the Department of Justice.

**SPECIAL AGENT SELECTION PROCESS**

**1.      Application**

Applications are submitted to the Department of Justice (DOJ) personnel director. Each application is reviewed to determine if the applicant meets the minimum qualifications for the position. The DOJ personnel director will send additional application material, including the DOJ Personal History Statement (DOJ F-3) and a Summary of the Selection Process for Special Agent to each qualified applicant. Applicants who fail to meet requirements will be notified by the personnel director that his or her application was placed in an inactive file.

**2.      Initial Application Review**

After consulting with the Director, the application review process will be initiated by the Assistant Director for Administrative Services who will request qualified applications from the DOJ personnel director. Under the supervision of the Assistant Director for Administrative Services, relevant application information in addition to that supplied by the DOJ personnel office, will be entered into a database that is maintained during the selection process. Applications are then sent to the appropriate assistant director for review and recommendation of appropriate applicants for an interview. Criteria used in this review will be established by the appropriate assistant director and approved by the Director. Inquiries regarding an applicant will be referred to the Assistant Director for Administrative Services.

**3.      Interview by Review Board**

A review board of sworn personnel selected by the appropriate assistant director, and approved by the Director, will interview selected applicants. The assistant director will designate a member of the review board as coordinator. The review board members will be trained in personnel topics including the Americans with Disabilities Act (ADA) guidelines. A sufficient number of review board members will be trained to ensure that the review board composition reflects, when feasible, the race, sex, and ethnic origin of the applicants. Review board questions will be approved by the appropriate

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assistant director, the Director, or his or her designee. The questions will be kept confidential and secured in the office of the assistant director. A rating system will be developed and consistently applied. The review board will furnish the appropriate assistant director with the ratings of applicants who appeared before the board. Inquiries regarding an applicant will be referred to the Assistant Director for Administrative Services.

4. Background Investigation

The appropriate assistant director will recommend applicants for background investigation to the Director. The Assistant Director for Administrative Services will request the background investigation and furnish the Special Agents in Charge with the appropriate biographical information. The background investigation will be conducted as set out in the SBI Background Investigation Criteria Manual. The completed background investigation will be forwarded to the Assistant Director for Administrative Services. Inquiries regarding an applicant will be referred to the Assistant Director for Administrative Services.

5. Fingerprinting/Criminal History Record Checks

Applicants selected for background investigation will be fingerprinted and the fingerprints submitted to the Identification Section for computerized criminal history (CCH) record checks. The results will be forwarded to the Assistant Director for Administrative Services to be included in the background investigation report.

F. Conditional Offer of Employment

The Assistant Director for Administrative Services will review background investigations and recommend applicants for a conditional offer of employment to the Director. The Director will determine which applicant is to be given a conditional offer of employment. The conditions are successful completion of a polygraph examination, psychological assessment, medical examination, and any other stated condition at the time of the offer.

7. Polygraph Examination

The Assistant Director for Administrative Services will schedule a polygraph examination for applicants accepting

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a conditional offer of employment. Examinations of applicants will be conducted by SBI polygraph examiners. The examination report will be forwarded to the Assistant Director for Administrative Services, who will review it with the Director. A negative score on the polygraph examination, alone, will not prevent an applicant from being employed.

8. Psychological Assessment

The Assistant Director for Administrative Services will schedule psychological assessments for applicants offered a conditional offer of employment. The SBI will select and pay for the assessment by a qualified professional. The results of the assessment will be forwarded to the Assistant Director for Administrative Services, who will inform the Director of the results.

I. Physical Examination

The Assistant Director for Administrative Services will schedule physical examinations for individuals offered a conditional offer of employment. The SBI will select and pay for the assessment by a licensed physician. The results of the examination will be forwarded to the Assistant Director for Administrative Services, who will advise the Director of the results.

5. Inquiries

Inquiries from applicants who have received conditional offers of employment will be referred to the Assistant Director for Administrative Services.

6. Confidentiality

Information concerning an applicant as a result of the polygraph examination, psychological assessment, or physical examination will not be divulged to anyone other than SBI management personnel on a need-to-know basis.

7. Director=s Review

During or at the conclusion of the selection process, the Assistant Director for Administrative Services will meet with the Director to provide information regarding

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applicants. If the Director discontinues consideration of an applicant, additional applicants will be processed. The Director makes final decisions regarding employment.

8.     Employment

The appropriate assistant director will contact each successful applicant and notify them of the hiring decision of the Director. A formal hiring letter is sent to each successful applicant. The Assistant Director for Administrative Services will send the applicant files for the new employees to the DOJ personnel director for completion of personnel record requirements.

