

# **NORTH CAROLINA STATE BUREAU OF INVESTIGATION**



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## **REPORT WRITING MANUAL**

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**SUBJECT: INTRODUCTION**

## **INTRODUCTION**

The State Bureau of Investigation's investigative reputation is based on the quality of its investigations and the quality of its investigative reports. Conducting an investigation and reporting an investigation are of equal importance.

It is essential for a Field Agent to report the investigation that he/she conducts and the findings of the investigation.

The *Investigative Report Writing Manual* is intended to set forth guidelines for reporting investigative activity that is conducted by Bureau Agents.

No investigation is properly conducted unless it is properly reported. The best criminal investigator in the Bureau is no better than the report he/she writes, for the end product of all investigations is a written report on the findings.

Reports are final official documents prepared by SBI personnel based on notes created during the investigative process.

Investigative reports as referred to in this section shall include all interviews, attachments, case identification reports, supplemental reports, final reports, physical evidence transfer receipts (SBI-69), memoranda, and other forms and documents related and pertaining to the investigation. (See Section 11 for a list of SBI investigative forms.)

The purposes of an investigative report are:

1. To communicate the findings of an investigation to a prosecutor for use in determining if prosecution is warranted and/or for use in the trial of a defendant(s).
2. To comply with discovery requirements.
3. To communicate the findings of an investigation to another authority such as the Governor, Attorney General, a judge, or certain regulatory bodies for which the Bureau is authorized to conduct investigations.

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4. To allow review of the investigative activity that has been conducted for the purpose of identifying and developing additional leads.
5. To provide pre-trial and trial review material before and during testimony.
6. To permit review by supervisory personnel for the purpose of offering investigative suggestions, determining if the investigation has been properly conducted, and critiquing and evaluating an Agent's progress and work.
7. To provide a permanent record of information obtained during an investigation.

Accuracy is essential in investigative report writing. When conducting an investigation, an Agent is a fact finder and when preparing an investigative report, an Agent is a fact reporter.

An investigative report will not state an Agent's personal opinion.

An investigative report will not state recommendations.

An investigative report will not state an Agent's personal conclusion.

An investigative report will report facts.

An investigative report will be thorough, complete, timely, and objective.

Hearsay information regarding matters or events will be reported as "hearsay" and treated as such.

Viable leads should be developed and investigated, and negative results from leads should also be indicated.

Clarity must be maintained to assure the report will convey precisely the meaning to the reader.

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1. Simplicity is a keynote to clarity.
2. Simple standard English should be used whenever possible.
3. Local expressions or technical or trade names should be explained if they will not be clear to the end reader or word processor.
4. The use of slang should be avoided except when quoting.
5. The report should be developed logically.

Although reports must be accurate, thorough, and complete, they should be as brief as possible; however, thoroughness, completeness, and accuracy should not be sacrificed for brevity. There should be no conflict between completeness, thoroughness, accuracy, and brevity; when a doubt exists, the inclusion of material should be favored over exclusion. Verbiage or unnecessary explanation should be eliminated.

Discriminate between investigative leads and investigative techniques. Leads should be reported since they assist clarity; techniques are not pertinent to clarity.

An incomplete investigative report could be embarrassing to an Agent and/or to the Bureau. It could result in some incorrect action being taken against someone.

Completeness plays a vital role in reports. The investigative report should reflect the following: **Who, What, Where, When, Why, and How; refer to Section 5.**

The Case Agent will have a good understanding of a case; what happened, what the crime scene looked like, and what was developed during the course of the investigation. The prosecutor or other reviewer of the report must rely on the quality of the report to acquire the same understanding.

The guidelines set forth in the *Investigative Report Writing Manual* provide the steps for efficient investigative reporting.

Any addition, deletion, or revision of the *Investigative Report Writing Manual* will be made through the Case Records Management Section (Records Center) as designated by

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the Director. The Records Center will be responsible for preparing it in manual format style and submitting it to the Director or his/her designee for approval. Upon approval, any changes will be printed and issued by the Records Center.

Administrative responsibilities of the Records Center fall under the authority of the Assistant Director of the Professional Standards Division. The Records Center provides support in a number of facets to Bureau field personnel. The Records Center provides support to Bureau operations by transcribing, proofing, and assembling investigative reports submitted to the Records Center by Bureau Agents.

The Records Center is responsible for entering and updating investigative information in the Case Records Management System (CRMS). Setting up and maintaining the master file of each investigative case is also assigned to the Records Center.

The strict, self-imposed quality control standards of the Records Center ensure the integrity and validity of processed investigative reports, and Case Records Management System (CRMS) database, and the investigative files.

The Records Center disseminates investigative reports to the appropriate personnel. Assistance is provided by the Records Center to Agents relating to investigative reporting and retrieval of information, which includes full-text searches.

The Records Center Supervisor is responsible for coordinating the implementation of any new or revised Bureau forms. Form revisions and deletions not authorized by the Records Center Supervisor will not be utilized. The Records Center is also responsible for maintaining the SBI case file and drug statistics, and the Bureau Retention Schedule.

## **REVISIONS**

A memorandum will accompany each group of revisions providing detailed instruction of pages to be removed and inserted into the manual. Manual owners are to promptly update their manual, initial and date the instruction memorandum, and file it in the back of their manual. This procedure will indicate the status of the manual.

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**INTRODUCTION**

**EXCEPTIONAL INVESTIGATIVE REPORT WRITER'S GOLDEN RULE**

*I will take thorough notes when conducting each investigation, prepare them in a timely manner, and prepare each report in a thorough, well organized manner so as to address all the facts and leave no question unanswered.*





# Section 1

## LEGAL ISSUES

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department, a company police agency commissioned by the Attorney General pursuant to G.S. 74E-1, et seq., and any State or local agency, force, department, or unit responsible for investigating, preventing, or solving violations of the law.

- (d) 'Violations of the law' means crimes and offenses that are prosecutable in the criminal courts in this State or the United States and infractions as defined in G.S. 14-3.1.
  - (e) 'Complaining witness' means an alleged victim or other person who reports a violation or apparent violation of the law to a public law enforcement agency.
3. Notwithstanding the provisions of this section, and unless otherwise prohibited by law, the following information shall be public records within the meaning of G.S. 132-1.
- (a) The time, date, location, and nature of a violation or apparent violation of the law reported to a public law enforcement agency.
  - (b) The name, sex, age, address, employment, and alleged violation of law of a person arrested, charged, or indicted.
  - (c) The circumstances surrounding an arrest, including the time and place of the arrest, whether the arrest involved resistance, possession or use of weapons, or pursuit, and a description of any items seized in connection with the arrest.
  - (d) The contents of '911' and other emergency telephone calls received by or on behalf of public law enforcement agencies, except for such contents that reveal the name, address, telephone number, or other information that may identify the caller, victim, or witness.

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- (e) The contents of communications between or among employees of public law enforcement agencies that are broadcast over the public airwaves.
  - (f) The name, sex, age, and address of a complaining witness.
4. A public law enforcement agency shall temporarily withhold the name or address of a complaining witness if release of the information is reasonably likely to pose a threat to the mental health, physical health, or personal safety of the complaining witness or materially compromise a continuing or future criminal investigation of criminal intelligence operation. Information temporarily withheld under this subsection shall be made available for release to the public in accordance with G.S. 132-6 as soon as the circumstances that justify withholding it cease to exist. Any person denied access to information withheld under this subsection may apply to a court of competent jurisdiction for an order compelling disclosure of the information. In such action, the court shall balance the interests of the public in disclosure against the interests of the law enforcement agency and the alleged victim in withholding the information. Actions brought pursuant to this subsection shall be set down for immediate hearing, and subsequent proceedings in such actions shall be accorded priority by the trial and appellate courts.
5. If a public law enforcement agency believes that release of information that is a public record under subdivisions (c)(1) through (c)(5) of this section will jeopardize the right of the State to prosecute a defendant or the right of a defendant to receive a fair trial or will undermine an ongoing or future investigation, it may seek an order from a court of competent jurisdiction to prevent disclosure of the information. In such action, the law enforcement agency shall have the burden of showing by a preponderance of the evidence that disclosure of the information in question will jeopardize the right of the State to prosecute a defendant or the right of a defendant to receive a fair trial or will undermine an ongoing or future investigation. Actions brought pursuant to this

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subsection shall be set down for immediate hearing, and subsequent proceedings in such actions shall be accorded priority by the trial and appellate courts.

6. A public law enforcement agency shall temporarily withhold the name or address of an enforcement agency to prohibit or prevent another public agency having custody of a public record from permitting the inspection, examination, or copying of such public record in compliance with G.S. 132-6. The use of a public record in connection with a criminal investigation or the gathering of criminal intelligence shall not affect its status as a public record.
7. Disclosure of records of criminal investigations and criminal intelligence information that have been transmitted to a District Attorney or other attorney authorized to prosecute a violation of law shall be governed by this section and Chapter 15A of the General Statutes.
8. Nothing in this section shall be construed as requiring law enforcement agencies to disclose the following:
  - (a) Information that would not be required to be disclosed under Chapter 15A of the General Statutes; or
  - (b) Information that is reasonably likely to identify a confidential informant.
9. Law enforcement agencies shall not be required to maintain any tape recordings of '911' or other communications for more than 30 days from the time of the call, unless a court of competent jurisdiction orders a portion sealed.
10. When information that is not a public record under the provisions of this section is deleted from a document, tape recording, or other record, the law enforcement agency shall make clear that a deletion has been made. Nothing in this subsection shall authorize the destruction of the original record.



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## **DISCOVERY**

- A.     Discovery is a legal procedure which requires the District Attorney and the defense attorneys to provide each other with certain information before trial. The types of information to be provided are identified by law. An investigating officer may not always be directly involved in the discovery process.
  
- B.     The investigating officer's role in the discovery process is to provide all available information to the District Attorney in a timely manner. This should be done through the investigative reporting process. If new information is received at a time that is crucial to the discovery process and therefore cannot be provided to the District Attorney in a timely manner for discovery purposes, then the information should be included in the investigative report.

## **EXCULPATORY INFORMATION**

- A.     Exculpatory evidence is evidence favorable to an accused. It includes not only evidence which tends to exonerate an accused, but also evidence which may diminish his culpability or mitigate punishment should he be convicted of a crime. It also includes impeachment evidence such as evidence that may undermine the credibility of a witness for the prosecution.
  
- B.     The duty to disclose exculpatory evidence by the prosecutor applies irrespective of whether or not there has been a request by the accused. Impeachment evidence as well as exculpatory evidence must be disclosed to a defendant.
  
- C.     Non-disclosure of evidence favorable to an accused by the State violates the discovery law irrespective of the good faith or bad faith of the investigator or prosecutor.
  
- D.     Law enforcement agencies and prosecutorial agencies may be ordered by a court to make their complete files available to a defendant. The term file includes the defendant's statements, the co-defendant's statements,



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witness statements, investigating officer's notes, results of tests and examinations, or any other matter of evidence obtained during the investigation of the offenses alleged to have been committed by the defendant. Oral statements shall be in written or recorded form. See, N.C.G.S. §15A-903.

- E. Once the State provides discovery, a continuing duty exists to disclose the existence of additional evidence. The prosecutor must be made aware of any such additional evidence immediately and written notification should be made as soon as possible. This continuing duty to disclose applies before, during, and after trial.
  
- F. Merely including exculpatory information in a written report may not be sufficient. An agent has a duty to specifically inform the prosecutor of exculpatory information if the agent has reason to believe the exculpatory information has not been provided or will not be provided by the prosecutor to the defendant.



# Section 2

## REPORTING STYLE AND NOTE TAKING

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## REPORTING STYLE

- A. An SBI-11A interview is a summary of pertinent statements made by the interviewee.
  - 1. Interviews should be paraphrased, written in the third person, and in the past tense.
  - 2. The Records Center personnel will make the necessary grammatical corrections without changing the meaning of the sentence.
  - 3. Verbatim statements will be transcribed as dictated.
- B. When an Agent refers to himself/herself in a report, the Agent will use SA and his/her initials and last name.

For Example: SA T. A. Jones contacted Mr. Edward Johnson on Wednesday, May 1, 2002, rather than I contacted Edward Johnson on Wednesday, May 1, 2002.
- C. Verbatim quotations may be used if deemed essential to the investigation and can be attributed to a specific source.
- D. Copies of written statements should be incorporated into the report as an attachment on a separate SBI-11A if they are legible. If not, the statement will be read into the report as a verbatim quotation of the statement and the source of the document will be identified.
  - 1. Transcripts may be incorporated into the report as an attachment.
  - 2. Transcripts may be summarized in the third person for clarity. The source will be identified.
  - 3. This may not be done in lieu of an interview, but can be done in addition to the interview.
  - 4. The Case Agent should retain the original document.

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- E.      Question and answer reporting should only be used if it is critical to the investigation that the report contains the precise wording used by two or more parties.
- F.      Recorded conversations will not be submitted for transcription without approval of the appropriate Assistant Director via the Agent's Special Agent In Charge. Recorded interviews and conversations can create unique problems. Conversations and interviews should be audio/video-recorded only under special circumstances. This refers to reporting practices; it does not restrict the recording of undercover transactions.
- G.      Sentences should not start with the words "stated" or "that."

**NOTE TAKING**

- A.      Notes are defined as any initial written documentation of investigative activity created as part of a criminal investigation. This would include, but not be limited to, initial documentation of crime scenes, interviews, surveillance, record searches, analytical notes regarding evidence or records examined or seized, or any other matter of evidence obtained during the investigation of the offense. Additionally, notes would include written documentation of investigative processes such as development of lead sheets and completion of pertinent forms utilized during the investigative process.
- B.      Documents not considered notes would include administrative forms, reports, etc., which serve to document quality assurance, dissemination, or anything other than a matter of evidence obtained during the investigation of the offense. (See Section 11 for a list of SBI investigative forms.)
- C.      There are various methods and procedures for note taking. Some Agents use complete sentences, some use key words and phrases, many use abbreviations. You as the interviewer should use the method that you are most comfortable with and meets your needs in report preparation.
- D.      Regardless of the method used, adequate time should be utilized to record organized notes in such a manner that the Agent can dictate directly from his/her notes without having to rewrite or write out what is to be dictated.

|                 |                    |
|-----------------|--------------------|
| <b>SUBJECT:</b> | <b>NOTE TAKING</b> |
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- E. Note taking during an interview requires preparation, organization of topics or questions, and control of the interview. An Agent has to be prepared for an interview and know what topics or questions need to be covered during the interview. The topics or questions need to be organized and in a logical or chronological manner. The interview has to be controlled in order to prevent rambling or jumping back and forth between topics. The Agent conducting the interview must have a thorough understanding of the interview objectives and the report objectives.
- F. It is important when taking notes to consider what the concern will be of the end reader of the report and to establish the reader's expectations. Attention should also be given to a logical order for content and an appropriate level of detail.
- G. In most cases, the most general statement belongs at the beginning of a paragraph followed by supporting details, such as examples, explanations, or comparisons. Brief paragraphs make reading easier and enhance the clarity of your ideas.
- H. For emphasis, a one-sentence paragraph states an idea forcefully.
- I. If possible, before recording an interview, the officer should listen to the interview subject's entire statement and use questions to bring out all pertinent information in detail while establishing the correct sequence of events.
- J. Whenever circumstances permit, the Agent should prepare a "finished product" interview during initial contact with the interview subject.
- K. If a "finished product" interview is not possible, notes in sufficient detail should be taken so that the interview can be properly written at a later time. This should be done within 24 hours.
- L. On some occasions it may not be possible or desirable to take any notes at the time of the interview. Under these circumstances, interview notes should be made as soon as possible after leaving the interview subject.

|                 |                    |
|-----------------|--------------------|
| <b>SUBJECT:</b> | <b>NOTE TAKING</b> |
|-----------------|--------------------|

- M. With the exception of quotes, statements made by interview subjects do not have to be recorded in the exact language used by the subject. The meaning of the statement as recorded must hold true to the meaning of the statement as given.
- N. If abbreviations are used, utilize common forms.
- O. Write legibly in dark ink.
- P. If two or more officers are present during an interview, only one officer should record the statement.
- Q. Upon the return of each SBI-11A, report of investigative activity, from the Records Center to the dictating Agent, the Agent is to review the report and compare it with the Agent's original notes to ensure the report is accurate.
- R. Prior to the complete prosecution report being delivered to the appropriate prosecutor, each Agent will provide a copy of all handwritten notes to prosecutors by attaching the notes in mass on an SBI-11A investigative report. Miscellaneous notes such as lead sheets and unproductive records such as DMV tag numbers will be attached to this catchall SBI-11A report.

At case closing, a copy of handwritten notes from all Agents must be dictated to the file in the SBI-11A format.

- S. In homicide cases, copies of investigative notes will be dictated and attached to an SBI-11A by the Agent taking the notes. The original investigative notes will then be sent to the Case Agent until the case is adjudicated. If the defendant is sentenced to death, the Case Agent will place all original notes in an envelope which will be labeled (using SBI-134), sealed, and then forwarded to the Records Center for inclusion in the master file.

If the defendant is not sentenced to death, then the original notes will be purged in accordance with the Records Retention Schedule.



**SUBJECT:**

**NOTE TAKING**

- T. If there are multiple defendants in a homicide case that has the potential to give rise to capital convictions, all original investigative notes will be sent to the Case Agent until all defendants in the case are adjudicated. If any defendant is sentenced to death, the Case Agent will place all original notes regarding every defendant in an envelope which will be labeled (using SBI-134), sealed, and forwarded to the Records Center.
- U. If any homicide case is placed in inactive status or otherwise closed without adjudication, the Case Agent will place original notes in an envelope which will be labeled, sealed, and then forwarded to the Records Center for inclusion in the master file. This includes LA crime scene cases, polygraph cases, and all other LA cases where any defendant has the potential of receiving a capital conviction.
- V. In all other cases, the Agent will retain the original notes with the Agent's case file until it is purged in accordance with the Records Retention Schedule. The Agent who originates the handwritten notes is responsible for dictating a copy of those notes on an SBI-11A to the case file.



# Section 3

## CASE FILE NUMBER AND CASE IDENTIFICATION

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# Section 3

## CASE FILE NUMBER AND CASE IDENTIFICATION

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**INVESTIGATIVE CASE NUMBERS**

- A.     An Investigative Case Number is comprised of the current year and the next sequential case number in the Case Records Management System (CRMS).
  