9.     Records

Applicant pool information consisting of the applicant's name, race, and sex will be entered on the Selection Decision Log by the DOJ personnel office. Then the log and applications are sent to the Assistant Director for Administrative Services. A record of applicants selected for an interview will be created by the Assistant Director for Administrative Services to include the name, race, and sex, and the criteria used in the selection process. A record including the name, race, and sex of each applicant selected for background investigation will be created by the Assistant Director for Administrative Services. Before a conditional offer of employment is offered, the DOJ personnel office will review the application of the selectees and the Equal Employment Opportunity (EEO) Selection Decision Log to ensure that applicants have been afforded fair and equitable treatment. A record of applicants to whom conditional offers of employment are made will be created by the Assistant Director for Administrative Services to include name, race, and sex. A record, including name, race, and sex, will be created of all applicants= progress through the steps of the selection process: polygraph, psychological assessment and physical examination. A record of the name, race, and sex of applicants accepting employment will be created at the conclusion of the selection process. All of the above records will be securely maintained by the Assistant Director for Administrative Services. Any nonessential materials or records to be disposed of must be shredded. All applicant files will be returned to the Assistant Director for Administrative Services at the conclusion of

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the selection process. The applicants who were interviewed but not selected for employment will be advised of the hiring decision by the appropriate assistant director. All applicants not selected for employment will be advised by the DOJ personnel director within thirty days of the conclusion of the selection process. Applicants not selected for employment will be advised by the DOJ personnel director that he or she may apply and be considered during the next selection process by contacting the DOJ personnel office.

10. Agent Selection Process Guidelines

During the selection, all procedures including application screening criteria, review board questions, and examination evaluations will be administered, scored, evaluated, and interpreted in a uniform manner. Selections for special agent positions will be made without regard to race, sex, religion, or national origin.

11. Annual Review

At the conclusion of each selection process, or at least annually, the appropriate assistant directors will meet to evaluate the selection process and recommend improvements. A report of this evaluation will be sent to the Director. Changes made by the Director will be sent to the appropriate assistant directors and also forwarded to the accreditation manager. If no changes are made, a copy of the assistant directors' review will be forwarded to the accreditation manager.

**PERFORMANCE EVALUATIONS FOR PROBATIONARY EMPLOYEES**

- A. Individuals receiving original appointments to permanent positions must serve a probationary period. This period is an essential extension of the selection process, and provides the time for effective adjustment of the new employee or elimination of those whose performance will not meet acceptable standards.
- B. The duration period of a probationary appointment for non-sworn personnel shall not be less than three months nor more than nine months. The probation period for sworn personnel is one year.

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3. Throughout the probationary period of all newly appointed personnel, an evaluation of the employee=s work performance will be documented bimonthly in memorandum form. The written documentation should reflect a summary of the employee=s work performance to evaluate if the employee can do the required functions of the position.
4. The bimonthly work performance summary is conducted by the employee=s immediate Special Agent in Charge or Supervisor and forwarded to the appropriate Assistant Director.
5. The bimonthly work performance summary is discontinued upon the formal end of the probationary status of the employee. After that, the work performance of the employee will be evaluated under the Performance Management Work Plan.

#### **BULLETIN BOARD**

- A. A bulletin board shall be placed within a controlled access area of the office not open to inspection by the general public.
- B. Information placed on the board should be of interest to Bureau personnel in general. All items should be worthy of the time normally required to read.
- C. Bulletin boards should be organized in a manner which will focus attention on all matters posted.

#### **DAILY REPORTS**

1. Each Field District Office should report by the Department of Justice e-mail system to the established Bureau Daily Report dissemination group all cases of interest opened since the previous Daily Report by 10:30 AM.
- B. The Daily Report should also include updates on previously reported cases if the action is of significance to the investigation.
- C. Daily Report information must be reported to the District/Section/Unit Office by no later than 9:00 AM each day in order to be transmitted to the established Bureau Daily Report dissemination group. Later information should be reported on the next day's Daily Report.

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- D.    A copy of Daily Reports transmitted or received should be maintained according to the Records Retention and Disposition Schedule.

**DISTRICT/SECTION/UNIT MAIL**

- A.    All posted mail and reports received by the District/Section/Unit Office will be opened, date-stamped, and disseminated by the clerical staff.
- B.    Non-posted mail (hand carried) will be date-stamped by the clerical staff when delivered to the office. All non-posted mail, especially reports, will be routed through the clerical staff.
- C.    Any mail or reports returned to employees for correction should be copied and the copy retained in the office until the correction is received.

**APPEARANCE AND CLEANLINESS**

Each Special Agent in Charge or Supervisor is responsible for insuring that each office, including individual offices, desks, cabinets, bookcases, and walls, be kept clean and neat and presents a professional appearance. The approval for display of personal items, including items hanging on the walls, shall be at the discretion of the Special Agent in Charge or Supervisor.

**TELEPHONE CREDIT CARD CALLS**

Employees= telephone credit card call records, when available, will be reviewed and initialed by the employee and reviewed by management personnel. A copy will be maintained in the District/Section/Unit Office for twelve months.

**DEPARTMENT OF JUSTICE IT TERMINAL RECORDS**

Maintenance of all Department of Justice IT records, reports, and printouts, will be consistent with the Records Retention and Disposition Schedule and policy or procedure relating to the IT records.

**BUREAU CORRESPONDENCE**

- A.    All letters written or received by a Bureau employee in the name of the State Bureau of Investigation will be considered Bureau correspondence.



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- B. Bureau employees receiving Bureau correspondence may draft the appropriate reply and submit the correspondence to the Special Agent in Charge or Supervisor. This reply will be typed on Bureau letterhead stationery in proper form. The employee will proof-read the final copy and sign his/her name before mailing.
- C. A copy of all Bureau correspondence originating from Bureau employees will be sent to the Special Agent in Charge or Supervisor for review and a copy will be maintained in the District/Section/Unit Office files in accordance with Bureau Records Retention and Disposition schedule.
- D. No employee will write any letter or otherwise communicate any recommendation or censure for any person, group, product, or item in the capacity of a Bureau representative and using the image and prestige of the Bureau, without the approval of the Director.

**RECORDING LEGAL PROCESS DOCUMENTS**

Information regarding each item of legal process, civil and/or criminal received for service by Bureau Agents is recorded in a Legal Process Log maintained in each District/Section/Unit Office if applicable. Legal Process Logs should be compiled on a calendar year basis and maintained for a period of not less than three years. A record on the execution or attempted service of legal process documents should also be maintained in the Legal Process Log. The following information should be documented and recorded in the Logs:

- A. Legal Process Information
  - 1. Case file number
  - 2. Case Agent
  - 3. Date and time received by Agent
  - 4. Type of Legal Process (civil or criminal)
  - 5. Nature of document
  - 6. Source of document

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7.    Name of plaintiff/complainant
  8.    Name of defendant/respondent
  9.    Agent assigned for service
  10.   Date of assignment
  11.   Court document number or docket identification number
  12.   Date service is due
- B.    Non-service Information
1.    Address/Location of attempted service
  2.    Date and time service was attempted
  3.    Name of Agent attempting service
  4.    Reason for non-service
- C.    Service/Execution Information
1.    Address/Location of service
  2.    Date and time served
  3.    Name of Agent completing service
  4.    Name of person served
  5.    Method of service

**ENTERING AND EXITING HEADQUARTERS COMPLEX**

- A.    Bureau employees entering or leaving the Bureau headquarters complex and Crime Laboratory complex at times other than normal working hours shall check in with the State Capitol Police. The State Capitol Police shall be notified where the employee will be located while on the complex and upon departure the State Capitol Police will be notified.
- B.    Normal working hours for employees for this purpose shall be defined as the hours of 6:30 AM to 7:00 PM, Monday through Friday, except holidays.

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**SECONDARY EMPLOYMENT**

- A. Employees of the Bureau will not engage in employment other than with the Bureau, or take an active part in the management, direction, or operation of any business, trade, or profession.
- B. Employees desiring an exception to paragraph A above, will submit a SBI-8 to their Special Agent in Charge or Supervisor who will indicate approved or disapproved and will forward the request to the appropriate Assistant Director for review. Final approval or denial of the request will be made by the Director.
- C. Unless there are extenuating circumstances satisfactory to the Director, Bureau employees will not engage in any secondary employment involving the following:
  - 1. Investigative work or any type of security service for any agency, firm, corporation, or individual for the purpose of personal benefit, or to avail themselves of any gratuity or discount in price, or to gain recognition or prestige not related to the performance of official duties;
  - 2. The collection of debts; or
  - 3. Any activity which in the judgment of the Director would present a conflict of interest.
- D. Approval will be denied where it appears the outside employment might:
  - 1. Render the employee unavailable for duty during an emergency;
  - 2. Require any special consideration be given to scheduling of employee's duty hours;
  - 3. Physically or mentally exhaust the employee to the point their performance as a Bureau employee may be impaired; or
  - 4. Bring the Bureau into disrepute or reflect discredit upon the employee, or impair the operation and efficiency of the Bureau or employee.

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- E. In the event a significant change occurs in an approved secondary employment or financial interest, the employee will submit a written statement to the Director setting forth the new circumstances in order for approval to continue.
- F. No employee shall engage in secondary employment or financial interest while on duty. No Bureau equipment, to include but not limited to vehicles, weapons, credentials, cameras, typewriters, laboratory equipment, electronic equipment, electrical equipment, duplicators, copiers, or any recording devices, shall be used, in any matter, while engaging in secondary employment. No supplies purchased by the State or any utility paid for by the State will be used, in any matter, while engaging in secondary employment.
- G. No employee shall solicit business from any person, business, or organization if it may reasonably be inferred that the person, business, or occupation feels compelled to do business with the employee because of his/her position with the Bureau.