- B.     Upon initiating an investigation, the Agent must obtain a case number from the Case Records Management System (CRMS).
  - 1.     During normal business hours, an Agent may contact a district office for the next sequential number.
  
  - 2.     At any time, an Agent may obtain a case number by directly accessing the Case Records Management System (CRMS). In order to use this method, the Agent must be authorized to access the Case Records Management System (CRMS) and have a computer that has access to the Case Records Management System (CRMS). This authorization is obtained from the Supervisor of the Case Records Management Section.
  
  - 3.     After normal duty hours, if a number must be assigned prior to the beginning of the next workday and the Agent does not have access to the Case Records Management System (CRMS), the Agent should contact the DOJ/IT Help Desk for assistance.
  
- C.     When requesting a case number, the Agent must provide a brief description of the case to include district in charge, county, a crime classification, and the Agent number of the assigned Agent (limited to 100 characters, including spaces).

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**CASE IDENTIFICATION REPORT**

- A.    The Case Identification Report (Form SBI-10) should be completed and submitted to the Records Center using the Case Records Management System (CRMS) and provide a copy to the responsible Special Agent In Charge within 48 hours after initiation of a case.
  
- B.    An investigation into matters as the result of Original Jurisdiction should not be considered "initiated" until the necessary elements of a crime have been established or a suspicious act committed.
  
- C.    An investigation into matters resulting from a request for assistance should not be considered "initiated" until the Bureau actually begins to provide constructive assistance.

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                                  CASE IDENTIFICATION REPORTS**

**STANDARD CASE REPORT, SBI-10**

A.     INITIAL REPORT

The submission of the initial Case Identification Report will be submitted as follows:

1.     The Case Identification Report (Form SBI-10) should be completed and submitted to the Records Center using the Case Records Management System (CRMS) and provide a copy to the responsible Special Agent In Charge within 48 hours after initiation of a case. Agents will find this method very user friendly with pull down screens available for all of the required code entries.
2.     The Case Records Management Section will provide a copy of the SBI-10 to the Agent along with the cover sheet and synopsis for submission to the appropriate prosecutor.

B.     SUPPLEMENTAL REPORT

The Supplemental Report is a sequel to the Initial Case Report. The Initial Case Report must be submitted prior to the submission of a Supplemental Report. The Supplemental Report is used to provide additional information or to change previously submitted information. See Subsection titled "Supplemental Report."

C.     CASE NUMBER (Required Field)

D.     REQUESTING AGENCY (Required Field)

1.     The CRMS code for the department requesting assistance.
2.     For Out-of-State Requests, the requesting agency code is always "OS." See Requesting Agency Code Table, Section 4.

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E.     DATE OF OFFENSE (Required Field)

The date of offense should be entered mm/dd/yyyy, partial dates may be entered, i.e., 00/00/2002, 02/00/2002.

F.     TIME OF OFFENSE

Enter the time of the offense, i.e., 04:40 p.m.

G.     LOCATION OF OFFENSE

1.     The location of the offense should be entered, street address or other descriptive location.
2.     For Out-of-State Request, enter the name of the state of the requesting agency. Include the name of the city, if available.

H.     CITY

1.     Enter the city, town, or community, or nearest city, town, or community of the offense.
2.     For Out-of-State Request, enter the NC city, town, or community where the requested activity was performed.

I.     ZIP

Enter the zip code of the address of the offense.

J.     COUNTY (Required Field)

1.     Enter the county code in which the offense occurred.
2.     For Out-of-State Request, enter the code for the county in NC where the investigative activity will occur.

See County Code Table, Section 4



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K.     CAT - CATEGORY CODE (Required Field)

Type in the category according to the case management guidelines.

See Case Management Category Code Table, Section 4

L.     CAA - CURRENT AGENT ASSIGNED (Required Field)

Enter the Case Agent's identifying number.

M.     DIC - DISTRICT IN CHARGE (Required Field)

Enter the number of the district, unit, or office in which the offense occurred.

See District Code Table, Section 4

N.     OCA - ORIGINATING CASE AGENCY FILE NUMBER

Enter the local/or other agency case number.

O.     OPERATION

An operation name may be obtained from the supervisor of the Case Records Management System (CRMS). An operation name should be used to link a series of investigations such as a conspiracy case or OCDETF cases. An operation name should also be used to document the use of the SBI Special Response Team, the SBI Arson truck, the SBI Bomb truck, etc. A complete list of operation names is available in the Case Records Management System (CRMS).

P.     CRIME CLASS (Required Field, a minimal of one)

1.     A maximum of three crime classifications may be entered.

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                                  CASE IDENTIFICATION REPORTS**

2. Crime Classification may be added, changed, or deleted by utilization of a supplemental report or an SBI-19 (Defendant/Suspect Disposition and Closing Report.)

See Crime Classification Code Table, Section 4

Q. OTHER DATA, TOOLS, WEAPONS USED (Optional Field)

This field is to be utilized when this information is available.

R. VIN (Optional Field)

Enter the Vehicle Identification Number.

S. VEHICLE INFORMATION (Optional Field)

Enter the Vehicle Make, Model, Color, and Year.

T. LICENSE STATE (Optional Field)

See State Code Table, Section 4

U. LICENSE NUMBER (Optional Field)

Enter the vehicle license plate number

V. SYNOPSIS (Required Field)

1. Enter the name of the requesting agency, the name of the requesting officer, the name of the local case officer including his/her title, **the letters "LA" if this is an investigation in which the SBI is only providing limited investigative assistance**, followed by a summary of the facts and events surrounding the crime(s). The date and time the request was received should also be included.
2. The synopsis is **limited to 1000 characters**, including spaces. No continuation sheet is available.

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3. In marijuana eradication cases that are being closed on the SBI-10, Agents must report in the synopsis the number of plants seized and any other pertinent information regarding the seizure. The name, rank, and department of the officer taking custody of the seized marijuana, or the disposition of the seized marijuana **must be reported in the synopsis**. Please refer to Section 12, "Drug Investigations," for additional information concerning the required reporting documentation for these cases.
4. If a **federal** law enforcement agency is jointly involved with the SBI in any investigation from the onset, copies of all dictation will be disseminated to the federal agent, without submission of an SBI-104 or e-mail if the SBI Agent includes a sentence in the synopsis of the SBI-10 that states: "This investigation is being conducted with the (FBI, DEA, ATF, etc.) and SA (federal agent's name) is the assigned federal case agent."

W. NAME (Required Field, a minimal of one name record)

1. Enter the victim(s), and other type name(s) associated with the case. In marijuana eradication cases with no suspects or victims, to meet CRMS requirements, the Records Center will enter in the Name Field "Unknown City Marij"; Type Code "J"; Example: Unknown Waynesville Marij
2. Fields associated to the Name Record:
  - a. ALIASES, unlimited
  - b. ADDRESS, limited to 2 addresses per name
  - c. TYPE (Required Field)

See Type Code Table, Section 4

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d.        RACE

See Race Code Table, Section 4

e.        SEX

f.        DATE OF BIRTH

g.        RELATIONSHIP

Field should be completed when indexing the name of a suspect/defendant. **The relationship code should show the suspect/defendant's relationship to the primary victim.**

See Relationship Code Table, Section 4

h.        PROFESSION

See Profession Code Table, Section 4

i.        SOCIAL SECURITY NUMBER

j.        FINGERPRINT CHECK DIGIT NUMBER

k.        ARREST DATE

l.        MISCELLANEOUS NUMBER

Additional numbers which relate to an indexed individual that the Agent desires to have indexed.

m.       OTHER DESCRIPTIVE DATA

Additional information which relates to an indexed individual that the Agent desires to have indexed.

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n.        INDICES

A method of reporting additional or amended information related to a Name Record and other fields relating to the Name Record on a Case Identification Report.

See Subsection Supplemental Report

X.        MARIJUANA ERADICATION

For marijuana eradication cases, check the block marked Closed C06 only if the case meets the criteria for being closed on an SBI-10. If the case does not meet this criteria, check the block marked investigative report to follow.

Y.        NAME CONTINUATION SHEET

1.        Mark the appropriate block; Yes, No.
2.        Additional names may be submitted on an SBI-10A.

Z.        DATE INITIATED (Required Field)

Enter the date the investigation was actually initiated.

AA.      SPECIAL AGENT

The initiating Agent's name must be typed and signed.

See Form SBI-10

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**NAME CONTINUATION SHEET, SBI-10A**

A.    The Case Identification Name Continuation sheet for the Case Identification Report provides additional space to continue the names of the victims and others associated with the case.

1.    A copy, if used, should be attached to each copy of the Case Identification Report.
2.    The SBI-10A may be used along with an initial Case Identification Report or used as a Supplemental Report.

B.    INITIAL REPORT

The submission of an SBI-10A with the initial Case Identification Report.

C.    SUPPLEMENTAL REPORT

This is the submission of a succeeding SBI-10A. When utilizing as a supplemental report, the victim/suspect, the submission date of the supplemental report, and the case number must be included.

See Subsection titled "Supplemental Report."

D.    NAME

1.    Enter victim(s), and other type name(s) associated with the case
2.    Fields associated to the Name Record
  - a.    ALIASES, unlimited
  - b.    ADDRESS, limited to 2 addresses per name
  - c.    TYPE (See Type Code Table, Section 4)
  - d.    RACE (See Race Code Table, Section 4)

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e.     SEX

f.     DATE OF BIRTH

g.     RELATIONSHIP

Field should be completed when indexing the name of a suspect/defendant. The relationship code should show the suspect/defendant's relationship to the primary victim.

See Relationship Code Table, Section 4

h.     PROFESSION

See Profession Code Table, Section 4

i.     SOCIAL SECURITY NUMBER

j.     FINGERPRINT CHECK DIGIT NUMBER

k.     ARREST DATE

l.     MISCELLANEOUS NUMBER

Additional numbers which relate to an indexed individual that the Agent desires to have indexed.

m.     OTHER DESCRIPTIVE DATA

Additional information that relates to an indexed individual that the Agent desires to have indexed.

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n.        INDICES

A method of reporting additional or amended information related to a Name Record and other fields relating to the Name Record on a Case Identification Report.

See Subsection "Supplemental Report"

E.        INVESTIGATIVE ACTIVITY RECORD

Activity Description

These fields are reserved for reporting polygraph activity by a polygraph operator. For detailed information, refer to section titled "Polygraph Reports."



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**SUPPLEMENTAL REPORT**

- A.     The Supplemental Report is a sequel to the Case Identification Report. The Case Identification Report must be submitted before a Supplemental Report can be utilized.
  
- B.     The purpose of the Supplemental Report is to provide additional information under the following circumstances:
  - 1.     Change information submitted on a Case Identification Report.
  - 2.     Change information on a previously submitted Supplemental Report.
  - 3.     New information needs to be submitted as required by Case Records Management System (CRMS).
  - 4.     Indices information on victims, suspects, witnesses, subjects, and other listings under Type Codes located in the Case Identification Code Tables of the Case Identification Report.
  
- C.     The Supplemental Report can be submitted as often as needed. It should be:
  - 1.     Typed.
  - 2.     Prepared in duplicate - original to Records Center and copy to Case Agent. An updated Case Identification Report is available to the District Office through CRMS.
  
- D.     Basic information that must appear on every Supplemental Report consists of:
  - 1.     Designation of the form as a Supplemental Report by marking the appropriate block in the upper left corner of the form.

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2. Identifying the primary victim/suspect by name in the shaded area in the center top of the form.
  3. Listing the date in the shaded area at the upper right corner. This should be the date that the Supplemental Report is submitted.
  4. The case number in the designated field on the top left side of the form.
- E. General guidelines for use of the Supplemental Report to change previously submitted information or to submit new information:
1. The Case Number listed on the initial Case Identification Report cannot be changed utilizing a Supplemental Report.
  2. Any other information reported on the initial Case Identification Report can be changed by use of a Supplemental Report.
  3. New information that was not reported on the initial Case Identification Report must be submitted on a Supplemental Report.
  4. Incorrect information reported on a Supplemental Report can be corrected by submission of another Supplemental Report.
    - a. Enter the information to be corrected in the appropriate field(s).
    - b. To update a crime classification, restate previously reported correct classification(s) as well as the new code(s). Previously submitted classifications will be deleted to reflect the latest submission.
  5. Synopsis information can be changed by use of a Supplemental Report. The Synopsis field is limited to 1000 characters, including spaces.

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6. Supplemental Report can be utilized for multiple purposes in that new information, a change of information, or indices information may be submitted on one form.
  7. The Date Initiated field on the bottom right of the form is not used when submitting a Supplemental Report.
  8. The Agent name should be typed in the field located on the lower left side of the form. A signature is not required.
- F. General guidelines for use of the Supplemental Report as an Indices:
1. Indices information on victims, suspects, witnesses, subjects, and other listings under Type Codes located in the code tables of the Case Identification Report is submitted on a Supplemental Report through use of the NAME/ADDRESS block and three adjacent blocks which are located on the right of each NAME/ADDRESS block.
  2. The required basic information as previously described under paragraph D must appear at the top of the form.
  3. The name field located in the NAME/ADDRESS block must always be filled in to identify the person for whom indices information is being submitted. Other correct information that has been previously submitted does not have to be repeated when new or corrected indices information is submitted.
  4. The indices field located in the second block adjacent to the NAME/ADDRESS block must always contain one of the three indices codes found in the code tables of the Case Identification Report.  
  
See "G," Indices Code, Section 4
  5. Victims, suspects, witnesses, subjects, and other listings under Type Codes located in the code tables of the Case Identification Report are no longer eliminated once indexed. Instead, type codes found

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in the code tables of the Case Identification Report are used to change the status of an indexed name.

See Type Code Table, Section 4

G.     Name, Record Information, Indices Codes

1.     An indices code must be used with every index submission made on a Supplemental Report. Indices codes are put in the indices field located in the second block adjacent to the NAME/ADDRESS block. The code indicates the status of the information given or the action required. Indices codes are located in the code tables of the Case Identification Report.
2.     Code I-1 - Previously Indexed As
  - a.     When this code is used, it indicates that any information contained in the NAME/ADDRESS block and/or three adjacent blocks is information that has been previously submitted.
  - b.     If code I-1 is used, the next set of NAME/ADDRESS and adjacent blocks located below must be coded I-2.
3.     Code I-2 - New Index
  - a.     When code I-2 is used, it indicates that any information contained in the NAME/ADDRESS block and/or three adjacent blocks is the corrected information that supersedes previously indexed information as shown in the sister block located above code I-1.
  - b.     When using code I-2 (New Index) in conjunction with code I-1 (Previously Indexed As), new information not previously indexed can be included with corrected information. In this instance, the corresponding fields in the blocks coded I-1 will be left blank.

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- c. Code I-2 (New Index) is also used to submit a name and other pertinent data that has not been indexed.
  - 4. Code I-3 - Modify Designated Field Other Than Name and Address
    - a. The name field and the address field cannot be changed under code I-3. Codes I-1 and I-2 must be used to change the name field and address field.
    - b. Only one NAME/ADDRESS block and/or three adjacent blocks are utilized when code I-3 is used. This code along with a previous indexed name allows any previously indexed information contained in any of the fields located in the three adjacent blocks to be changed. When this code is used, it is not necessary to use a companion set of blocks coded I-1 - "Previously Indexed As."
    - c. New information not previously indexed can also be submitted under code I-3. New information should not be submitted under code I-3 unless the new information is being submitted along with information to be modified. If new information only is being submitted, then code I-2 (new index) should be used.
- H. To correct indexed information previously submitted:
  - 1. Entries are made in two NAME/ADDRESS blocks and adjacent three blocks (as needed).
  - 2. The information previously submitted is shown in the first of the two entries. The indices field is coded I-1 (Previously Indexed As).
  - 3. The correct information is shown in the second of the two entries. The indices field is coded I-2 (New Index).
  - 4. The same letter of the alphabet is placed in the field located on the left of the word "NAME" in the NAME/ADDRESS block. Any letter

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of the alphabet may be used, but the same letter must not be repeated on the same Supplemental Report if more than one index correction is being submitted. The purpose of the alphabet field entry is to show the relationship between two index entries.

- I. To index new information not previously submitted:
  1. One NAME/ADDRESS block and adjacent three blocks as needed are utilized.
  2. The name and all other known data are entered in the appropriate fields.
  3. The indices field is coded I-2 (New Index).
  4. A letter of the alphabet is placed in the field located to the left of the word "NAME" in the NAME/ADDRESS block. Any letter of the alphabet may be used, but the same letter must not be repeated on the same Supplemental Report if more than one index correction is being submitted. A letter of the alphabet is used with the single entry new index to clearly show that the single entry new index is not related to any other index entry listed on the same Supplemental Report.

See Forms SBI-10 and SBI-10A

## **CONFESSIONS**

If an individual confesses to offenses which are not under investigation by the Bureau, additional cases should not be opened unless a specific request is received to further investigate the matters.

## **CONSPIRACIES**

A Case Agent, with approval of the Special Agent In Charge, may open a conspiracy investigation as a single case and include subsequent overt acts in that

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case without having to open additional cases or the Case Agent may open a conspiracy investigation and open a new case on each subsequent overt act.

The Case Agent and Special Agent In Charge should give careful consideration to the information that will not be captured from subsequent overt acts if only one conspiracy case is opened.

Refer to Chapter 13 for additional information relating to conspiracy investigations.

**SERIES OF RELATED OFFENSES**

- A. Only one case should be opened and only one case number assigned to a series of related offenses against the same victim(s) even though the offenses may take place at different times when:
  - 1. Circumstantial or physical evidence and/or
  - 2. Witness testimony reflects that the same perpetrator(s) is responsible for the offenses.
  
- B. Only one case should be opened and only one case number assigned to a series of related offenses against different victims even though the offenses may take place at different times when:
  - 1. Circumstantial or physical evidence and/or
  - 2. Witness testimony reflects that the same perpetrator(s) is responsible for the offenses; and
  - 3. The offenses involve the use of forged checks, forged prescriptions, worthless checks, stolen credit cards, or any other type of stolen, forged, or counterfeited negotiable documents.