**INDIVIDUAL'S "RIGHT TO REVIEW"**

- A. An individual may obtain a copy of his or her own criminal history record by submitting a written request to the North Carolina State Bureau of Investigation, Identification Section, P.O. Box 29500, Raleigh, North Carolina 27626-0500. The written request must be accompanied by a certified check or money order in the amount of fourteen dollars (\$14.00) payable to the North Carolina Department of Justice, and must contain proof of identity to include:
  - 1. Complete name and address;
  - 2. Race;
  - 3. Sex;
  - 4. Date of birth;
  - 5. Social Security number, and
  - 6. A set of rolled-inked fingerprint impressions.

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This procedure guarantees positive identification and insures that the individual receives a copy of his or her own record as currently maintained in the SBI Identification File including CCH and AFIS.

- B. The accuracy and completeness of an individual's record may be challenged by submitting the written exceptions form available from the Division of Criminal Information.
- C. Upon receipt of the written exceptions form, the Identification Section Supervisor shall initiate an internal record audit of the challenger's record to determine its accuracy. If any inaccuracies or omissions are discovered, the Identification Section will make appropriate additions, deletions or alterations to the record. Notice of any changes made will be given to the challenger, and to any agency to which the inaccurate or incomplete information has been disseminated. The challenger shall be informed in writing of the results of the audit.
- D. If the audit fails to disclose any inaccuracies, or if the challenger wishes to contest the results of the audit, they are entitled to an administrative hearing pursuant to General Statute 150B-23.

**MEDIA RELATIONS**

- A. The responsibility for the Bureau's public information function, which includes news releases and interaction with the media, will reside with the Director. In the Director's absence, the appropriate Assistant Director will act as the Bureau's public information officer. When deemed appropriate, news releases and interaction with the media will be coordinated with the Public Information Officer of the Department of Justice.
- B. Direct contact with the media will be limited to individuals with the rank of Special Agent in Charge or Supervisor or above. Exceptions will be at the discretion of the appropriate Special Agent in Charge or Supervisor. Special Agents in Charge or Supervisors may make news releases or respond to media inquiries concerning routine matters within their area of responsibility. They should also routinely submit news releases for entry onto the SBI Web site. News releases or media inquiries concerning sensitive cases or cases in which there has been an

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intense media interest, should be coordinated through the appropriate Assistant Director and the Director.

- C. Except with the prior approval of the Director or designee no Bureau Agent may participate in an enforcement action, whether solely a Bureau case or one in which the Bureau is assisting another agency, involving an entry onto private property or premises in which the media is allowed to enter the property or premises at the scene of the enforcement action.
- D. At the scene of investigations involving Bureau personnel, the Special Agent in Charge, or designee, may determine the need for updated releases in order to provide media access to information and to minimize disruption to the investigative activity.
- E. Provided the release of information will not prevent a fair trial or hinder the investigation or violate the rights of a suspect or victim, releases to the media may include:
  - 1. Type of crime;
  - 2. Location;
  - 3. Identity of victim (if appropriate);
  - 4. Identity of departments/agencies involved in investigation;
  - 5. How the Bureau entered the investigation;
  - 6. Status of the investigation;
  - 7. When arrests are reported, information provided may include:
    - a. Name, Age, Race, Sex, DOB;
    - b. Address; and
    - c. Charge (wording of warrant or indictment).
- F. The release of information to the media regarding investigations conducted by the Bureau at the request of

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another law enforcement agency, or other authority, will be coordinated with the requesting agency.

- G. Media access to fire, natural disaster, or other catastrophic event scenes shall be controlled by the local agency with jurisdiction in which the event occurs. Representatives of the media should not be in a position to interfere with law enforcement operations and should always be positioned outside the established perimeter of the crime scene. Agents may assist the local official in charge in establishing an observation point from which media personnel may observe and/or photograph proceedings, provided the point of observation does not expose the media representative(s) to any obvious condition that might endanger their health or safety.
- H. In the event a Bureau Agent is the first to arrive on a scene or the Bureau has assumed control of the scene, media access to the scene shall be determined by the Agent in charge of the scene. This Agent shall designate a perimeter and convey this information to media arriving on the scene.

#### **TRAINING REQUESTS**

- A. Personnel will complete the appropriate portion of the Authorization for Training, Form SBI-88, as the initial step in the process to attend approved training.
- B. The request for Authorization for Training will include a copy of the employee's training record as well as a description of the requested training, and a Budget Authorization.
- C. Training requests must have the approval of the Special Agent in Charge or Supervisor before being forwarded for approval by the appropriate Assistant Director.
- D. Following completion of the training, Section 5 of the Authorization for Training, Form SBI-88, will be completed and returned to the appropriate Assistant Director. Once signed, the Assistant Director will forward the SBI-88 to training for entry into the transcript system.

#### **REQUESTS FOR INFORMATIONAL TALKS**

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Requests for informational talks at elementary, middle, and high schools, civic organizations, and other groups will be approved by the Special Agent in Charge or Supervisor. It will be the responsibility of the Special Agent in Charge or Supervisor to assure that anyone representing the Bureau does so in a competent professional manner and that honoring a particular request is in the best interest of the Bureau.

**SEPARATION OR TRANSFER OF EMPLOYEE**

- A. Separation is defined as: Separation of an employee due to retirement, resignation, disability, or dismissal. Disability refers to both short-term and long-term disability. Employee refers to both sworn and non-sworn employees. Agent refers only to sworn employees. Prior to an Agent=s or employee=s separation from Bureau employment, the Special Agent in Charge or his/her designee will insure that:
1. The employee turns in all assigned or issued Bureau equipment, credit cards, credentials, identification card, or other Bureau property including manuals;
  2. The Agent accounts for and returns all on-hand Special Funds;
  3. All case files are returned and open cases are promptly reassigned to another Agent according to CRMS procedure;
  4. All evidence in the custody of the Agent/Technician is accounted for and transferred to another District/Section/Unit Agent/Technician;
  5. All keys assigned to the employee are returned;
  6. All alarm codes or codes permitting entry into any office or evidence storage area are changed immediately and a record made of the changes indicating the date and time the changes were effective;
  7. The District/Section/Unit personnel file of the employee will be placed in a sealed container and mailed or delivered to the Department of Justice Personnel Director; and



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8. Activity summaries and other administrative records are purged according to the Records Retention and Disposition schedule.
  9. Separating Agents source of information files should be examined by the Special Agent in Charge and re-assigned to another Agent, placed in an inactive status, or terminated.
  10. Any issued fictitious operator license is returned to the Director upon separation from the Bureau.
- B. Transfer - Agents or employees transferring out of a District/Section/Unit, the Special Agent in Charge or Supervisor or designee will insure that:
1. The employee turns in all assigned or issued District/Section/Unit equipment or property; or
  2. Any equipment or property retained by the Agent, at the discretion of the Special Agent in Charge, is transferred to the responsibility of another District/Section/Unit Special Agent in Charge;
  3. All evidence in the custody of the Agent/Technician is accounted for and transferred to another District/Section/Unit Agent/Technician. If the case is pending court the Field Agent may, at the discretion of the Special Agent in Charge, retain custody of the evidence in an evidence locker located at the new duty station;
  4. All open cases are promptly reassigned to another District/Section/Unit Agent according to CRMS/Lab-LIMS procedure. If the case is pending court, and at the discretion of the Special Agent in Charge, the responsibility for the case may be retained by the transferring Field Agent;
  5. All keys assigned to the employee are returned and the individual access code(s) changed immediately;
  6. The District/Section/Unit personnel file of the employee is placed in a sealed container and delivered or mailed by the current Special Agent in Charge or Supervisor to the new Special Agent in Charge or Supervisor; and

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7. Activity Summaries and other administrative records are purged according to the Records Retention and Disposition schedule
8. The Special Agent in Charge and the transferring Agent will make a determination as to whether the transferring Agent will maintain control of established source(s) of information. If control is maintained by the transferring Agent, the source of information file will be transferred to the Special Agent in Charge of the new duty station and a copy maintained in the District/Section/Unit Office from which the source(s) of information was transferred. If the transferring Agent does not wish to maintain control of the source(s) of information, the Special Agent in Charge will re-assign the source(s) to another agent(s), place the source(s) in an inactive status, or terminate the source(s).

**OVERTIME**

- A. The payment of premium time and one-half rates in form of monetary compensation or time off is required for hours worked in excess of 40 within a week, with exception of those considered exempt as Executive, Administrative, or Professional employees (Refer to Section 4 of the State Personnel Manual). Overtime for sworn-agents of the SBI is calculated on a 28 day overtime cycle and premium time and one-half rates in form of monetary compensation or time off is required for hours worked in excess of 171 during each 28 day overtime cycle.
- B. It is the State=s policy to give time off in lieu of monetary compensation, wherever possible.
3. The Director, Assistant Directors, Special Agents in Charge, and Supervisors shall hold hours worked by employees to the State=s established standard work hours schedule except in those cases where excessive hours of work are necessary because of weather conditions, necessary seasonal activity or emergencies.
4. An employee shall be given compensatory time off on the basis of one and one-half times the amount of time worked beyond the standard work hours period. Compensatory time may be accumulated up to a maximum of 240 hours (160 or 171 hours straight time) and shall be taken within twelve

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months from the date the overtime is performed. If compensatory time off is not given by the end of the twelve month period, the overtime pay shall be included in the employee=s next regular paycheck.