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**SIMULTANEOUS OFFENSES**

- A.     Only one case should be opened and only one case number assigned to an investigation regardless of the number of offenses or victims, when:
1.     Offenses take place simultaneously or within a relatively short period of time, and circumstantial or physical evidence and/or witness testimony reflects that the same perpetrator(s) is responsible for the offenses.
  2.     Example:
    - a.     An individual enters the Village Grocery owned by Ben Jones and points a revolver at cashier Sarah Smith. She gives him the money from the cash register and a ring which belongs to her. As he is leaving, Policemen Frank Brown and Henry Black enter the store. The robber shoots and kills both officers: One case.
    - b.     A search warrant is obtained for the residence of Henry Pot. A party is in progress at the time of the search. Drugs are found on the kitchen table and on guests Mary Jones, Tom Smith, and Joe Doe: One case.
    - c.     A fire destroys three adjoining buildings owned separately by Sam Day, John Wilson, and Dick Lynch. The body of William Jones, a night watchman, is found in the debris of one of the buildings. Bullet wounds are found in Jones' body: One case.

**SUBSEQUENT OFFENSES**

If the perpetrator commits another related offense against the same victim after a case has been opened, the offense will be treated as a new case under a new case number.



# Section 4

## CASE RECORDS MANAGEMENT SYSTEM CODE

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**CASE MANAGEMENT CATEGORY CODES**

CASE MANAGEMENT SYSTEM

1. The SBI Case Management System is a guideline for the allocation of resources and the Bureau's response will vary from district to district depending on needs for assistance at any given time.
2. Priority will be given to requests for assistance received within 24 hours of the local department's response to a crime.

a. Category I

Those cases requiring immediate attention and continued investigative efforts, if the request is received within 24 hours of a local department's response to the crime.

- (1) Homicide (major crime)
- (2) Assault (with injury, including sexual)
- (3) Emergency response
- (4) Class "A" drug cases
  - (a) trafficking level (target cases)
  - (b) clandestine labs
  - (c) diversion (registrant sale & hospital)
  - (d) grand jury
  - (e) wire-tap investigation
- (5) White-collar crime (loss > \$50,000)

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- (6) Arson (loss > \$100,000)
- (7) Environmental cases
- (8) RICO
- (9) Public corruption
- (10) Criminal organizations

b. Category II

Those cases listed in CAT I which do not require immediate attention or the request was delayed beyond 24 hours or those cases meeting one or more of the following criteria:

- (1) Evaluation of local department resources
- (2) Special interest (sensitive)
- (3) Active leads
- (4) Pattern of crime
- (5) Class "B" drug case
  - (a) trafficking-level investigation (non-target)
  - (b) diversion
    - 1) hospital-pharmacy audits
    - 2) doctor shopping organizations
  - (c) conspiracy investigations

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- (d) interdiction investigations (land-sea-air)
- (6) Special request
- (7) Out-of-state request
- (8) Property loss > \$5,000
- (9) Arson loss >\$10,000, < \$100,000
- (10) Financial crime (subject to separate solvability factors)
- (11) Aggravated sex crimes
- (12) Other original jurisdiction crimes
- c. Category III

Those cases scoring 10 or more on a Solvability Factor Scale, with Special Agent In Charge acceptance of request.

- (1) Solvability FactorsValue
  - (a) arrest made 4
  - (b) description suspect/vehicle 3
  - (c) physical evidence 3
  - (d) significant MO 2
  - (e) traceable property 2
  - (f) adverse public reaction 1
  - (g) crime scene preserved or processed 2

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- (h) time lapse < 24 hours 1
- (2) Subject to preliminary inquiry and evaluation by a Special Agent In Charge, if after 16 hours of investigation the Solvability score falls under 10, the Special Agent In Charge may authorize suspending the investigation.
- (3) Class "C" drug cases
  - (a) request for undercover without specific goals
  - (b) diversion (Rx forgery)
  - (c) Marijuana eradication
- (4) Property loss > \$1,000
- d. Category IV
  - Those cases generally accepted subject to resource availability
  - (1) District Attorney indicates no prosecution interest
  - (2) Cost of investigation vs. loss is high
  - (3) Absence of solvability factors (<6)
  - (4) Delay in request and poor investigation Eff.ort
  - (5) Compromised/tainted investigations
  - (6) Request not involving a criminal violation

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- (7) Class "D" drug cases (street-level undercover operations involving informant controlled buys and without expectation of buys greater than user quantity)
- (8) Property loss <\$1,000
- e. Category IX
  - (1) A case generated for administrative value
  - (2) Special Assignment (Z) Crime Classifications
  - (3) A case not designed to produce arrest

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**CASE STATUS CODES -- See Section 9**

**COUNTY CODES**

|    |            |    |           |    |             |     |              |
|----|------------|----|-----------|----|-------------|-----|--------------|
| 01 | Alamance   | 27 | Currituck | 53 | Lee         | 79  | Rockingham   |
| 02 | Alexander  | 28 | Dare      | 54 | Lenoir      | 80  | Rowan        |
| 03 | Alleghany  | 29 | Davidson  | 55 | Lincoln     | 81  | Rutherford   |
| 04 | Anson      | 30 | Davie     | 56 | McDowell    | 82  | Sampson      |
| 05 | Ashe       | 31 | Duplin    | 57 | Macon       | 83  | Scotland     |
| 06 | Avery      | 32 | Durham    | 58 | Madison     | 84  | Stanly       |
| 07 | Beaufort   | 33 | Edgecombe | 59 | Martin      | 85  | Stokes       |
| 08 | Bertie     | 34 | Forsyth   | 60 | Mecklenburg | 86  | Surry        |
| 09 | Bladen     | 35 | Franklin  | 61 | Mitchell    | 87  | Swain        |
| 10 | Brunswick  | 36 | Gaston    | 62 | Montgomery  | 88  | Transylvania |
| 11 | Buncombe   | 37 | Gates     | 63 | Moore       | 89  | Tyrrell      |
| 12 | Burke      | 38 | Graham    | 64 | Nash        | 90  | Union        |
| 13 | Cabarrus   | 39 | Granville | 65 | New Hanover | 91  | Vance        |
| 14 | Caldwell   | 40 | Greene    | 66 | Northampton | 92  | Wake         |
| 15 | Camden     | 41 | Guilford  | 67 | Onslow      | 93  | Warren       |
| 16 | Carteret   | 42 | Halifax   | 68 | Orange      | 94  | Washington   |
| 17 | Caswell    | 43 | Harnett   | 69 | Pamlico     | 95  | Watauga      |
| 18 | Catawba    | 44 | Haywood   | 70 | Pasquotank  | 96  | Wayne        |
| 19 | Chatham    | 45 | Henderson | 71 | Pender      | 97  | Wilkes       |
| 20 | Cherokee   | 46 | Hertford  | 72 | Perquimans  | 98  | Wilson       |
| 21 | Chowan     | 47 | Hoke      | 73 | Person      | 99  | Yadkin       |
| 22 | Clay       | 48 | Hyde      | 74 | Pitt        | 100 | Yancey       |
| 23 | Cleveland  | 49 | Iredell   | 75 | Polk        |     |              |
| 24 | Columbus   | 50 | Jackson   | 76 | Randolph    |     |              |
| 25 | Craven     | 51 | Johnston  | 77 | Richmond    |     |              |
| 26 | Cumberland | 52 | Jones     | 78 | Robeson     |     |              |



**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
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**CRIME CLASSIFICATION**

- A. Crimes of a similar nature are grouped together and each group is designated by an Alphabetical identifier derived from the first letter of the group classification, i.e., "A" is the identifier for assaults. Subcategories of each group are designated by Arabic numerals, i.e., "A-3" is an assault with intent to commit rape.
1. Each case may have up to three crime classification codes. The first code should be the "major" crime type.
  2. The crime classification is modifiable and may be added as the investigation progresses.

Example: Investigation of a store robbery where the owner was fatally shot and then the building set on fire.

|                  |     |
|------------------|-----|
| 1st crime class: | H-# |
| 2nd crime class: | R-# |
| 3rd crime class: | F-# |

- B. Several new classes of crimes have been added to the system. The "Z" or Special Assignment class is reserved for tracking those activities which are not designed to produce an arrest, i.e., security, D.A.R.E..
- C. Organized Criminal Operations "O" and Title Three Investigations "T" are identifiers to be used as 2nd and 3rd level classifications as they do not identify specific crimes.
- D. If a missing person case (M-9 classification) is opened and the missing person is subsequently found murdered or if an assault case (A-classification) is opened and the victim subsequently dies, the missing person case or assault case is NOT closed. Instead, the crime classification is modified by ADDING an H-classification to the case.

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
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**A. ASSAULT (A)**

- A01 Simple Assault
- A02 Assault with Deadly  
Weapon/Assault with Deadly  
Weapon with Intent to Kill
- A03 Assault with Intent to  
Commit Rape
- A04 Hit-and-Run Non-fatal
- A05 Assault on Law Enforcement  
Officer
- A06 Excessive Force by Law  
Enforcement Officer
- A07 Barricade Incident
- A08 Hostage Incident
- A09 Non-sexual Child Abuse
- A10 Kidnapping/Abduction
- A11 Assault on Public Official
- A12 Shooting into Occupied  
Vehicle
- A13 Shooting into Occupied  
Residence
- A14 Drive-by Shooting
- A15 Poisoning

- A16 Patient Abuse
- A17 Conspiracy
- A18 Non-fatal Shooting by Law  
Enforcement Officer
- A99 Others

**B. BURGLARY (B)**

- B01 First Degree (Occupied)
- B02 Second Degree (Dwelling or  
Residence)
- B03 B & E Business
- B04 B & E Vehicle
- B05 B & E Drugstore/Hospital
- B06 B & E Law Enforcement  
Facility
- B07 Possession Burglary Tools
- B08 Safe Burglary
- B09 Conspiracy
- B10 B & E Residence
- B99 Others

**C. CORRUPTION (C)**

- C01 Bribery of Public Official

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- C02 Perjury or Subordination of Perjury by Public Official
- C03 Falsifying or Altering Official Records or Reports by Public Official
- C04 Altering, Destroying, Stealing, or Misappropriation of Evidence
- C05 Extortion of Public Official
- C06 Possession and/or Sale of Stolen Property by Public Official
- C07 Threats by Public Official
- C08 Restraint of Trade (Bid Rigging)
- C09 Release or Misuse of Confidential Information
- C10 Conflict of Interest by Public Official
- C11 Misuse of Prisoners or Inmates
- C12 Failure or Neglect to Perform Official Duties
- C13 Election Law Violation
- C14 Antitrust
- C15 Obstruction of Justice

- C16 Conspiracy
- C17 Lobbying Law Violation
- C99 Other Misuse of Position and/or Authority by Public Official

**D. DRUG INVESTIGATIONS (D)**

- D01 Trafficking Level Target
- D02 State Grand Jury
- D03 Federal Grand Jury
- D04 RICO
- D05 Clandestine Laboratory
- D06 Diversion (Registrants/ Health Care Professional)
- D07 Diversion by Healthcare (Non-licensed) (Modified 1/04)
- D08 Diversion by Doctor Shopping
- D09 Diversion by Prescription Forgery/Fraud (Modified 1/04)
- D10 Marijuana Eradication (Outdoor)
- D11 Marijuana Eradication (Indoor Growing)

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
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|     |  |           |   |
|-----|--|-----------|---|
| D12 | Trafficking Level (Non-target)           | D30       | Buy/Bust - Eff. 3/15/98   |
| D13 | Search and Seizure                       | D31       | Trafficking by Registrant/<br>Healthcare Professional -Eff.<br>1/04 |
| D14 | Counterfeit Drugs                        | D32       | Trafficking by Healthcare<br>(Non-licensed) -Eff. 1/04              |
| D15 | Steroids                                 | D33       | Interdiction (Parcel)<br>-Eff. 12/01/2009                           |
| D16 | Street Level Undercover<br>Buys          | D34       | Interdiction (Freight)<br>-Eff. 12/01/2009                          |
| D17 | Buying/Selling Chemicals                 | D35       | Interdiction (Storage Facility)<br>-Eff. 12/01/2009                 |
| D18 | Conspiracy                               | D99       | Others  |
| D19 | Reverse                                  |           |   |
| D20 | Highway Stops                            |           |   |
| D21 | Smuggling (Air)                          | <b>E.</b> | <b><u>EMBEZZLEMENT -<br/>FRAUD (E)</u></b>                          |
| D22 | Smuggling (Land)                         | E01       | Embezzlement  |
| D23 | Smuggling (Sea)                          | E02       | Forgery   |
| D24 | Interdiction (Air)                       | E03       | Worthless Checks  |
| D25 | Interdiction (Bus)                       | E04       | Extortion   |
| D26 | Interdiction (Train)                     | E05       | Fraud and False Pretense  |
| D27 | Interdiction (Highway)                   | E06       | Corporate Malfeasance   |
| D28 | Continuing Criminal<br>Enterprise        | E07       | Computer Crime/Fraud  |
| D29 | Non-controlled Legend Drug<br>Violations | E08       | Embezzlement by Public<br>Official                                  |

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
 CODE TABLES**

|     |   |                            |  |
|-----|---|----------------------------|--|
| E09 | Money Laundering                          | E99                        | Others   |
| E10 | Counterfeiting Money                      | <b>F. <u>ARSON (F)</u></b> |  |
| E11 | Bank Fraud                                | F01                        | Arson (1 <sup>st</sup> Degree -Occupied Dwelling)                                  |
| E12 | Insurance Fraud                           | F02                        | Arson (2 <sup>nd</sup> Degree - Unoccupied Dwelling)                               |
| E13 | Fraud/False Pretense-State Funds/Property | F03                        | Unlawful Burning (Businesses)  |
| E14 | Fraud/False Pretence-Local Funds/Property | F04                        | Unlawful Burning Public Building (Schools, Churches, Local Government Building)    |
| E15 | Embezzlement of State Funds               | F05                        | Unlawful Burning State Building  |
| E16 | Embezzlement of Local Funds               | F06                        | Unlawful Burning (Residential-Owner Suspect)                                       |
| E17 | Counterfeiting Driver's License           | F07                        | Unlawful Burning (Other Structures-Outbuildings, Barns, Sheds, Abandoned Building) |
| E18 | Medicaid Fraud                            | F08                        | Unlawful Burning (Vehicles)  |
| E19 | Welfare Fraud                             | F09                        | Solicitation to Commit Arson/Unlawful Burning                                      |
| E20 | Security Fraud                            | F10                        | Conspiracy -2 or 3 Class Only  |
| E21 | Real Estate Fraud                         | F11                        | Accidental -2 or 3 Class Only  |
| E22 | Food Stamp Fraud                          | F12                        | Providential -2 or 3 Class Only)   |
| E23 | Conspiracy                                |                            |  |
| E24 | Identity Theft (Eff. 12/03)               |                            |  |
| E25 | Mortgage Fraud                            |                            |  |

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
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|                               |   |                               |  |
|-------------------------------|---|-------------------------------|--|
| F13                           | Undetermined -2 or 3 Class Only)  | G10                           | Sports Tampering   |
| F14                           | Fuel Vapor Air Explosion (Gasoline, LPG, etc.)                              | G11                           | Conspiracy   |
| F15                           | Unlawful Burning Marine Vessels (Boats, Docks, Marinas)                     | G99                           | Others   |
| F16                           | Unlawful Burning of a Dwelling Under Construction                           | <b>H. <u>HOMICIDE (H)</u></b> |  |
| F17                           | Unlawful Burning of a Building Under Construction (Non-Dwelling Structures) | H01                           | Homicide   |
| F99                           | Others  | H02                           | Homicide (Suspect Identified)<br>DISCONTINUED 3/2/2000     |
| <b>G. <u>GAMBLING (G)</u></b> |   | H03                           | Homicide (Secondary Crime)<br>DISCONTINUED 3/2/2000        |
| G01                           | Bookmaking  | H04                           | Suicide  |
| G02                           | Bingo Operations  | H05                           | Homicide <u>of</u> Law Enforcement Officer in Line of Duty |
| G03                           | Sports Betting  | H06                           | Homicide <u>by</u> Law Enforcement Officer in Line of Duty |
| G04                           | Lottery Operations  | H07                           | Homicide of Patient in Health Care Facility                |
| G05                           | Numbers Operations  | H08                           | Homicide of Prisoner, Inmate, In-custody                   |
| G06                           | Card Games  | H09                           | Hit-and-Run, Fatality                                      |
| G07                           | Gambling Devices (Slot/Poker Machines)                                      | H10                           | Vehicle Death  |
| G08                           | Dog Fighting  | H11                           | Solicitation to Commit Murder                              |
| G09                           | Cock Fighting   |                               |  |

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
CODE TABLES**

|           |  |           |   |
|-----------|--|-----------|---|
| H12       | Serial Homicide  | K03       | Equivocal Death Analysis -<br>Level 2 or 3 -Eff. 09/01/2009 |
| H13       | Conspiracy   | K04       | Statement Analysis -Level 2<br>or 3 -Eff. 09/01/2009        |
| H14       | Accidental Death   | K05       | Crime Scene Analysis -Level 2<br>or 3 -Eff. 09/01/2009      |
| H15       | Overdose   | K06       | Threat Assessment -Level 2<br>or 3 -Eff. 09/01/2009         |
| H16       | Natural Death  | K07       | Investigation Strategy -Level<br>2 or 3 -Eff. 09/01/2009    |
| H17       | Death In Custody, Prisoner or<br>Inmate  | K08       | Interview Strategy -Level 2 or<br>3 -Eff. 09/01/2009        |
| H99       | Others   |           |   |
| <b>I.</b> | <b><u>INTERNAL INVESTIGATIONS (I)</u></b><br><i>(Reserved for Professional<br/>Standards)</i>                |           |   |
| I01       | Internal Investigations  | <b>L.</b> | <b><u>LARCENY (L)</u></b>                                   |
| <b>J.</b> | <b><u>JUDICIAL STANDARDS (J)</u></b><br><i>(Cases are Assigned a "SECURE"<br/>Status in CRMS)</i>            | L01       | Larceny (Automobile)  |
| J01       | Judicial Officials Investigation   | L02       | Larceny (State Property)                                    |
| <b>K.</b> | <b><u>CRIMINAL INVESTIGATIVE<br/>ANALYSIS (K)</u></b><br><i>(Reserved for Behavior Analysis<br/>Program)</i> | L03       | Larceny (Local Government<br>Property)                      |
| K01       | Criminal Profile -Level 2 or 3 -<br>Eff. 09/01/2009  | L04       | Larceny (Firearms)  |
| K02       | Link Analysis -Level 2 or 3 -<br>Eff. 09/01/2009   | L05       | Larceny (Construction<br>Equipment)                         |
|           |  | L06       | Fencing Operations  |
|           |  | L07       | Possession Stolen Property                                  |
|           |  | L08       | Larceny by Employee   |
|           |  | L09       | Conspiracy  |