5. An employee must have the permission of their supervisor prior to working overtime.

### SWORN AGENT OVERTIME CALCULATION

For each hourly pay rate:

Add up the number of leave hours taken.

Find that number in the left column of the report; the number of overtime hours that Add to the number of leave hours; 8 hours for each holiday in the cycle.

can be worked will be in the right columns.

NOTE: For each holiday in a cycle, 8 hours are counted toward the 171. These hours are paid at the straight time rate just like leave hours. All hours worked over 8 on a holiday are counted toward the 171 hours and are eligible for overtime pay at time and one-half rate.

Example:

During a pay cycle, Agent A has taken 8 hours leave and worked 12 hours on the holiday in that cycle. Agent A makes an hourly rate of \$15.00. The report would look like this:

Leave/ Hours Needed To Work To Make				
Holiday				
Hours	\$200	\$375	\$400	\$500
=====	=====	=====	=====	=====
0	179.9	187.7	188.8	193.2
13	171.2	179.0	180.1	184.5
14	170.3	178.3	179.5	183.9
15	169.3	177.7	178.8	183.2
16	168.3	177.0	178.1	182.5
17	167.3	176.3	177.5	181.9
18	166.3	175.7	176.8	181.2
19	165.3	175.0	176.1	180.5

Add the number of leave hours (8) to the number of holiday hours in that cycle (8). Look on the chart for 16 in the left column. The hours to the right are what that agent can work including hours over 8 on a holiday.

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AGENT OVERTIME PROJECTION REPORT

Overtime Projection Report (District)  
Cycle Beginning 010591 THRU 020191

Date: 020591

Name	Hrly Rate	HO HR	Leave Hours	Hours Worked	Additional Hours Needed To Work			Total Actual Hours Needed To Work		
					\$200	\$375	\$400	\$200	\$375	\$400
=====	==	==	====	=====	=====	=====	=====	=====	=====	=====
AAAAA	19.61	8		123.00	49.5	55.4	56.3	172.5	178.4	179.3
BBBBB	17.69	8		172.00	1.2	7.8	8.7	173.2	179.8	180.7
CCCCC	14.25	8		169.50	5.5	13.7	14.9	175.0	183.2	184.4
DDDDD	17.27	8	24.00	159.50	-8.9	1.2	2.7	150.6	160.7	162.2
EEEEE	15.24	8	24.00	112.50	39.6	51.1	52.7	152.1	163.6	165.2
FFFFF	12.89	8	185.00	-9.0	0.1	1.3	176.0	185.1	186.3	
GGGGG	13.71	8		172.00	3.4	11.9	13.1	175.4	183.9	185.1
HHHHH	14.35	8		183.00	-8.1	0.1	1.3	174.9	183.1	184.3
IIIII	14.59	8	35.00	142.00	-0.3	11.7	13.4	141.7	153.7	155.4
JJJJJ	15.32	8	8.00	125.00	43.1	51.6	52.7	168.1	176.6	177.7

The above report was run for the overtime period 010591 thru 020191. During that cycle, there was one holiday.

For each agent, 8 hours are credited toward the 171 hours for every holiday (see HO HR column for total holiday hours in a cycle). They will be paid straight time for those holiday hours just like they are paid for leave hours. All hours worked on a holiday over 8 will be included in the HOURS WORKED column and will be credited toward the 171 hours and be eligible for the time and one-half pay rate.

Examples from the above report:

Agent A: Has worked 123 hours which will count toward the 171 hours at the pay rate of time and one-half. These hours include regular hours worked and any hours worked over 8 on a holiday.

Eight hours for the holiday are added in whether they worked on the holiday or not. These hours will count toward the 171 hours but at a straight pay rate.

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The program looks to see if Employee A reported any hours worked on the holiday. If so, they would still receive 8 hours credit at the straight pay rate. Any hours worked over 8 would be added in to the HOURS WORKED column and would be eligible for time and one-half rate.

No leave hours to count.

To make \$375, they would have to work 178.4 hours at the time and one-half pay rate (see TOTAL ACTUAL HOURS NEEDED TO WORK column). The 8 holiday hours have been calculated in at the straight pay rate.