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
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- |     |  |     |                                    |
|-----|--|-----|------------------------------------|
| L10 | Larceny by Trick                                     | M14 | Computer Intrusion<br>(Eff. 12/03) |
| L11 | Misdemeanor Larceny (Less<br>than \$400) (Eff. 1/04) | M99 | Others                             |
| L12 | Felonious Larceny (Eff. 1/04)                        |     | <b>(SEE LIST BELOW)</b>            |
| L99 | Others   |     |                                    |

**M. MISCELLANEOUS (M)**

- M01 Perjury
- M02 Abandonment/Non-support
- M03 Escape
- M04 Anonymous Letters
- M05 Prohibition
- M06 DMV
- M07 Parole
- M08 Probation
- M09 Missing Persons
- M10 Out-of-State Request
- M11 General Information
- M12 Practicing Medicine/  
Pharmacy/Nursing without  
License
- M13 Fugitive



**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
 CODE TABLES**

**CRIME CLASSIFICATION CODES PRIOR TO THE CASE RECORDS  
 MANAGEMENT SYSTEM (CRMS), WHICH WAS IMPLEMENTED JULY 1, 1995:**

**PREVIOUS MISCELLANEOUS**

**NEW CRIME CLASSIFICATION**

|     |   |      |
|-----|---|------|
| 1.  | Arson   | F    |
| 2.  | Bribery   | C    |
| 3.  | Buying or Receiving Stolen Property                         | L    |
| 4.  | Conspiracy (Drug)   | D    |
| 5.  | <u>Perjury</u>  | M-1  |
|     | Perjury by Public Official                                  | C-2  |
| 6.  | Possession Burglary Tools                                   | B    |
| 7.  | Trespassing   | P    |
| 8.  | Possession of Explosives                                    | W    |
| 9.  | Weapons   | W    |
| 10. | <u>Abandonment Non-support</u>                              | M-2  |
| 11. | <u>Escape</u>   | M-3  |
| 12. | Abduction   | A    |
| 13. | Poisoning   | A    |
| 14. | Resisting Arrest  | P    |
| 15. | Riot  | P    |
| 16. | <u>Anonymous Letters</u>                                    | M-4  |
| 17. | Drug  | D    |
| 18. | <u>Prohibition</u>  | M-5  |
| 19. | <u>DMV</u>  | M-6  |
| 20. | Gambling  | G    |
| 21. | <u>Parole</u>   | M-7  |
| 22. | <u>Probation</u>  | M-8  |
| 23. | Election Laws   | C    |
| 24. | <u>All Others</u>   | M-99 |
| 25. | <u>Missing Persons</u>                                      | M-9  |
| 26. | <u>Out-of-State Request</u>                                 | M-10 |
| 27. | <u>General Information</u>                                  | M-11 |
| 28. | Background Investigations                                   | Z    |
| 29. | RICO  | D    |
| 30. | State Grand Jury  | D    |
| 31. | Federal Investigative Grand Jury                            | D    |
| 32. | <u>Practicing Medicine Pharmacy/Nursing Without License</u> | M-12 |
| 33. | <u>Fugitive</u>   | M-13 |

Underline -Those remaining as miscellaneous

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**N. NATURAL RESOURCES  
VIOLATIONS (N)**

- N01 Hazardous Waste
- N02 Solid Waste
- N03 Clean Water Act
- N04 Clean Air Act
- N05 Medical Waste
- N06 Conspiracy
- N07 Falsification of  
Records/Reports  
(Eff. 1/04)
- NO8 Underground Storage  
Tanks (Eff. 1/04)
- NO9 Coastal Resources  
Management (Eff. 1/04)
- N10 Forestry Resources  
Management (Eff. 1/04)
- N11 Land Resources  
Management (Eff. 1/04)
- N12 Asbestos Hazard  
Management (Eff. 1/04)
- N13 Radiation Protection Act  
(Eff. 1/04)

N99 Others

**O. ORGANIZED CRIMINAL  
OPERATIONS (O)**

*(This classification will be used as  
2<sup>nd</sup> or 3<sup>rd</sup> level.)*

- O01 Bike Gang Activity
- O02 Youth Gang
- O03 Ethnic Gang
- O04 Traditional Organized  
Crime
- O05 Terrorist Activity
- O06 Satanic Gang
- O07 Extremist Activity (Right  
Wing)
- O08 Extremist Activity (Left  
Wing)
- O09 Commando/Survivalist
- O99 Others

**P. PUBLIC PEACE (P)**

- P01 Threat to Governor
- P02 Threat to Attorney  
General

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
CODE TABLES**

P03 Threat to Other Public  
Official

P04 Intimidation of Witness

P05 Stalking

P06 Harassing Communication

P07 Cross Burning

P08 Trespassing

P09 Destruction of State  
Property

P10 Vandalism

P11 Riot

P12 Resisting Arrest

P13 Impersonation of Officer

P14 Tampering With Drug/  
Food Products

P15 Conspiracy

P99 Others

**R. ROBBERY (R)**

R01 Armed Robbery

R02 Strong Armed Robbery

R03 Bank Robbery

R04 Hospital/Pharmacy  
Robbery

R05 Convenience Store

R06 Other Business

R07 Conspiracy

R99 Others

**S. SEX OFFENSE (S)**

S01 Rape (Suspect Unknown  
to Victim)

S02 Rape (Acquaintance/Date)

S03 Abortion

S04 Adultery and Fornication

S05 Bigamy

S06 Buggery

S07 Incest

S08 Prostitution

S09 Seduction

S10 Child Sexual Abuse/  
Indecent Liberties (Day-  
Care)

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
 CODE TABLES**

|   |   |
|---|---|
| <p>S11 Child Sexual Abuse/<br/>Indecent Liberties (Non<br/>Day-Care)</p> <p>S12 Indecent Exposure</p> <p>S13 Statutory Rape (Carnal)</p> <p>S14 Child Pornography</p> <p>S15 Solicitation for<br/>Prostitution</p> <p>S16 Conspiracy</p> <p>S17 Crime Against Nature</p> <p>S18 Use of Computer/Internet<br/>to Solicit a Minor</p> <p>S99 Others</p> | <p><b>W. <u>WEAPON OFFENSES (W)</u></b></p> <p>W01 Carry Concealed Weapons</p> <p>W02 Possession Explosive<br/>Device</p> <p>W03 Possession Incendiary<br/>Device</p> <p>W04 Selling Weapon</p> <p>W05 Threat to Bomb</p> <p>W06 Threat to Burn</p> <p>W07 Manufacture<br/>Explosive/Bomb</p> <p>W08 Possession Weapons on<br/>School Property</p> <p>W09 Possession Weapons on<br/>Government Property</p> <p>W10 Possession of Weapon by<br/>Felon</p> <p>W11 Conspiracy</p> <p>W12 Committed a Bombing<br/>Involving Property<br/>Damage</p> <p>W13 Committed a Bombing<br/>Involving Personal Injury<br/>or Death</p> |
| <p><b>T. <u>TITLE THREE<br/>INVESTIGATION (T)</u></b></p> <p>T01 Federal Title Three<br/>Investigation - Level 2<br/>or 3</p> <p>T02 State Electronic<br/>Surveillance - Level 2<br/>or 3</p> <p>T03 Unlawful Electronic<br/>Intercept<br/>(Eff. 01/11/2002 - Level 1,<br/>2, or 3)</p>   |   |

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
CODE TABLES**

|           |   |     |   |
|-----------|---|-----|---|
| W99       | Others  | Z08 | D.A.R.E.  |
| <b>Z.</b> | <b><u>SPECIAL ASSIGNMENTS (Z)</u></b>                 | Z09 | Court Security                                  |
|           | <b>CATEGORY 9)</b>                                    | Z10 | Administrative Internal<br>Polygraph            |
|           | <i>(These cases do not produce an<br/>arrest.)</i>    | Z11 | Safe Neighborhood<br>Initiative                 |
| Z01       | Dignitary Protection                                  | Z12 | Canine Maintenance                              |
| Z02       | Applicant Background<br>(Sworn Position)              | Z13 | Inspection                                      |
| Z03       | Applicant Background<br>(Non-Sworn Non-<br>Sensitive) | Z14 | Training Staff                                  |
| Z04       | Police Commission<br>Background                       | Z15 | Applicant Background<br>(Non-Sworn - Sensitive) |
| Z05       | Explosive Disposal<br>Response                        | Z16 | Preliminary Inquiry -<br>Financial              |
| Z06       | Disaster Response                                     | Z17 | Preliminary Inquiry -<br>Computer Related       |
| Z07       | Electronic<br>Countermeasures                         | Z99 | Others  |

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
CODE TABLES**

**DISTRICT, UNITS, OR OFFICE CODES**

|  |    |
|--|----|
| Coastal                                    | 01 |
| Northeastern                               | 02 |
| Southeastern                               | 03 |
| Capital                                    | 04 |
| Northern Piedmont                          | 05 |
| Southern Piedmont                          | 06 |
| Northwestern                               | 07 |
| Western                                    | 08 |
| Diversion and Environmental Crimes Unit    | 09 |
| Financial Crimes Unit                      | 10 |
| Special Investigations Unit                | 11 |
| ITS  | 12 |
| Administration                             | 13 |
| DARE                                       | 14 |
| Special Services Unit                      | 15 |
| Lab  | 16 |
| PPS  | 17 |
| Training and Investigative Support Section | 18 |
| Computer Crimes Unit                       | 19 |
| Medicaid Criminal Investigations Unit      | 20 |
| Governor's Security                        | 21 |
| ISAAC                                      | 22 |

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
 CODE TABLES**

**DRUG NAME TABLE**

| DRUG NAME                                  | DRUG NAME                       |
|--|---------------------------------|
| Heroin                                     | Morphine                        |
| LSD  | Meperidine                      |
| PCP Liquid                                 | Oxycodone                       |
| PCP Powder                                 | Hydrocodone                     |
| Cocaine Powder                             | Codeine                         |
| Crack/ Cocaine                             | Other Opiates                   |
| MDA  | Diazepam                        |
| MDMA                                       | Other Benzodiazepine            |
| Marijuana                                  | Ritalin                         |
| Marijuana Plant                            | Preludin                        |
| Hashish                                    | Fentanyl                        |
| Hash Oil                                   | Anabolic Steroid                |
| Psilocybin                                 | Propoxyphene                    |
| Methamphetamine                            | Barbiturates                    |
| N-Methylcathinone                          | Other Stimulants                |
| P 2 P (phenyl-2-propanone, phenyl acetone) | Other Sedative/Hypnotics)       |
| Methaqualone Tablet                        | Other Controlled Pharmaceutical |
| Methaqualone Powder                        | Stadol                          |
| Clandestine Amphetamine                    | Nubain                          |
| Dilaudid                                   | Other Non-Controlled            |

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
CODE TABLES**

**DRUG TYPE OF ACTIVITY**

- 01 Seizure
- 02 Historically Documented
- 03 Diverted

**DRUG UNIT WEIGHT CHART**

|           | <u>POWDER</u> |                                | <u>PLANTS</u>             |
|-----------|---------------|--------------------------------|---------------------------|
| Milligram | (mg)          | Plant                          | (pl)                      |
| Gram      | (gm)          |                                |                           |
| Ounce     | (oz)          |                                |                           |
| Pound     | (lb)          |                                |                           |
| Kilogram  | (kilo)        |                                |                           |
|           |               |                                | <u>DOSAGE UNIT</u>        |
|           |               | Tablet                         | (DU)                      |
|           |               | Capsule                        | (DU)                      |
|           |               | Blotter LSD                    | (DU)                      |
|           |               | Ampule                         | (DU)                      |
|           |               | Syringe                        | (DU)                      |
|           |               | Teaspoon (5ml)                 | (DU)                      |
|           |               | Note: All pharmaceutical drugs | reported as dosage units. |
|           |               |                                |                           |

**ETHNIC CODES** [Discontinued 5/2002]

**INDICES CODES**

- 11 Previously Indexed As
- 12 New Index
- 13 Modify, Designated Field Other Than Name And Address



**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
CODE TABLES**

**INVESTIGATIVE ACTIVITY CODES**

- 01 Advice of Rights
- 02 Arrest (Explanation of SBI-4 and unusual events)
- 03 Attachment
- 04 Audit
- 05 Autopsy
- 06 Background Information/Locating (Used for locating individuals/objects leading to a search, arrest, interview or other investigative activity.)
- 07 Case Summary
- 08 Communication
- 09 Crime Scene (Includes crime scene searches, composites, luminol, blood spatter, processing for latent evidence, footwear/tire impressions, etc.)
- 10 Criminal History
- 11 Defendant/Suspect Disposition Report
- 12 EMS, Ambulance, and/or Rescue
- 13 Final (Case Closing Report, only one per case)
- 14 Fire Department
- 15 Hazardous Device Unit
- 16 Interview
- 17 Internal Affairs and/or Personnel File
- 18 Laboratory Report
- 19 Line-up or Show-up
- 20 Observation by Agent (formerly Agent's Notes)
- 21 Official Training Report
- 22 Medical Reports/Records
- 23 Neighborhood Canvass

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
CODE TABLES**

- 24 News Accounts
- 25 Non-constructive Activity
- 26 Non-constructive Interviews
- 27 Other Law Enforcement Agency Report
- 28 Physical & Personal History Data
- 29 Polygraph
- 30 Predication
- 31 Records Search and Seizure of Telephone, Financial Credit, Business, etc., Records
- 32 Search
- 33 Search Warrant and/or Inventory of Seized Property/Other Related Evidence Activity
- 34 Surveillance
- 35 Survey
- 36 Synopsis
- 37 Dialed Number Recorder or Pen Register
- 38 Video Surveillance - Fixed Site
- 39 Video Surveillance -Mobile
- 40 Surveillance Van
- 41 Body Worn Transmitter
- 42 Body Worn Tape Recorder
- 43 Undercover Report (Includes clothing, vehicle, and other descriptions during undercover activity, and other activity related to undercover.)
- 44 Update or Case Status
- 45 Other
- 46 K-9 Search
- 47 Thermal Imaging

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
CODE TABLES**

- 48 Audio Surveillance
- 49 Suspicious Package
- 50 Command Center Operations
- 51 Electronic Sweep
- 52 Expenditure of Special Funds and/or Other Agencies Funds
- 53 Negotiations
- 54 Delivery of Report to Prosecutor
- 55 Administrative Subpoena
- 56 Computer Forensic Examination
- 57 Clandestine Lab Response
- 58 Bio-hazard Response
- 59 Agent Notes
- 60 ITS Report
- 61 Custodial Interrogation
- 62 Audio/Video Recording
- 99 Draft

Note: Appropriate codes should be used when reporting investigative activity for limited assistance reports and SBI-11 and 11As.

EVIDENCE may be reported under the following codes:

- 31 - evidence is seized as a result of a records search
- 32 - evidence is seized as a result of a search
- 33 - evidence log/inventory, transfer of evidence or other evidence handling activity is reported
- 43 - evidence is seized as a result of an undercover activity

Expenditure of Special Funds and/or Other Agencies Funds may be reported under Code 43 when it involves an undercover purchase of evidence.

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
 CODE TABLES**

**PROFESSION CODES**

**10 STATE**

- 10A Governor
- 10B Lieutenant Governor
- 10C Attorney General
- 10D Legislator
- 10E Cabinet Secretary
- 10F Judge
- 10G Prosecutor
- 10H Law Enforcement Officer
- 10J Other Elected/State
- 10K Correctional Officer
- 10L All Other/State Officials

**11 LOCAL**

- 11A Mayor
- 11B Councilman/  
Commissioner
- 11C Agency Head
- 11D Law Enforcement Officer

11E Other Elected/Local

11F Jailer

11G All Other/Local

**12 FEDERAL**

- 12A Presidential Appointee
- 12B Senator/Representative
- 12C Judge
- 12D Prosecutor
- 12E Law Enforcement Officer
- 12F Military
- 12G All Other/Federal

**20 ORGANIZED CRIMINAL  
 GROUPS**

- 20A Bike Gang
- 20B Commando/Survivalist
- 20C Drug Operations
- 20D Ethnic Gang
- 20E Extremist/Left Wing
- 20F Extremist/Right Wing

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
 CODE TABLES**

- 20G Satanic Gang
- 20H Terrorist Gang
- 20J Traditional Organized  
 Crime Group
- 20K Youth Gang
- 20L Other Criminal Operations

**30 HEALTHCARE  
 PROFESSIONAL**

- 30A Anesthesiologist
- 30B Chiropractor
- 30C CRNA
- 30D Dentist
- 30E Family Nurse Practitioner  
 (FNP)
- 30F Medical Doctor
- 30G CNA/Nurse's Aide
- 30H Nurse RN/LPN
- 30J Physician Assistant (PA)
- 30K Pharmacist
- 30L Pharmacy Technician

- 30M Podiatrist
- 30N Psychologist
- 30O Veterinarian
- 30P Veterinarian Technician
- 30Q Healthcare (Non-Licensed)
- 30Z Other

**40 FOREIGN NATIONALS**

- 40A Foreign Students
- 40B Illegal Aliens
- 40C Legal Aliens
- 40D All Others

**50 LEGAL**

- 50A Attorney
- 50B Paralegal

**RACE CODES**

- A - Asian or Pacific Islander
- B - Black
- I - American Indian or Alaskan  
 Native

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
CODE TABLES**

O - Other

U - Unknown

W - White

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
CODE TABLES**

**RELATIONSHIP CODES**

**1. RELATIVE**

- 1A Child
- 1B Common Law Spouse
- 1C Ex-spouse
- 1D Extended Family
- 1E In-Law
- 1F Parent
- 1G Sibling
- 1H Spouse
- 1J Step

**2. EMPLOYMENT**

- 2A Co-Worker
- 2B Corporate Officer
- 2C Employee
- 2D Employer
- 2E Former Employee
- 2F Former Employer
- 2G Management

- 2H Owner
- 2J Partner
- 2K Other

**3. CHILD CARE**

**(Day-Care Services)**

- 3A Guardian
- 3B Owner/Operator
- 3C Non-relative of Operator
- 3D Relative of Operator
- 3E Staff