8 holiday at straight pay -  $8 \times 19.61 = 156.88$

$178.4 - 171 = 7.4$  hours at time and one-half rate (\$29.41)

$7.4 \times 29.41 = 217.63$

Total = 374.51

Since they have only worked 123 hours (HOURS WORKED column), they can work 55.4 additional hours to make \$375 (see ADDITIONAL HOURS NEEDED TO WORK column).

Agent D:      Has worked 159.50 hours (including any hours worked on the holiday over 8).

24 leave hours

8 holiday hours credited

To make \$375, they can only work 160.7 hours (leave and holiday hours taken into consideration).

Leave and holiday hours total 32. To account for 171 hours, 10.3 of these hours are added to the 160.7 hours worked. The remaining leave and holiday hours (21.7) are paid at straight time.

$32 - 10.3 = 21.7$  .....  $21.7 \times \$17.27 = \$374.76$

Since they have only worked 159.5 hours, they can work 1.2 additional hours before the \$375 target is reached.

Agent J:      Has worked 125 hours.

8 leave hours.

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8 holiday hours credited

To make \$375, they can work 176.6 hours.

Leave and holiday hours total 16

$$16 \times 15.32 \text{ (hourly rate)} = 245.12$$

$$176.6 \text{ hours} - 171 = 5.6$$

$$5.6 \times 22.98 \text{ (time and one-half)} = 128.69$$

$$\text{Total} = \$373.81$$

Since they have only worked 125 hours, they can work 51.6 additional hours before the \$375 target is reached.

#### SBI SECTION OVERTIME REPORT

##### SBI Overtime Report

From 010591 To 020191

DCI

AGT		Total	Total	Total	Holiday
Num	Agent Name	HRS WRK	Leave	Comp LV	HRS Wrk
===	=====	=====	=====	=====	=====

TOTAL HRS WRK: All hours worked including hours worked over 8 on a holiday.

TOTAL LEAVE: Leave hours (Activity coded 200, 201, 203, and 299)

TOTAL COMP LV: Compensatory time taken (Activity code 202), not counted toward 171 hours.

HOLIDAY HRS WRK: Actual number of hours worked on holidays.

The above report is submitted to the Department of Justice Financial Services Division to calculate the number of hours that are to be paid at time and one-half and the number of hours that are to be paid straight time. Below are the steps taken by the Budget Overtime Calculation program to determine these hours:

1. Combined Hours are determined by adding Total Hours Worked, Total Leave Hours, and number of Regular Holiday

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hours (8 per holiday) contained in the overtime cycle. If the Combined Hours are less than 171, no overtime hours would be considered.

2. Hours subject to overtime pay (time and one-half) are then determined by subtracting 171 hours from Total Hours Worked. These hours may be adjusted when Straight Pay Hours are calculated.
3. Straight Pay overtime hours are calculated by the following way:
  1. If the Total Hours Worked are less than 171, Straight Pay hours equal Combined Hours minus 171. There would be no hours subject to Overtime Pay.
  2. If the Total Hours Worked are greater than 171 hours, Straight Pay Hours equal the Combined Hours minus the Total Hours Worked. Overtime Pay Hours would then be equal to the Total Hours Worked minus 171.

#### **FORMS**

The Supervisor of the Records Center will be responsible for coordinating the approval of all new Bureau forms, revisions, and deletions. A committee will be appointed to assist the Supervisor with these duties, and their responsibilities will be:

4. To review proposals received and listen to presentations for new or revised Bureau forms, deletions and changes in forms which may affect shared databases in the Bureau;
5. To establish priorities for the evaluation of submitted proposals for new or revised forms, deletions and/or changes in forms which may affect shared databases in the Bureau;
6. To review proposals for design, application requirements, and extracts for databases after each Bureau Division has had the opportunity to provide input on the proposals; and
7. To prepare a final recommendation for the Director on each proposal.

The committee will consist of the Supervisor of the Records Center who will act as Chair; the appropriate person from the Administrative Services Division appointed by the Assistant

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Director for Administrative Services Division; a representative from the Crime Laboratory Services Division appointed by the Assistant Director for the Crime Laboratory Services Division; a representative from the Support Services Division appointed by the Assistant Director for Support Services Division; and a representative from the Field Operations Division appointed by the Assistant Director for Field Operations Division.

Any employee interested in proposing a new or revised form or deletion will submit their proposal to the Supervisor of the Records Center who will bring the proposal before the committee for consideration. If the committee approves the proposal for consideration, it will establish the priority in which it will be evaluated. During the subsequent evaluation of a proposal, a copy of the proposal will be provided to each Assistant Director for review and input by their subordinate personnel. Upon the receipt of the input from the various divisions, the committee will review the proposals and subsequent input and prepare a recommendation for the Supervisor of the Records Center to submit to the Director.

Upon approval of the Director, the Supervisor of the Records Center will coordinate the implementation of any new or revised form or deletion, and insure that each is designated with an authority number and effective date. Forms, revisions and deletions not authorized by the Supervisor of the Records Center will not be utilized.