**(In-Home)**

- 4A Babysitter
- 4B Live-In Non-relative

**4. GENERAL**

- 4A Acquaintance
- 4B Date
- 4C Homosexual Relationship
- 4D In-Custody
- 4E Inmate

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
CODE TABLES**

- 4F Neighbor
- 4G Not Applicable
- 4H Patient
- 4J Stranger
- 4K Relationship Unknown
- 5. ALL OTHERS**
- 5A Company/Corporation
- 5B All Others (Not fitting  
above Codes)



**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
CODE TABLES**

**STATE CODE TABLE**

AL.....ALABAMA

AZ.....ARIZONA

AR.....ARKANSAS

CA.....CALIFORNIA

CO.....COLORADO

CT.....CONNECTICUT

DE.....DELAWARE

DC.....DISTRICT OF COLUMBIA

FL.....FLORIDA

GA.....GEORGIA

HI.....HAWAII

ID.....IDAHO

IL.....ILLINOIS

IN.....INDIANA

IA.....IOWA

KS.....KANSAS

KY.....KENTUCKY

LA.....LOUISIANA

ME.....MAINE

MD.....MARYLAND

MA.....MASSACHUSETTS

MI.....MICHIGAN

MN.....MINNESOTA

MS.....MISSISSIPPI

MO.....MISSOURI

MT.....MONTANA

NB.....NEBRASKA

ND.....NORTH DAKOTA

NV.....NEVADA

NH.....NEW HAMPSHIRE

NJ.....NEW JERSEY

NM.....NEW MEXICO

NY.....NEW YORK

NC.....NORTH CAROLINA

OH.....OHIO

OK.....OKLAHOMA

OR.....OREGON

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
CODE TABLES**

PA.....PENNSYLVANIA

VT.....VERMONT

RI.....RHODE ISLAND

VA.....VIRGINIA

SC.....SOUTH CAROLINA

WA.....WASHINGTON

SD.....SOUTH DAKOTA

WV.....WEST VIRGINIA

TN.....TENNESSEE

WE.....WISCONSIN

TX.....TEXAS

WI.....WISCONSIN

UT.....UTAH

WY.....WYOMING

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
CODE TABLES**

**REQUESTING AGENCY CODES**

| <u><b>NON-ORIGINAL JURISDICTION</b></u>               | <u><b>ORIGINAL JURISDICTION</b></u>    |
|---|--|
| CR ..... Coroner/Medical Examiner                     | 10 ..... Pro-Active                    |
| DA ..... District Attorney                            | 11 ..... Citizen Complaint/Information |
| EX ..... Executive (Governor and<br>Attorney General) | 12 ..... Department of Social Services |
| FD ..... Fire Department                              | 13 ..... Health Care Facility          |
| FL ..... Federal Law Enforcement                      | 14 ..... Judicial Standards            |
| FM ..... Fire Marshal                                 | 15 ..... Regulatory Agencies           |
| HP ..... NC State Highway Patrol                      | 16 ..... State Agency Referrals        |
| JG ..... Judge  | 17 ..... Bureau Applicant              |
| PD ..... Police Department                            |  |
| SH ..... Sheriff's Department                         |  |
| OS ..... Out-of-State Request                         |  |
| OT ..... Other  |  |

**SUBJECT: CASE RECORDS MANAGEMENT SYSTEM  
CODE TABLES**

**TYPE CODES**

A - Applicant

C - Confidential

D - Defendant

E - Examinee

I - Information

S - Subject

L - Lab

M - Multiple (Victim/Suspect)

P - Complainant

R - Respondent

S - Suspect

V - Victim

W - Witness

# Section 5

## REPORT OF INVESTIGATIVE ACTIVITY, ATTACHMENTS, AND INTERVIEWS

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# Section 5

## REPORT OF INVESTIGATIVE ACTIVITY, ATTACHMENTS, AND INTERVIEWS

|   |      |
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**SUBJECT: REPORT OF INVESTIGATIVE ACTIVITY,  
ATTACHMENTS, AND INTERVIEWS**

**SBI-11A REPORT OF INVESTIGATIVE ACTIVITY**

- A. The SBI-11A is the Report of Investigative Activity. All investigative activity will be reported on an SBI-11A, within 15 working days following the date of investigative activity, unless an exception is obtained from the Special Agent In Charge or a Criminal Specialist.
- B. Each SBI-11A will begin on a separate sheet and will be page numbered separately in the bottom center, beginning with page 2.
- C. The components of an SBI-11A are the document header, title, and body.
- D. SBI-11A Document Header

The beginning page of each SBI-11A will contain the following document header at the top of the page.

1. SBI CASE (CAA#)

The case number from the Case Identification Report. If for some reason there is no case number, this will be left blank.

2. ACTIVITY

The date of the investigative activity, such as the date an interview was conducted, the date a crime scene search was conducted, the date a document was obtained, et cetera. On some SBI-11As, such as a Case Status Update and Handwritten Notes, the activity date may be the same date of dictation.

3. VICTIM

The full name of the victim is obtained from the Case Identification Report or from a Case Identification Supplemental Report. If there are more than three victims, they may be listed by giving the full name of the first victim followed by "et al." Avoid using the State of North Carolina as a victim if other victims have been identified.

**SUBJECT: REPORT OF INVESTIGATIVE ACTIVITY,  
ATTACHMENTS, AND INTERVIEWS**

4. DICTATED

The date the SBI-11A is dictated.

5. COPIES

Certain copies of SBI-11As will be disseminated to authorized persons and these will be by number.

- a. The (1) copy is always Case Records Management Section, unless it does not have an investigative file number and the original of the SBI-11A is going to be sent to the Intelligence and Technical Services Section.
- b. The (2) copy is the name of the Dictating Agent.
- c. The (3) copy is the Special Agent In Charge responsible for the case.
- d. The (4) copy and additional copies to the Case Agent, if other than yourself, and other Bureau personnel by stating rank/position and name. Otherwise, the (4) copy will be designated for the appropriate district attorney or prosecutor.
- e. Additional copies of the SBI-11A may be designated for authorized individuals. The Records Center will not disseminate an SBI-11 or SBI-11A for a non-authorized person unless an approved SBI-104 is on file with the Records Center.



**SUBJECT: REPORT OF INVESTIGATIVE ACTIVITY,  
ATTACHMENTS, AND INTERVIEWS**

Example of a document header:

SBI CASE: 2002-00005 (850)  
ACTIVITY: April 1, 2002  
VICTIM(S): William Thomas Jackson  
DICTATED: March 30, 2002  
COPIES: (1) Case Records Management Section  
(2) SA L. B. Good  
(3) SAC W. E. Godley  
(4) SA D. B. Barnes  
(5) District Attorney W. R. Griffin

Example of an interview title:

**John Ray Doe, AKA: Superman, B/M/DOB: 01/01/1952 (Witness)**  
Residence: 101 Any Street, Town, North Carolina 12345,  
Telephone: 919-123-4567  
Business: Country Store, 123 Town Street, City, North Carolina 67890,  
Telephone: 919-890-1234

## **SBI-11A TITLE**

- A. The title of an SBI-11A describes the contents of the Report of Investigative Activity. The title tells the reader what they should expect to find in the SBI-11A. All SBI- 11As will have an appropriate title.
- B. Although many SBI-11A titles are somewhat standardized, it is in the discretion of the Dictating Agent to assign an appropriate title to each SBI-11A. However, the title "Investigative Activity," "Attachment," or "Crime Scene" will not be used, as they do not adequately describe the contents of an SBI-11A.

**SUBJECT: REPORT OF INVESTIGATIVE ACTIVITY,  
ATTACHMENTS, AND INTERVIEWS**

Examples of SBI-11A titles are as follows:

CRIME SCENE OF 1101 ELM STREET, RALEIGH, NORTH CAROLINA:

NEWSPAPER ARTICLES FROM THE RALEIGH NEWS & OBSERVER, DATED NOVEMBER 10, 2001, CONCERNING THE HOMICIDE OF JAMES W. SMITH:

FIREARMS EVIDENCE SUBMISSION AND LABORATORY REPORT:

SURVEILLANCE OF UNDERCOVER DRUG PURCHASE:

SURVEILLANCE OF UNDERCOVER PURCHASE OF 10 OUNCES OF COCAINE BY SA MARK FRANCISCO ON NOVEMBER 15, 2001:

ARREST OF JAMES W. SMITH ON NOVEMBER 16, 2001, IN FAYETTEVILLE, NORTH CAROLINA:

ARREST OF JAMES W. SMITH ON NOVEMBER 16, 2001, AT 4312 FORT BRAGG ROAD, FAYETTEVILLE, NORTH CAROLINA:

SEARCH OF 1807 GREEN STREET, RALEIGH, NORTH CAROLINA; SEARCH WARRANT; AND INVENTORY OF SEIZED PROPERTY:

SEARCH OF 807 GREEN STREET, RALEIGH, NORTH CAROLINA, ON NOVEMBER 16, 2001:

ATTACHMENT OF NCIC CRIMINAL HISTORY RECORD FOR JAMES W. SMITH:

RECORDS CHECK OF: HOLIDAY INN, 2314 NEW BERN AVENUE, RALEIGH, NORTH CAROLINA:

REPORT OF AUTOPSY ON ROBERT A. JAMES ON SEPTEMBER 18, 2001:

NON-CONSTRUCTIVE INTERVIEWS:

NON-CONSTRUCTIVE INVESTIGATIVE ACTIVITY:

**SUBJECT: REPORT OF INVESTIGATIVE ACTIVITY,  
ATTACHMENTS, AND INTERVIEWS**

FINANCIAL TRANSACTION RECORDS OF WILLIAM FULLBRIGHT SEIZED FROM  
BRANCH BANKING & TRUST BANK ON DECEMBER 23, 2001:

WAKE COUNTY SHERIFF'S DEPARTMENT INVESTIGATIVE REPORT OF THE THEFT  
OF A 1994 CHEVROLET, NORTH CAROLINA, LICENSE #ADW-1234:

**SBI-11A BODY**

- A. The body contains the narrative of the SBI-11A. This is where the investigative activity is described or where an attachment is described.
- B. Generally the narrative will be single spaced and in paragraph form.

**EXAMPLES OF AN SBI-11A TITLE AND BODY**

SURVEILLANCE OF SA JOHN T. SMITH ON APRIL 1, 2002:

On April 1, 2002, SA T. B. Brown and Mayberry County Deputy Sheriff Alex Smith conducted a surveillance of SA John T. Smith's activities in the Kroger parking lot, located in the northeast corner of Paterson Avenue and Dixon Street, Greensboro, North Carolina.

SA Brown and Deputy Smith were located in the parking lot of Bart's Texaco, in the southwest corner of Paterson Avenue and Dixon Street, Greensboro, North Carolina.

11:10 a.m. - SA J. T. Smith arrives in the Kroger parking lot operating a 1987 red Mazda, North Carolina Registration BXW-456, and parks in the center of the parking lot.

11:15 a.m. - A white male operating a late model white Lincoln, North Carolina Registration ACC-123, arrives in the parking lot from Dixon Street and pulls in back of SA Smith's vehicle.

SEARCH OF ROOM 132, NORTH RALEIGH HILTON HOTEL, 2100 WAKE FOREST ROAD,  
RALEIGH, NORTH CAROLINA:

**SUBJECT: REPORT OF INVESTIGATIVE ACTIVITY,  
ATTACHMENTS, AND INTERVIEWS**

On April 1, 2002, at 8:30 a.m., SA T. B. Brooks and SA W. C. Turnbull conducted a search of Room 132 of the North Raleigh Hilton Hotel, 2100 Wake Forest Road, Raleigh, North Carolina, by authority of the attached search warrant.

The following items were located and seized by SA Brooks:

(The SBI-11A would list the items found, who found the items, where the items were found, and any other pertinent information.)

**ATTACHMENTS**

- A. Copies of records, documents, and newspaper articles that are to be included in an investigative report will be submitted by attaching them to an SBI-11A.
  - 1. Each SBI-11A attachment report must reflect the Agent receiving the material and the date received.
  - 2. Attachments, which relate to an interview where an SBI-11A is prepared, should be attached to that interview and not submitted separately. This includes such items as Advice of Rights Form, diagrams, et cetera.

An interview conducted by another agency, which requires an SBI-11A, should adhere to the following format.

**Mary Jones, W/F/DOB: 03/27/1960 (Witness)**

Residence: 123 Apple Street, Raleigh, North Carolina 27603,  
Telephone: 919-662-4545

- B. The title of the SBI-11A will name or describe the document attached. The date of activity will be the date the document is received or obtained by the Agent.
- C. A separate SBI-11A will be provided for each attachment or series of related attachments. Related attachments would be items such as: a group of newspaper articles concerning the same

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matter or same case, a group of checks which are regarding the same matter or are closely associated, documents which are associated (such as a court file or group of financial documents which are from the same account), a search warrant, and inventory of items seized during the search, et cetera.

- D. If more applicable, a document may be attached to an SBI-11A of an interview, if that person gave the Agent a document during the interview. If this occurs, the Agent should include that at the appropriate place in the interview SBI-11A.

For Example: "At this point, John Doe provided SA Young a copy of the deed in question and referred to the deed during the remainder of the interview."

- E. A written Waiver of Rights should be attached to the SBI-11A of the interview if the person was advised of his/her rights just prior to or during the interview.
- F. A crime scene diagram should be attached to the SBI-11A on the Crime Scene. The search warrant and inventory may be attached to the Crime Scene, if the warrant applies to that Crime Scene.
- G. All attachments should be numbered.
1. The attachment should have the case number, the attachment number and the page number printed at the bottom of the page.
  2. The attachment number will consist of the agent's agent number and a sequential number beginning with the number # 1.
  3. For attachments that are submitted with subsequent dictation, the agent may either continue with the sequential numbers from the previously submitted dictation or may begin with the number # 1 again.

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4. For multiple page attachments, this information is only required on the first page attachment. The remaining pages of a multiple page attachment should be numbered using a sequential page number beginning with the number #2.
5. For multiple attachments attached to the same 11A, each separate attachment should be numbered using the above instructions.
- H. At the conclusion of the SBI-11A, if applicable, the Agent will dictate the word "Attachment" and the attachment number.
- I. When a separate SBI-11A is used for an attachment, the body of the SBI-11A should reflect who obtained the copy of the document, date obtained, and from whom.
- J. A brief description of the document's relevance or significance to the investigation will be provided, unless it is an SBI-5.
- K. Financial and/or Business Records.

Agents will review copies of financial and/or business records obtained during SBI investigations to determine relevance to the case. Any documents deemed relevant will be copied by the Agent and attached to an SBI-11A indicating the source of the documents. All of the original copies of the documents will be returned to the originating source by the Agent prior to delivery of the final SBI report to the district attorney. An SBI-11A will be prepared to document the return.

- L. If the records or documents obtained in an investigation are too voluminous to be inserted into an investigative report, an SBI-11A will be dictated and will satisfy all the requirements as set forth in this section. At the end of the SBI-11A, instead of providing an attachment number, the Dictating Agent will explain that the attachment is voluminous or otherwise cannot be attached and tell who has the attachment (documents). *The Case Agent may place these attachments in the Records Center master file when the case is closed.*

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M. Attachment of NCIC Criminal History Record

If any Agent obtains an NCIC criminal history record on any person, a copy of that NCIC record will be provided to the prosecutor on an SBI-11A. The Agent should use the following format:

*NCIC criminal history record check on \_\_\_\_\_ (name) \_\_\_\_\_  
was conducted on \_\_\_\_\_ (date) \_\_\_\_\_; see Attachment #\_\_\_\_\_).*

NOTE: The SBI Records Center will attach the criminal history to a salmon-colored SBI-11A cover sheet with a secondary dissemination warning.

N. Attachment of Medical Records and/or Patient Prescription Profiles

If an Agent obtains medical records and/or patient prescription profiles on any person, a copy of those medical records and/or patient prescription profiles will be provided to the prosecutor on an SBI-11A. The Agent should use the following format:

*Medical records and/or patient prescription profiles of patient's name  
were obtained by \_\_\_\_\_ (Agent's name) \_\_\_\_\_ on \_\_\_\_\_ (date) \_\_\_\_\_  
from \_\_\_\_\_ (Source – hospital/physician) \_\_\_\_\_; see Attachment #\_\_\_\_\_).*

NOTE: The SBI Records Center will attach the record to a salmon-colored SBI-11A cover sheet with a secondary dissemination warning.

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**OTHER LAW ENFORCEMENT AGENCY REPORTS**

- A. Copies of other law enforcement agency reports pertaining to an investigation can be made a part of the investigative file by attaching the report to the SBI-11A. The investigative activity will be entitled "REPORT OF OTHER AGENCY" and the name of the agency and title of the report, if applicable, would be listed.
- B. Copying and distributing the Attachment Page with attachment(s) are the responsibility of the Agent. Copies should be distributed as indicated by previous SBI-11As contained in the investigative file.
- C. When an explanation is needed to clarify the contents of the attachment, the Agent will dictate the attachment as an SBI-11A, which will include a title and brief paragraph explaining the contents of the attachment(s).
- D. Reports of other agencies will not alleviate the requirement for an SBI-11A to report observations and facts obtained by a Bureau Agent. Reports of other agencies can be utilized to report facts and observations that were not witnessed by a Bureau Agent.
- E. The Activity Date of an SBI-11A is the date the report is reviewed by the Agent. The date of the other agency's activity is listed with the description of the report.



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Example of SBI-11A Attachment Page:

(This example indicates that the attached surveillance report would not be sufficient without a paragraph explaining information not included in the report being attached.)

SBI CASE: 2002-00005 (850)  
ACTIVITY: April 1, 2002  
VICTIM(S): William Thomas Jackson  
DICTATED: March 30, 2002  
COPIES: (1) Case Records Management Section  
(2) SA L. B. Good  
(3) SAC W. E. Godley  
(4) SA D. B. Barnes  
(5) District Attorney W. R. Griffin

SURVEILLANCE OF PREMISES OF SUSPECT JOHN DOE, 1100 ROCKY MOUNT CHURCH ROAD, SMITHTOWN, NORTH CAROLINA 29714, BY SMITHTOWN POLICE DEPARTMENT OFFICER J. R. REED ON MONDAY, JANUARY 7, 2002:

Attachment #24 is a copy of the surveillance report prepared by Officer J. R. Reed, Smithtown Police Department, concerning the observations of Officer Reed during his surveillance of suspect Doe's premises named above on Monday, January 7, 2002, between 7 a.m. and 4 p.m.

LBG:ph

(Attachment #24)

(The SBI-11A is used because the report prepared by Officer Reed did not contain the above information concerning the address where the surveillance was conducted.)

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**NEIGHBORHOOD CANVASS**

- A. Persons who provide pertinent information during a neighborhood canvass are interviewed just as any other witness would be interviewed.
  - 1. The interview will be dictated using a standard interview format; each interview will be a separate SBI-11A.
  - 2. The reason for the interview paragraph should state the person was interviewed during a neighborhood canvass.
  
- B. Persons contacted who provide no pertinent information during a neighborhood canvass should be listed numerically on an SBI-11A with an appropriate SBI-11A title.
  - 1. Each numerical listing should include all information normally included in an interview title, and the informational paragraph: date, place, time, and Agent conducting the interview.
  - 2. An appropriate SBI-11A title for a listing of neighborhood canvass interviews might be "Neighborhood Interviews."
  - 3. If all interviews were conducted by the same Agent(s), the Agent's(s') name may be listed in the first paragraph, and need not be listed for each interview. Constructive interviews conducted during a neighborhood canvass will be reported as a standard interview.
  
- C. The address of vacant buildings/houses will be noted in the report. These notes may be incorporated in the SBI-11A which lists neighborhood interviews.

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**AUTOPSY REPORT**

- A. Autopsy reports should be included in the investigative report by one of two methods and should reflect the Agent who received the report and the date received.
  - 1. SBI-11A Attachment Page. (See page 5-11 for example of SBI-11A Attachment Page.)
  - 2. As an attachment to the interview of the Medical Examiner.
- B. An interview with the Medical Examiner who conducted the autopsy will usually provide additional information not included in the autopsy report, or will clarify the report. The interview with the Medical Examiner will be left up to the discretion of the Case Agent. If an interview is conducted it will follow standard SBI-11A interview format.

**SURVEILLANCE REPORT**

- A. A surveillance report is dictated on an SBI-11A with an appropriate title such as "Surveillance of John Doe on March 10, 2002." Surveillance reports will often be done in drug cases, but could be applicable to any type of case.
- B. The surveillance report should include the starting and ending time, the date, the weather conditions, the lighting conditions if applicable, and the name of the officers involved in the surveillance.
  - 1. Observations of the suspect vehicle made during the surveillance should be documented. This would include the occupants' race, sex, approximate age, and clothing worn. It would also include the make, model, color, and license plate number of the suspect vehicle.

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2. Who is being surveilled and why should be included. The person being surveilled should be described in detail, even if it is an undercover officer.
  3. All events and happenings should be reported in detail, by time.
- C. If a number of officers are involved in the surveillance, then the Case Agent should meet with each officer for debriefing of the officer. If one or more officers observe an event during the surveillance, then these officers should be identified as having observed that particular event.

**PHOTOGRAPHIC OR OTHER IDENTIFICATION LINE-UP**

- A. A photographic or in-person identification line-up is included in the investigative report on an SBI-11A with an appropriate title such as "Photographic Line-Up Held on March 10, 2002" or something to that effect.
- B. Information included on the SBI-11A should detail the starting and ending time, date, location, lighting conditions, and identification of those in attendance such as officers, attorneys, and witnesses.
- C. The persons taking part in an in-person identification line-up should be identified fully by name, race, sex, date of birth. Information about height, weight, skin tone should be included for all in-person identification line-ups.
- D. An accurate description of how the line-up was conducted and where each person was located in the line-up in regard to a numbering system should be included. Statements by persons in the line-up, by witnesses or observers, should be included.
- E. An unusual occurrence, such as an attempt to disrupt the line-up in some way, should be reported in the SBI-11A.

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- F. In photographic line-ups, if possible, include photocopies of the photographs with any identifying information such as numbers and submit by attaching same to the aforementioned SBI-11A.
- G. If an interview precedes or follows a photographic or identification line-up or if anyone involved in the line-up process makes any significant statement, that information will be reported in an interview SBI-11A using the standard interview format.
  - 1. If a photographic line-up (not an in-person line-up) is conducted as part of an interview, the process may be reported as part of the interview; all applicable information required above will be furnished in the interview.
  - 2. The Agent may determine that the line-up is of such importance that it is reported on an SBI-11A separate from the interview. This also makes it easier for the line-up SBI-11A to be furnished in discovery, easier for the line-up information to be found in the report, and makes for a more concise index.

**SBI-15 CONSENT TO SEARCH**

- A. If property is seized during a consent to search, an Inventory of Seized Property shall be completed and given to the person giving consent or to the person from whom items were seized. If property is seized, all property should be listed and completely described on the inventory.
- B. If a Consent to Search form is utilized, the consent form should be included in the investigative report as an attachment. This can be done by use of two means:
  - 1. SBI-11A Attachment Page. (See page 5-11 for an example of an SBI-11A Attachment Page.)
  - 2. An attachment to an SBI-11A such as "Crime Scene, ..."

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- a. Include names and departments of officers present and names and identifying data of other persons present when the consent was given and when the search was conducted.
  - b. Include locations where seized items were found and by whom.
  - c. Note on the SBI-11A unusual events related to the search such as attempts to hide evidence, destroy evidence, or resist or delay the search.
  - d. Note the start and finish time of the search.
- C. If a consent form is not available, one can be handwritten on a sheet of paper.
1. Note on the appropriate SBI-11A if someone gives verbal consent but refuses to sign a consent form.
  2. Verbal consent to search should be witnessed by a second officer.
- D. When obtaining a written or verbal consent to search, it must be established that the person giving the consent is not a minor and is in control of the vehicle or place to be searched. It must also be established that the person is in control of all parts of a place to be searched and parts of the place to be searched must be excluded if not under the person's control. Luggage and containers and vehicles must also be under the control of the person giving consent to search a vehicle.

**AGENT'S NOTE**

The SBI-11A title "Agent's Note" is **NOT** acceptable. This does not describe fully the contents of an SBI-11A. A more descriptive title should be used.

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Example:

OBSERVATIONS OF DEFENDANT ROBERT SMITH PRIOR TO HIS ARREST ON MARCH 13, 2002:

On Monday, March 13, 2002, at 10 a.m., Robert Smith surrendered to SBI SA T. B. Brooks and Wake County Deputy Sheriff Alice Munsford at the detective division of the sheriff's department. Smith had numerous scratches on the left side of his face. He had a bandage midway on his left forearm. Smith's shirt was torn around the left breast pocket and his pants had what appeared to be mud around the right knee area.

Robert Smith was wearing a gray work-type shirt and blue jeans. The shirt was faded, but the blue jeans appeared new. He was not wearing a belt. Smith was clean-shaven; his hair was combed. Smith was wearing sandals and no socks...

## **INTERVIEWS**

- A. The components of an SBI-11A interview are: document header, interview title, informational paragraph, reason for interview paragraph, Miranda Warning paragraph (if applicable), the body of the interview, and conclusion time.
- B. The interview title produces a substantive contribution to the investigation and should be set out with the following interview title for the SBI-11A Report of Investigative Activity.
  1. Full Name (Title of individual can be placed in front of the full name, i.e., Captain, Detective, Chief of Police)
  2. Race and Sex
  3. Date of Birth (DOB) (The inclusion of DOB is nonessential witness interviews will be left to the discretion of the Agent).
  4. Residence and street address where the individual resides, city and state, zip code, area code, and telephone number.

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5. (Title of individual may be placed if not used in front of full name). Business and address of business where the individual is employed, street address, city and state, zip code, and telephone number.
6. Indicate if the individual being interviewed is a victim, witness, suspect, subject, or requester.

Example of the interview title would be:

**John Robert Doe, W/M/DOB: 09/23/1942 (Witness)**

Residence: 804 Brown Street, Farmville, North Carolina  
28110, Telephone: 919-753-8141

Business: Captain of Detectives, Farmville Police  
Department, 1011 Jones Street, Farmville,  
North Carolina 28110,  
Telephone: 919-753-7000

- C. If the interview is of an Agent, another law enforcement officer, or anyone whose safety could be affected by inclusion of a home address and telephone number, the home address and telephone number may be omitted. But a business or work address and telephone number must be included in the interview title.
- D. If the interview is of a Bureau source of information, the interview title may consist of:

Bureau Source of Information Number -----. The confidential source's number must be used if one is assigned.

Bureau sources of information interviews should be constructed and worded in a way which will protect the source of information.

The Bureau source of information can be identified in the interview heading as a confidential source of information, or by assigned alias or numbering systems. Other identifying data such as sex, race, age,



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home address, business address, home telephone number and business telephone number should be left out of the heading.

The body of the interview should be carefully worded so as to protect the identity of the Bureau source of information while at the same time providing accurate and true information.

In the body of the interview, avoiding the use of words which will identify the sex of the Bureau source of information is desirable.

- E. It is most desirable to interview only one person at a time, but if the Agent cannot separate two people (i.e., husband/wife), put both names in the interview title.
- F. Informational Paragraph.

The informational paragraph provides information as to when the interview took place (day and date), time of the interview, where the interview took place, who conducted the interview, and states if anyone other than the interviewee and interviewers were present.

Jones was interviewed on Monday, March 14, 2002, at 10:06 a.m. at the Bladen County Sheriff's Department Detective Division in Elizabethtown by Bladen County Deputy Sheriff Phillip Large and SA Neil McMurphy. Jones's attorney, Otis Melvin, was present during the interview.

Smith was interviewed on Wednesday, October 12, 2001, at 4:45 a.m. at 1347 Oakdale Avenue, Smithfield, North Carolina, by SA A. M. Burns and Criminal Specialist John Rhodes. Smith's wife, Allison Ruby Smith, was present but did not contribute to the interview.

Doe was interviewed on Thursday, November 17, 2001, at 8 p.m. at his residence by Durham Police Department Officer William S. Stevens and SA S. T. Munn.

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John Robert Doe and Elizabeth Dudley Doe were interviewed on Thursday, November 17, 2001, at 8 p.m. at their residence by Durham Police Department Officer William S. Stevens and SA S. T. Munn.

White was interviewed on Monday, October 24, 2001, at 5:20 p.m. in Emergency Room #3 of the New Hanover County Regional Medical Center, North 17th Street, Wilmington, North Carolina, by SA Roger Anderson. White is a juvenile and his mother, Arlene S. Case, was present but did not contribute to the interview.

G. Reason For Interview.

1. The next component is the paragraph giving the reason for the interview, unless there is a compelling reason not to state the information.
2. Give the information and/or circumstances which caused the Agent to conduct the interview.

H. Miranda Warning Paragraph.

1. If the Miranda Rights are given orally, the rights given must be dictated into the body of the report of investigative activity including the suspect's response. It should also reflect who advised the individual of the Miranda Rights.

Example:

At the beginning of the interview, SA J. C. Brown advised Michael Francis Jones of the following Constitutional Rights in the presence of Sergeant Roger B. Hamm:

- “1. You have the right to remain silent.
2. Anything you say can be used against you in a court of law.

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3. You have the right to talk to a lawyer and to have a lawyer present while you are being questioned.
4. If you want a lawyer before or during questioning but cannot afford to hire a lawyer, one will be appointed to represent you at no cost before any questioning.
5. If you answer questions now without a lawyer here, you still have the right to stop answering questions at any time."

Waiver of Rights

- "1. Do you understand each of these rights I have explained to you?  
(Indicate Answer)
2. Having these rights in mind, do you now wish to answer questions?  
(Indicate Answer)
3. Do you now wish to answer questions without a lawyer present?  
(Indicate Answer)

For juveniles age 14, 15, 16, and 17, the following question must be asked:

4. Do you now wish to answer questions without your parents, guardians, or custodians present? (Answer must be YES)"
2. If a written Miranda Rights form is utilized, the contents of the form do not have to be dictated but a copy of the signed Miranda Rights form must be attached to the SBI-11A interview.

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Example:

At the beginning of the interview, SA J. C. Brown read John Joseph Jones his Constitutional Rights from the attached form and Jones waived his rights stating that he understood his rights and he was willing to talk without a lawyer being present. Jones signed the attached Waiver of Rights.

3. If the suspect is not advised of his/her Constitutional Rights at the beginning of the interview but at some later point in the interview, the time should be reflected at the point the individual is advised of his/her Constitutional Rights. The same procedure should be used as referred to above.
4. If the suspect or person being interviewed refuses to talk, the interview title, informational paragraph, reason for interview, and Miranda Rights, if applicable, should still be dictated. The body of the interview should contain wording to the effect:

John Joseph Jones declined to be interviewed.

5. If a minor is interviewed, the consent of the parent or guardian shall be obtained and indicated in the beginning of the interview. If an opinion should be stated in regard to the competency of a minor, the opinion and the basis of the conclusion must be stated and set out on a separate SBI-11A with appropriate title. This is one of the very few instances where an opinion may be expressed by the Agent.

If a non-custodial interview with a suspect is conducted the circumstances surrounding the voluntariness of the interview should be documented.

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Example:

John Doe was left unattended in the office for approximately ten minutes.

John Doe was allowed to smoke outside of the building unescorted at 2:30 p.m.

John Doe was advised that this interview was voluntary, that he was free to leave, that he did not have to answer any questions he did not want to.

John Doe was contacted to meet the investigators at the Mayberry Police Department at 2:30 p.m. John Doe drove his personal vehicle to the police department unescorted.

During the interview John Doe was allowed to use the bathroom, get a soft drink, and make telephone calls unsupervised.

- I. Body of Interview.
  1. The Agent is responsible for correct grammar.
  2. The Agent must indicate the beginning of each new paragraph, capitalization, and period at the end of each sentence.
  3. The Agent may dictate punctuation.
  4. If the interview subject has a title, the title should be used when referring to the subject in the interview.

For Example: Governor Hunt, SA Smith, Chief Brown

5. In preparing interviews, do not use awkward phrasing, complex sentences, run-on or incomplete sentences, or one sentence paragraphs, unless needed to state an idea forcefully.

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6. In preparing interviews, avoid excessive paragraph length and multiple topics in the same paragraph.
  7. Do not skip back and forth in regard to a topic in the interview body or skip steps in a line of reasoning.
  8. Spell full names and proper names the first time they are dictated, as well as unusual terms used.
  9. Be aware of choice of wording when dictating interviews.
  10. When preparing interviews, avoid the use of wordiness, verbiage, and repetition. Do not get into the habit of using repeated phrasing, especially "stated" and/or "that."
  11. Person being interviewed is named at the beginning of the interview, thus the reader assumes the information in the interview comes from the person interviewed. It is not necessary to constantly name the person interviewed.
  12. Standard phrasing of "stated that" should not be used and it can detract from the reader's attention to the flow and substance of the information being provided in the interview. Even when naming the interviewee, the name need not always be followed by "stated" or "stated that." Instead of "Jones stated that he placed the notebook," try "Jones placed the notebook under his chair." Do not start sentences with the word "that."
  13. The interview subject may be referred to by the last name if the title is not used. **Once selected, the same identification should be used throughout the interview.**
- J. Conclusion Time.
1. The last paragraph of the interview should be: The interview was concluded at (time).

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If there is an attachment to the SBI-11A interview, the last entry will be the notation "Attached is (then briefly describe the attachment and attachment number)." Only the attachment number is necessary if the attachment is described in the interview.

2. When an attachment is furnished during an interview, it may be referred to during the interview and its relevance explained.

Example:

"Jones furnished a copy of the Acme Shoe Company fiscal year 2001-2002 audit report. He pointed out the net loss shown on page 23 and explained the loss was a direct result of funds misused by Acme Vice President John Bone."

3. The Agent next dictates: Paragraph, in parenthesis (attachment and number). This will allow the Records Center to easily match up the attachments with the SBI-11A using numbers.
4. The primary purpose in numbering attachments is for the Records Center to be able to match up sequential numbers on attachments, especially in cases with numerous attachments. This not only reduces confusion to the Records Center, it enables the Agent to refer to the unique attachment number without the necessity of describing the attachment in other SBI-11As.
5. All statements of individuals should be set out in accordance with the interview format with the exception of statements made by a suspect to an undercover Agent, in which case the interview or statement of the undercover Agent will reflect what the suspect said to the undercover Agent. Statements will not be set out under CRIME SCENE.
6. If an individual is re-interviewed during the course of an investigation, the full title for the individual will be dictated. In the informational paragraph, it will state "re-interviewed."

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7. All interviews, regardless of who, i.e., police officer or Agent, are to be reported on an SBI-11A, Report of Investigative Activity, in strict compliance with the interview format.
8. Interviews should be set forth in the third person and writers will refer to themselves as "SA (writer's name)."
9. Verbatim quotations may be used if deemed essential to the investigation and can be attributed to a specific source.
10. Copies of written statements should be incorporated into the report as an attachment on a separate SBI-11A if they are legible. If not, the statement will be read into the report as a verbatim quotation of the statement and the source of the document will be identified.
11. If a written statement is an attachment, the standard interview title will be used (full name, race, sex, DOB, address, etc.), then something to the effect: "Attached is a written statement furnished by (fill in name) on (date)."
12. Transcripts may be incorporated into the report as an attachment.
13. Transcripts may be summarized in the third person for clarity.
  - a. The source will be identified.
  - b. This may not be done in lieu of an interview, but can be done in addition to the interview.
  - c. The Case Agent should retain the original document.
14. Question and answer reporting should only be used if it is critical to the investigation that the report contains the precise wording used by two or more parties.



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15. Recorded conversations will not be submitted for transcription without approval of the appropriate Assistant Director via the Agent's Special Agent In Charge.
16. The recording of routine interviews is not highly recommended. Whether or not an interview is audio/video-recorded should be made on a case-by-case basis.
  - a. Decisions to record interviews should be carefully made, possibly with the advice of the prosecutor or Bureau supervisors.
  - b. This does not affect the recording of undercover transactions, in person or by telephone.

K. Relevant Attachments

Include relevant attachments with the appropriate interview. Attachments such as the advisement of rights, diagrams provided by the interviewee, or other similar type attachments should not be submitted as a separate report.

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**EXAMPLE OF AN SBI-11A INTERVIEW**

An example of an interview of a suspect:

The purpose of the example is to illustrate format only and the example does not contain the in-depth detail expected in the interview of a suspect.