Each form should be treated as any application implementation to insure accuracy, document requirements for filing, routing for approval and in-box/out-box procedures.

Each form should be developed, evaluated and implemented with the following outline in mind:

1.    Identify The Form

1.    Who requires the form?
  1.    Division
  2.    District/Section/Unit
2.    Who fills it out?
3.    Who needs copies?
4.    What are the approval requirements?
5.    Is there data in the form that needs to be Adata-based?@
6.    Where is the database?
7.    What is the layout?



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8. Does the data require edits?
9. How will the data be captured for input?
2. Identify The Routing Requirements
  1. Who are the originators?
  2. Are there exceptions?
    1. External submissions
    2. Out of the Anetwork@
  3. Who approves? In what sequence?
  4. Final Destination
  5. Filing Requirements
3. Distribution
  1. How will forms be distributed?
  2. How will revisions be tracked?
  3. How will you distinguish between >forms?@
    1. Electronic only.
    2. Printed only.
    3. Some of both.

#### **MANAGEMENT OF INFORMATION SYSTEM AND CASE RECORDS REPORTS**

A significant amount of data is entered into the Case Records Management System (CRMS)

from a variety of investigative reports submitted by agents. Providing this information to Bureau staff is an essential part of making administrative decisions, as well as an investigative tool to agents and support personnel. The Supervisor of the Records Center is responsible for the formulation and design of CRMS reports. However, basic reports are available to employees with authorized access to CRMS as a system feature and a report may be created by the user as needed. Reports that require more detail or complex searches may be requested through the Supervisor of the Records Center.

The statistical information and data summaries contained in these reports facilitate the management of the Bureau=s budgetary process and will assist in determining manpower and other resource needs. System features include data field and full-text searches providing users a wide range of available reports.

The following reports are routine reports which are available to CRMS users as needed and to non-system users upon request.

- A. Dissemination

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Print Schedule and Dissemination unless specified otherwise:

1. CRMS users may print reports as needed. Non-CRMS users must request reports through the Supervisor of the Records Center

2. Written reports are not disseminated outside of the Bureau without the authorization from the Director or the appropriate Assistant Director.

B. SBI Case File Statistical Report

1. Source Documents: Identification and Disposition Reports.

2. Purpose: Provides statistical information pertaining to Bureau cases opened and closed.

3. Data Provided on this Report: Data will vary depending on the needs of the requester. Data fields generally included in case statistical reports relating to cases opened and closed will include variations of the following: Date Initiated, District in Charge, Case Agent Assigned, County, Crime Classification, Category, Requesting Agency, Type of Investigation, Case Status, and Disposition Date.

C. Case Management Reports

1. Source Document: Identification and Final Reports

2. Purpose: Management Review

3. Reports Include:

a. 180 Day Case Status Report

Data includes all pending and closed cases from a specified time for an individual agent.

b. Cases by Agent number

Data includes cases opened by an individual agent for a specific time period which have been entered into CRMS as of a certain date.

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- c.      Cases by Crime Class  
Data includes cases open by county during the specified time and sorted by crime classification.
- d.      Monthly Cases Opened/Closed  
Data includes cases opened and closed by the district during the specified time.
- e.      Cases Open Current Year  
Data includes a listing of all cases opened by the district during the specified calendar and fiscal year.
- f.      Case Distribution By County  
Data includes a listing of cases opened in the district, sorted by county for current fiscal and calendar year.
- g.      Active Cases By Type Of Case  
Data includes a listing of pending cases for the district sorted by type of crime for a specified period of time.

D.      Category Reports

- 1.      Source Document: Identification Reports and Indices
- 2.      Purpose: Inspections of district offices.
- 3.      Data Provided:
  - a.      Statewide Report - Cases opened by category and sorted by county.
  - b.      Time Percentage Report - Cases opened by Agent and sorted by major crime classification, and includes category and hours worked.
  - c.      Category Distribution By District - Sorted by major crime classification.
  - d.      Case Time Summary - Sorted by Investigative Activity Codes by individual case by date.

E.      Inspection Report

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1.      Source Document: Identification and Case Disposition Reports
2.      Purpose: Inspections of district offices.
3.      Data Provided:
  1.      Cases Opened and Closed that were initiated by the district during the specified time, includes Case Numbers, Date Initiated, Close Date, Crime Class, Case Status, Agent Name.
  2.      Pending Cases and Cases Closed by District Agent outside of assigned district, includes a listing of the cases an agent worked outside of the assigned district during the specified time.
  3.      Inactive Homicides by district, includes a listing of pending homicides.
4.      Dissemination: Special Agent in Charge of Professional Standards.