SBI CASE: 2002-00005 (850)  
ACTIVITY: March 24, 2002  
VICTIM(S): Ella Sue Ireland, et al.  
DICTATED: March 22, 2002  
COPIES: (1) Case Records Management Section  
(2) SA A. B. Morton  
(3) SAC R. L. Young  
(4) District Attorney W. C. Smith

**Travis John Proctor, W/M/DOB: 04/13/1940 (Suspect)**

Residence: 1401 Gum Street, Lucama, North Carolina 28146,  
Telephone: 919-356-5678

Business: Acme Roofing Company, 1356 Main Street, Lucama, North Carolina,  
28146, Telephone: 919-355-1234

Proctor was interviewed on Saturday, March 24, 2002, at 10 a.m. at the Lucama Police Department by SA A. B. Morton (and Officer John Doe or no one else was present during the interview.)

Proctor was interviewed as he was named by the bartender, Fred Lineberry, as the person who shot Ella Sue Ireland and Faye Ireland in the Wagon Wheel Lounge.

At the beginning of the interview, SA Morton advised Travis John Proctor of the following Constitutional Rights:

- “1. You have the right to remain silent.
2. Anything you say can be used against you in a court of law.

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3. You have the right to talk to a lawyer and to have a lawyer present while you are being questioned.
4. If you want a lawyer before or during questioning but cannot afford to hire a lawyer, one will be appointed to represent you at no cost before any questioning.
5. If you answer questions now without a lawyer here, you still have the right to stop answering questions at any time."

Waiver of Rights

- "1. Do you understand each of these rights I have explained to you? Answer yes.
2. Having these rights in mind, do you now wish to answer questions? Answer yes.
3. Do you now wish to answer questions without a lawyer present? Answer yes."

On March 23, 2002, at approximately 8:30 p.m., Proctor drove to the Wagon Wheel Lounge on Mill Street in Lucama, North Carolina. As he entered the bar, he observed a group of men and women around the jukebox at the right rear corner of the lounge.

The bartender, Fred (LNU), white male, was behind the bar and he told Fred to give him a Miller Lite. After he sat down at the bar, Ella Sue Ireland and her daughter, Faye Ireland, approached him and started an argument with him about his new girlfriend, Sandra Thomas. He related he used to date Ella Ireland but he broke up with her about two months ago.

About a minute after Ella Ireland and Faye Ireland began arguing with Proctor, they pulled knives from some unknown location and they said they were going to fix him. Ella Ireland was to his right at a distance of approximately 6' and Faye Ireland was to his left at approximately 4'.

Both Irelands then raised the knives up in the air and began approaching him in a threatening manner.

Proctor stated at this point he got off the bar stool and began backing away from them while pulling a .32 caliber stainless steel revolver from his waistband. He told Ella and

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Faye Ireland to halt, but they continued to advance on him. When they got within 3', he fired the pistol first at Ella Ireland striking her in the chest and he then turned and shot Faye Ireland in the face one time. Both women fell to the floor.

He dropped the revolver on the floor and ran out the front door of the lounge. After getting his car, he drove to the Skyward Motel where he remained until contacted by SA Morton.

The interview concluded at 11 a.m.

ABM:ph

**SBI-33 ADVISEMENT OF RIGHTS FORM  
SBI-90 RIGHTS OF A JUVENILE FORM**

- A. When advising someone of their rights from the SBI-33 or SBI-90, the Agent may make notations on this form which will add to the process.
  1. The person's educational level, his ability to read and write, and emotional condition, et cetera, may be important in the determination of the person's ability to understand and intelligently waive his rights.
  2. The person's answer to each question should be noted on the form. Any unusual conditions should be noted.
- B. Much of this information may be included in the interview SBI-11A. But contemporaneous notes on the rights form show the court that the Agent made more than a routine advisement, that the Agent made an effort to obtain a knowing intelligent Waiver of Rights.
- C. The Advisement of Rights in Spanish must be made by someone who fully understands and speaks Spanish. The form may not be given by a non-Spanish speaking person to someone to read and sign.
- D. Except in rare circumstances, the person advising rights in Spanish should be a law enforcement officer or official of some type.

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- E. The front page is printed in English and the back of the form is printed in Spanish.
- F. The signed Advisement of Rights form (SBI-33) or the signed Rights of a Juvenile form (SBI-90) should be an attachment to the interview (SBI-11A). The form should not be submitted separately.

See Form SBI-33 or SBI-90.

**PREDICATION INTERVIEW**

- A. The interview subject of a predication interview will always be an official who by law is authorized to make an investigative request to the Bureau such as: law enforcement officers, district attorneys, judges, and certain public officials. The interview should establish that the person making the request has jurisdiction or authority to do so.
- B. A predication interview is a formal written interview of the person who has made an investigative request.
  - 1. This request could have been made by letter or verbally.
  - 2. The purpose of the interview is to establish that there is more than mere suspicion to believe a crime has occurred, establish what crime is believed to have occurred, and develop information as to who has knowledge of the crime.
  - 3. In some circumstances, the predication interview will also establish limitations of the investigative request.
- C. In appearance and form, a predication interview is no different from any other interview. The difference will be found in its content and the identity of the interview subject and designation as requester.
- D. A predication interview will never be conducted with a victim or witness who has firsthand knowledge of a crime, unless the victim or witness is the

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public official who has authority by law to make an investigative request to the Bureau.

- E. Under some circumstances, a predication letter may be requested by the Bureau at the conclusion of the predication interview if no such letter previously exists.
- F. A predication interview is not required if the case is being initiated at the request of a law enforcement agency and SBI Agents begin their investigative activity with and at the same time the requesting law enforcement agency begins the investigation.

If an SBI investigation is initiated at the request of local law enforcement and the request comes 48 hours or longer after the local law enforcement agency has already initiated the investigation, a predication interview is required explaining the background of the case and investigation, as well as the reason for the request.

All SBI investigations initiated at the request of a district attorney will require a predication interview with the district attorney explaining the circumstances and/or justification for the request as well as the objective(s) of the investigation, if that request is not fully explained in a letter from the district attorney.

**PREDICATION LETTER**

- A. A predication letter is a written request from a person who has authority or competent jurisdiction to ask that an investigation be conducted. This can be a judge, chief of police, or officer acting on his behalf, sheriff or officer acting on his behalf, district attorney or assistant district attorney, or certain State officials.
- B. Predication letters do not normally contain a great deal of detail and therefore, it is nearly always desirable to interview the person who wrote the letter. In this way, a better understanding of how to develop the investigation in its early stages will be obtained.

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- C. A predication letter should be placed in the investigative report and can be done by two methods:
  - 1. By use of an SBI-11A Attachment Page (see page 5-11 for an example of an SBI-11A Attachment Page) or
  - 2. By attaching the letter to an interview of the person who wrote the letter.

**NON-CONSTRUCTIVE INTERVIEWS AND INVESTIGATIVE ACTIVITY**

- A. A record of interviews conducted can be included in the investigative report by use of an SBI-11A with an appropriate title.
- B. In addition to interviews, other investigative activities may occur. These activities may be an unsuccessful records check or an unsuccessful attempt to locate a person, place, or thing.
  - 1. A record of other investigative activities should also be kept in the investigating Agent's case file and
  - 2. Noted on an SBI-11A in the investigative report

Example of how these activities might be listed is: "A Criminal Records Check For John Doe, White Male, Date Of Birth: May 2, 1942, Conducted At Sampson County Clerk Of Court's Office On March 10, 2002, With No Pertinent Information Provided."

- C. The same SBI-11A can be used to include interviews, as well as other investigative activities. If both are listed on the same SBI-11A, then an appropriate SBI-11A title must be created.

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**DOCUMENTATION OF BUREAU SOURCE OF INFORMATION PAYMENTS IN  
INVESTIGATIVE REPORTS**

Payments made to Bureau sources of information (SOI) should be documented by an SBI-11A in each related investigative file (i.e., \$300 of Bureau Special Funds were paid to SOI # for living and travel expenses related to working undercover in southeastern North Carolina). The identification of the SOI should be consistent throughout the report, preferably by source number. If confidentiality is not an issue then the source's name may be used.



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**CUSTODIAL HOMICIDE INTERROGATIONS**

- A. Homicide investigations include first and second degree murder, voluntary and involuntary manslaughter, and death by motor vehicle.
- B. It is the responsibility of each Agent to determine the individual's custody status prior to initiating any interview/interrogation.
- C. An Agent responsible for the recording of the in-custody interview/interrogation will ensure that the interview/interrogation has been properly documented utilizing a digital recorder with a digital media/memory card.
- D. Any handwritten notes taken during the in-custody interview/interrogation shall be reported and documented per SBI policy and procedure.
- E. Agents utilizing digital audio recording equipment shall be issued or have access to the following equipment:
  - 1. A digital audio or video recorder with digital media/memory card capabilities;
  - 2. Two media/memory cards;
  - 3. Issued Olympus Software and SBI computer; and
  - 4. Read-Only (CD-R) CDs (Compact Discs).
- F. When Agents utilize audio digital recording equipment during in-custody interviews/interrogations, the following guidelines will be adhered to in order to ensure the integrity of the digital files:
  - 1. A media/memory card will contain only digitally recorded audio recording from one Bureau case. In addition, there shall only be one interview/interrogation per memory card and only one interview/interrogation per Read Only (CD-R) CD.

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2. No portion of any recording shall be deleted during the interview/interrogation or the recording process. The recorder shall remain on during the entire interview/interrogation unless documented on the recording. No type of device or software shall be connected to the digital audio recorder which would allow for alteration of the audio files stored within the recorder's media/memory card.
3. Digital recordings shall be not deleted from the media/memory card(s) at any time. The media/ memory cards shall be kept as evidence and handled as evidence per SBI Policy and Procedure. The Agent shall make a copy of the media/memory card and that copy shall be kept and handled as evidence. The first copy of the media/memory card shall be made to inalterable Read Only (CD-R) CD by means of a SBI computer and Olympus software and handled as evidence.  

A second copy (non evidence) shall be produced for submission to CRMS for transcription. The format of these copies must not be altered or changed in anyway and must be a duplicate of the original digital recording on the media/memory card. Working copies can be made from the files stored on the computer and can be converted to a WAVE format. All copies must be saved to an inalterable state on a Read Only (CD-R) CD.
4. Under no circumstances should a Re-Writeable (CD-RW) disc format be utilized for digital recordings.

**CRIMINAL INVESTIGATIVE ANALYSIS**

- A. Based on a request for investigative assistance, the SBI Behavioral Analysis Program (BAP) shall assist the requesting agency in its criminal investigation by preparing a Criminal Investigative Analysis Profile Report, Link Analysis Report, or any other applicable BAP report. This assistance can be in the form of a Limited Assistance investigation if the BAP is assisting an agency where there is no other opened Bureau case and no other assistance is being provided by Bureau District personnel. In LA

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cases such as these, a request for assistance from the BAP must come from an appropriate official in the agency and the appropriate Special Agent In Charge (SAC) or an Assistant Special Agent In Charge (ASAC) and District Attorney should be notified that a request has been made for the submission of a Criminal Investigative Analysis Profile Report, Link Analysis Report, or any other applicable BAP report to assist in the ongoing investigation.

- B. In criminal investigations that are currently being conducted by Bureau District personnel, any request to the BAP for assistance shall be made by the SAC or an ASAC. In ongoing Bureau investigations, the appropriate District Attorney will also be notified of the request for assistance in obtaining a Criminal Investigative Analysis Profile Report, Link Analysis Report, or any other applicable BAP report in the ongoing investigation. If a request has been made to review multiple cases (SBI or local), for the purpose of Link Analysis, a new SBI case will be opened and 11As will be dictated to all involved SBI cases with reference to each case.
  
- C. In compliance with current SBI Report Writing guidelines, as a minimum, the following reports will be required in the case files when conducting an SBI BAP LA Investigation:
  - 1. SBI-10 (green sheet)
  - 2. Requestor/predication 11A
  - 3. Criminal Investigative Analysis Report (consisting of any BAP derivative report) dictated 11A
  - 4. Attachment of investigative materials received from local departments 11A
  - 5. Handwritten notes and investigative documents 11A
  - 6. If applicable, any 11As documenting interviews
  - 7. Cover sheet and synopsis

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8. Certificate of Delivery to DA
  9. SBI-19 (closing report)
  10. SBI-104 and SBI-104A if applicable
- D. Investigative assistance by the BAP to any ongoing Bureau District investigation will require the BAP to document all investigative activity in the already opened District case file. In cases such as these, the CAA will be responsible for the SBI-10 (green sheet), Cover sheet and synopsis, Certificate of Delivery and the SBI-19 (closing report). The BAP will still be responsible for completion of the remaining above-mentioned reports. Rather than the BAP obtaining a second requestor 11A from a local agency, any request for BAP assistance in a District investigation will be by the CAA and documented in an 11A prepared by the BAP.
- E. Any SBI investigative reports that are used by the BAP in preparing the Criminal Investigative Analysis Profile Report, Link Analysis Report, or any other applicable BAP report will be obtained from CRMS after a dissemination request for such documents have been approved. All documents obtained by the BAP from any local agency must be attached to the investigative file even though it may result in duplication of materials in District investigations that have already been obtained by District agents working in the investigation. In accordance with CRMS procedures, before the BAP can provide local agencies with a copy of the Criminal Investigative Analysis Profile Report, Link Analysis Report or any other applicable BAP report in LA Investigations, a dissemination request for that report must be granted.

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**DIGITAL RECORDING PROCEDURES**

- A. Prior to the start of the interview/interrogation, the Agent shall check and verify the battery life and that the recorder is functioning properly. The Agent should then ensure that the recording device is functioning properly by means of an audio test. This audio test shall remain a part of the audio digital recording. The Agent shall then rewind the media/memory card to the beginning and play the audio test back to ensure that the recorder is functioning properly. The Agent should stop the recording at the end of the audio test and then begin the recorded interview/interrogation recording.
  
- B. After the audio test and at the beginning of an electronically recorded interview/interrogation, the Agent conducting the electronic recording of the interview/interrogation will record the following information:
  - 1. The Bureau case file number;
  - 2. The date;
  - 3. The time the interview/interrogation begins and ends;
  - 4. The interview/interrogation location; and
  - 5. The names of the agents/officers present and the name of the person who is the subject of the interview/interrogation.
  - 6. The advisement of rights and waiver of rights shall be recorded. If the person who is the subject of the in-custody interview/interrogation agrees to waive their rights but refuses to sign the waiver, the verbal waiver and the refusal to sign shall be recorded.
  
- C. If during the course of the interview/interrogation any breaks are taken, the beginning and ending time of the break shall be recorded along with the purpose of the break. After each break, the Agent shall document on the recording that no substantive conversation occurred while the

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recorder was off. A break is defined as any event in which all officers conducting the interrogation or the subject physically leave the room where the interview interrogation is being conducted.

- D. An Agent shall only play the digital recording from a working copy Read Only (CD-R) CD. If an inadvertent overwrite or deletion of a recording occurs, the Agent shall document that in a separate 11A detailing the erasure, deletion or overwrite.
- E. All digital recordings must be kept as evidence.

**DIGITAL FILE TRANSFER AND ARCHIVE PROCEDURES**

- A. In order to preserve and maintain the original file integrity and chain of custody of digital recordings, all captured digital recordings shall be archived to a Read Only (CD-R) CD as soon as practical.
- B. The captured digital recordings on a media/memory card shall be downloaded to a SBI issued computer loaded with issued Olympus Software. Once the file has been downloaded to the SBI computer by means of Olympus software, the first copy shall be made of the digital file in its **original Olympus format** and that first copy must be saved to a CD in an inalterable state in a Read Only (CD-R) format. **Both the original media/memory card and the first downloaded copy from the SBI computer must be retained, packaged separately and labeled as evidence.**

Once the first copy has been saved as evidence in the original format from the SBI computer, a second copy (Records CD) must be made in the Olympus format for submission to CRMS for transcription. Additional working copies can be made and these working copies can be converted to a WAVE file and downloaded to an inalterable Read Only (CD-R) CD.

An Agent will have 15 working days to submit the Records CD copy to CRMS for transcription. This Records CD and transcription will be returned to the Agent in a draft format only on Salmon-colored paper. Once the transcription draft has been returned to the Agent, the Agent will have 10

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working days to review the transcript for accuracy. The Agent will then return the reviewed transcript to the SBI CRMS for final dissemination.

Prior to a completed transcript being attached to an SBI Investigative file, the SBI Agent must verify the accuracy of the transcript. All recordings that an SBI Agent participated in must be attached to the SBI Investigative file and this shall be done even if a local agency has retained the original recording.

- C. The original media/memory card and first downloaded copy of the digital recordings shall be retained separately as evidence and packaged in a clear plastic bag and labeled with the following:
1. Bureau Case File number;
  2. Evidence number;
  3. Date the interview/interrogation was recorded;
  4. Location of the interview/interrogation/address;
  5. Name of the person being interviewed/interrogated; and
  6. Name and initials of Agent conducting the interview/interrogation.
- D. The Agent shall make transfers of all digital recordings to a new, inalterable Read-Only (CD-R) CD to be retained either by the Case Agent or by the Agent who took the recording. Once the interview/interrogation digital recording has been transcribed in word processing, the Agent shall review the draft transcript with a working copy of the digital recording. Once this review has occurred and the Agent has verified the content of the transcription, the media/memory card and the first copy CD previously retained as evidence, must be transferred either to the SBI Case Agent or to another law enforcement agency.
- E. Agents **shall not** make any enhancements to any original digital recording on the media/memory card. If digital enhancements are needed, a

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working copy compact disc shall be submitted to the SBI Documents and Digital Imaging Section utilizing a SBI Laboratory Submission Request Form (SBI-5).



# Section 6

## CRIME SCENE AND EVIDENCE ACCOUNTABILITY

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**CRIME SCENE/SEARCHES/EVIDENCE ACCOUNTABILITY**

- A. A crime scene is the physical environment in which the criminal act occurred; or an area or location where physical evidence relating to the crime is found.
- B. When a crime scene is described in an SBI report, it will be described in enough detail to enable the reader to locate and recognize the crime scene independent of any additional verbal, visual, or physical assistance.
- C. There are four types of crime scenes:
  - Type 1: Cases in which the SBI has Original Jurisdiction
  - Type 2: Cases in which the SBI is providing complete investigative assistance to a requesting agency
  - Type 3: Cases in which the SBI is providing only crime scene search assistance to a requesting agency
  - Type 4: Cases in which the SBI is providing only specialized assistance from the laboratory to a requesting agency
- D. Section 15 of the SBI *Field Procedure Manual* "Crime Scene Investigations" provides the following information concerning crime scene investigations:
  - 1. Roles And Responsibilities
  - 2. Elements Of Crime Scene Processing
  - 3. Types Of Crime Scenes
  - 4. Responsibilities Based On Crime Scene Type
  - 5. Timeliness Of Crime Scene Search Specialist Assistance

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6.     Crime Scene/Evidentiary Photography & Videography
  7.     Crime Scene Sketching
  8.     No Evidence Collected At Crime Scene
  9.     Occupational Exposure To Blood-borne Pathogens
- E.     If a crime scene search was conducted by someone other than a Bureau Agent, the Case Agent or other appropriate Bureau Agent should attempt to obtain a copy of any available crime scene report or information.
1.     Further, Agent should describe the crime scene site in detail to the extent the available crime scene report or information will allow.
  2.     No such reports or information should preclude Agent from visiting the crime scene after the fact, if possible or legal to do so.
- F.     When an SBI Agent conducts a search of the crime scene for evidence, the procedures in Section 15 of the *Field Procedure Manual* will be followed, and these details will be reported:
1.     Date and time of request
    - a.     This is relevant where a crime scene search is conducted by an Agent other than the Case Agent; or
    - b.     If the case is a request for crime scene work only; or
    - c.     If there is a substantial time gap between the request and the actual crime scene search being conducted. This may merit further explanation.
  2.     Date and time the search began
  3.     Authority for the search i.e., consent, search warrant

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4. Physical security of the crime scene prior to search. Report if known, prior contamination of crime scene. Make a list of each person, their department and reason, that entered the crime scene prior to completion of the search.
5. Include others participating in search, area of responsibility, and job performed.
6. Include the weather conditions.
7. Include the available illumination.
8. Physical evidence will be set forth in numerical order, to include:
  - a. Inventory
  - b. Finder
  - c. Location
  - d. Custody, disposition by item
- NOTE: Item number will correspond to Item Number on Forms SBI-69A and SBI-69B.
9. State if any photographs and/or videotape recordings were taken and by whom. Describe the sequence of shots/tapings.
10. Make detailed sketch to be attached to the Crime Scene SBI-11A. The sketch should include measurements of distances and dimensions of pertinent objects and structure, locations of items of evidence, and sources of light at the scene.
11. Include the date and time the search was terminated. Document how the building, vehicle, et cetera was left secure.

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- 12.    Attachment of court documents authorizing search or other documents relating to the search (i.e., Search Warrant, Consent to Search).
  
- G.     Crime Scene and crime scene search will both be reported on one SBI-11A titled "CRIME SCENE..."

Example of a Crime Scene SBI-11A:

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SBI CASE: 2002-00005 (850)  
ACTIVITY: March 25, 2002  
VICTIM(S): Leith Peter Von Stein  
COPIES: (1) Case Records Management Section  
(2) SA L. G. Olan  
(3) SAC R. L. Young  
(4) District Attorney W. C. Smith

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CRIME SCENE OF 110 LAWSON ROAD, WASHINGTON, NORTH CAROLINA:

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This homicide investigation also dealt with a first degree burglary and an assault with a deadly weapon with intent to kill, inflicting serious bodily injury. Mr. Leith Peter Von Stein was murdered and Mrs. Bonnie Bates Von Stein was assaulted. These acts occurred during the early morning of Monday, March 25, 2002, at the Von Stein residence, 110 Lawson Road, Smallwood Subdivision, Washington, Beaufort County, North Carolina. The residence was a green two-story Cape Cod style, approximately 30'x40', with a steep "A" roof line. Smallwood Subdivision was on the Market Street Extension on the northern edge of Washington where Lawson Road and Market Street Extension (SR 1422) intersect.

The Von Stein house was located in a heavily populated residential setting, with other houses located on all four sides. The above-described residence was located on the north side of Lawson Road, facing south. The ground floor consisted of four major rooms, a half bath, a laundry closet and storage room, and a front hall with steps. The four major rooms were a den/dining room combination on the east side; a kitchen/breakfast area on the back of the main section of the house, with a laundry closet within the kitchen area; a large glass enclosed back porch, off the back side of the kitchen/breakfast area, with a storage room to the west and exterior door on the east side (leading to the back yard); and a living room located in the southwest or front corner. The house had a 6'x25' open wooden front porch, with roof, and entry through the front door that led to a front hall. The hall/foyer was centrally located with doorways to the living room, den/dining room, kitchen/breakfast room, and stair steps to the upstairs.

The second floor consisted of a central hall at the top of the steps. Leading off this hall, to the east, was the master bedroom, where the murder and assault occurred. Located off the back or north side of the master bedroom was a full bath and walk-in closet. Off the north side of the hall was a full bath and long narrow linen closet. Off the west side of the

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hall was a small bedroom, with a small walk-in closet. Off the south side of the hall, adjacent to the steps, was a very small closet with shelves. Adjacent to this closet was a bedroom with a long narrow closet.

The front yard of the residence was unremarkable, in that it consisted of a few trees and a paved driveway to the east side. The large back yard was completely enclosed with a wooden fence, approximately 6' high, made of off-set slats in an upright position. The western half of said yard was made up of pine trees and the right half was open. Located in the center of the back yard was a sports boat, with outboard motor, on a trailer with green canvas cover. Within the trees was a fenced-in area, approximately 30'x30', made with 8' high chicken wire. In the northwest corner of the back yard was a storage building, approximately 10'x16' in size. Located directly outside the rear or north section of the fence, in the yard behind the Von Stein residence, were a small storage building and a pile of firewood. The building was approximately 8' to 10' from the fence. The wood in the woodpile was stacked up against the fence, approximately 3½' high.

Located in the driveway beside the residence to the east were four automobiles. They were: one four-door Chevrolet Caprice, burgundy in color, North Carolina Tag BXH-7243 (National Spinning Company car); one two-door silver Toyota, North Carolina XEF-571; one two-door blue Chevrolet Citation, North Carolina Tag AXR-5722; and one four-door dark gray Buick Century, North Carolina Tag BWC-2404.

On March 25, 2002, SA L. G. Olan arrived at the above-described crime scene, at 9:05 a.m., and met with Washington Police Department Chief Harry Stokes, Detective Captain Danny Boyd, Detective Sergeant Melvin Hope, Detective John Taylor, and Detective Arnold Cox, along with several other uniformed officers, outside the residence. The weather was clear, sunny, hot, and humid.

The crime scene search originally started at approximately 5 a.m. on March 25, 2002, by the Washington Police Department, when they were called and responded to said murder. The crime scene search was in progress when SA Olan arrived at the scene. Mr. Von Stein's body had been removed to the Beaufort County Hospital Morgue and Mrs. Von Stein had been transported by rescue to the Beaufort County Hospital Emergency Room. Photographs of the above-described crime scene were made by Detective John Taylor. Sketches of the crime scene were made by Detective Taylor and Detective Cox and by SA L. G. Olan; see Attachments #1 through #3.



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The crime scene indicated that the perpetrators, or perpetrator, approached the back door of the house. Due to a high wooden fence around the back yard, the perpetrators either climbed over the fence or came through the unlocked gate, located on the east side of the house, at the head of the driveway. The perpetrators apparently knocked out a window glass in a wooden window sash, immediately to the left side of the rear door. This glass was knocked out after the external screen wire was cut. The broken glass was a double pane thermal window sash, approximately 18"x 30" and cased in a wooden frame. The perpetrators then reached in the broken window and unlocked the thumb latch to the doorknob. The deadbolt was already unlocked. The perpetrators then entered the back porch, apparently leaving an army green colored, canvas knapsack on the porch floor, a few feet from the back door. The door from the porch to the kitchen was apparently left unlocked, in that it was entered, but no forcible entry was used. Fingerprints and glass particles were collected by Detective John Taylor at and around the point of entry. Items collected by the Washington Police Department, at this crime scene search, will be listed below.

The only signs of disturbance in the kitchen/breakfast area were in a cabinet along the back or north wall. A double door cabinet was left open, with a white vinyl/leather pocketbook (female) pulled out and semi-dumped on the top of the center island stove. A single light switch plate, on the south wall next to the laundry closet, had a black greasy substance on it. A faint reddish/brown stain was in the left sink, located along the west wall of the kitchen. Other items collected by the Washington Police Department and SA L. G. Olan will be listed below.

Located in the front hall/foyer was a bloodstain on the right or south side of an archway leading to the den. This bloodstain, along with a double light switch plate with black greasy stain, was collected. The switch plate came from the right side of the above-described archway, inside the foyer.

Blood drops were collected by the Washington Police Department from the carpet on the stairs leading from the foyer to the second floor. In the den/dining combination area, on the east side of the house, two bloodstains were located and collected by SA Olan, on the north side or frame of said archway. All three bloodstains and the brown/reddish stain from the kitchen sink were collected on sterile gauze strings that had been moistened with water. The above-described archway was also dusted for latent prints, by SA Olan, with negative results.

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From the living room wall to the left or north side of the doorway leading to the foyer was collected a single light switch plate, with black greasy substance, by SA Olan. The living room was located to the left or west side of the foyer on the front of the house.

From the upstairs of said residence, numerous items were collected by the Washington Police Department. All signs of disturbance and/or blood were in the master bedroom and upstairs hall, at the top of the steps. The only items collected from the upstairs, by SA Olan, were four sheets (eight pages) that were lying loose on top of the typewriter, on the east side of the double bed, which came from a novel entitled "A Rose in Winter." These four sheets represented pages 561 through 567, with the last page on the fourth sheet being blank and was indicative of being the last four pages of the novel having been pulled or removed from the book/binding.

During the course of the crime scene search, SA L. G. Olan observed and collected the following items of evidence:

- Item #1 - Blood sample from a stain on the archway frame, leading from the foyer to the den, on the foyer side of said archway (south side).
- Item #2 - Blood sample from a stain located on the right side or north side of archway, between the den and foyer, on the den side of said archway (upper stain).
- Item #3 - Blood sample from stain on right side or north side of archway frame, between the den and foyer, on the den side of said archway (lower stain).
- Item #4 - Reddish/brownish stain from bottom of left sink in kitchen, along west wall.
- Item #5 - Single light switch plate from kitchen wall, beside laundry area doorway, with black greasy stain.
- Item #6 - Double light switch plate from wall of foyer, beside archway leading to den, with black greasy stain.
- Item #7 - Single light switch plate from wall beside doorway, in living room leading to foyer, with black greasy stain.

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Item #8 - Four (4) pages representing page numbers 561 through 567, from book entitled "A Rose in Winter," from top surface of typewriter, located on east side of bed, in master bedroom.

During the course of the crime scene search, the following items of evidence were observed and collected from the crime scene by Washington Police Department Detective Arnold Cox, on March 25, 2002:

Item #9 - One (1) section of Sheetrock wall, from the east wall of master bedroom with blood drop, approximately 11' 8" from bed in master bedroom.

Item #10 - Small section of Sheetrock ceiling, with blood spatter, removed from ceiling of master bedroom.

Item #11 - Small section of Sheetrock wallboard, removed from wall directly behind headboard of bed in the master bedroom with blood spatter.

Item #12 - Small brown carpet sample with blood drop from stairway.

Item #13 - Small brown carpet sample, from stairway, containing blood drop.

Item #14 - Small brown carpet sample, from stairway, containing blood drop.

Item #15 - One (1) kitchen knife (butcher), from counter drawer, left of kitchen sink.

Item #16 - One (1) brown carpet sample, from floor of upstairs hallway, at top of stairway, containing blood drop.

Item #17 - One-half (½) of doorknob from victim's bedroom door.

Item #18 - One-half (½) of doorknob assembly from victim's bedroom.

Item #19 - White vinyl/leather, ladies pocketbook and contents, from top of stove island, in center of kitchen. The pocketbook contents included the following: one small pocket Directory; one \$10 check from Diana Odom to Donna Brady; one Wachovia Crown Account, beginning with Check # 470 (joint account for Von Steins); one small pocket calculator in leather

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pouch; one NCNB joint account, Checks 144 through 150; one Wachovia Cash Investment Account, Checks 111 through 112, joint account; one red/burgundy wallet containing a Sears credit card, Lowe's credit card, Washington Library Card, Unocal card, Amoco card, Thalheimer's card, Montgomery Ward card, one AT&T card, one First National Bank of Wilmington card, one Belk card, one First Union Bank card, one Wachovia Crown Account card, one Wachovia MasterCard, one J. C. Penney card, one Exxon card, one Texaco card, one Unocal card, and Mrs. Von Stein's driver's license; a bottle of Bayer aspirin (small); two lipsticks; one folding comb/brush combination; a loose tissue; two Wachovia Teller II orange slips; one answering machine card for a GE touchtone answering machine; one light blue plastic pouch (feminine napkins); one burgundy folding wallet containing assorted business cards, personal photographs, assorted change (less than \$1) and no folding and/or cash money observed.

- Item #20 - One (1) comb from ground in front yard.
- Item #21 - One (1) army green knapsack found on floor of back porch.
- Item #22 - One (1) door handle from inside of kitchen back door (interior side).
- Item #23 - One (1) door handle from kitchen back door (exterior side).
- Item #24 - One (1) carpet sample of brown carpet from victim's bedroom with bloodstains from west side of victim's bed.
- Item #25 - One (1) large carpet sample, approximately 3'x4', from the east side of the victim's bed, with bloodstains (brown carpet).
- Item #26 - Blood sample of victim Leith Peter Von Stein, collected from victim's body, at Paul Funeral Home, Washington, North Carolina, in the presence of Detective Cox.
- Item #27 - Inked fingerprint impressions from victim Leith Peter Von Stein, collected at the Paul Funeral Home, Washington, North Carolina.

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During the course of the above-described crime scene search, the following items of evidence were observed and collected by Detective John Taylor of the Washington Police Department:

- Item #28 - One (1) piece of glass shard from window used to gain entry into residence on back porch with red stain.
- Item #29 - One (1) light switch plate from wall inside kitchen next to doorway leading from kitchen to back porch.
- Item #30 - One (1) piece of glass taken from the outside windowpane broken out to gain entry at back door.
- Item #31 - Circular door knob removed from right-hand side folding louvered Doorway of pantry door in kitchen with black substance on same.
- Item #32 - Cassette tape from telephone answering machine in master bedroom.
- Item #33 - Bottom sheet that victim Leith Von Stein was received on at morgue in Greenville for autopsy.
- Item #34 - Top sheet that victim Leith Von Stein was received under at morgue in Greenville for autopsy.
- Item #35 - Hairs removed from left hand of Leith Von Stein at autopsy by Dr. Hudson.
- Item #36 - Chest hair removed from Leith Von Stein by Dr. Hudson at autopsy.
- Item #37 - Beard hair removed from Leith Von Stein by Dr. Hudson at autopsy.
- Item #38 - Scalp hair removed from Leith Von Stein by Dr. Hudson at autopsy.
- Item #39 - Paper tissue particles removed from forehead of Leith Von Stein by Dr. Hudson at autopsy.
- Item #40 - Bedspread from bed in master bedroom.

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- Item #41 - Mattress cover from bed in master bedroom.
- Item #42 - Top and fitted sheets from bed in master bedroom.
- Item #43 - White bed pillows from bed in master bedroom.
- Item #44 - Blue bed pillows from bed in master bedroom.
- Item #45 - Swabs - scrapings of black matter from victim's left palm at autopsy; Item #45B - Swabs - scrapings of black matter from victim's palm at autopsy; Item #45C - Swabs - scraping of black matter from victim's left palm at autopsy.
- Item #46 - Inked impressions of victim Bonnie Von Stein on April 1, 2002, at Washington Police Department.
- Item #47 - Inked impressions of Angela Pritchard on April 1, 2002, at Washington Police Department.
- Item #48 - Inked impressions of subject Chris Pritchard on April 1, 2002, at Washington Police Department.
- Item #49 - Inked impressions of subject Donna Brady on April 1, 2002, at Washington Police Department.

During the course of the above described crime scene search, the following items of evidence were observed and collected by Detective Sergeant Melvin Hope:

- Item #50 - Green paint samples from exterior of Von Stein house from area directly to the left side of back door (point of entry).
- Item #51 - Known blood sample from victim Bonnie Bates Von Stein collected in the presence of Detective Hope at the Beaufort County Hospital, March 29, 2002.
- Item #52 - Four (4) cassette tapes from the office of Leith Peter Von Stein at National Spinning Company, Washington, North Carolina, March 25, 2002.

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During the course of the above described crime scene search, the following items of evidence were observed and collected by Washington Police Department Detective Harvey Skinner:

- Item #53 -        Numerous personal items from a small basket on a desk, at the north wall of the master bedroom. The items included: one black billfold (empty); one burgundy billfold (empty); one brown billfold containing \$66 in cash; one black credit card holder with assorted credit cards; one watch with a brown leather band; assorted papers and business cards; one leather key pouch with no keys; one gold-colored wedding band; assorted change; one Wachovia MasterCard credit card; one MasterCard slip from Sweet Caroline's, Greenville, North Carolina, for \$42.96, dated March 24, 2002.
- Item #54 -        Twenty-two dollars (\$22) cash, collected from the top of a desk along the west wall of said bedroom, which included one \$20 bill, one \$1 bill and four quarters.

Copies of the Washington Police Department crime scene search and investigative reports will be attached to this report at a later time. The above crime scene search should be read in conjunction with the crime scene sketches, photographs, and Washington Police Department reports.

The exterior of the above-described residence, as well as the front yard and back yard, including the storage building, automobiles in the driveway and exterior side of the back yard fence, were checked by investigative officers for any type of evidence with negative results.

The above crime scene search ended at approximately 1:15 p.m.

LGO:kj

(Attachments #1 through #3)

**SUBJECT:        CRIME SCENE AND EVIDENCE  
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**CRIME SCENE/UNDERCOVER DRUG PURCHASE**

- A.     A crime scene SBI-11A for an undercover drug purchase usually does not involve a search for physical evidence; although evidence is taken from the crime scene in the form of the drugs purchased.
  - 1.     When the undercover Agent testifies he/she may be expected to describe in detail the physical surroundings where the purchase took place.
  - 2.     Details for a undercover drug purchase crime scene can be documented on the SBI-11A Undercover narrative report/interview. A separate 11A using an appropriate heading may be done to document the undercover drug purchase crime scene.



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SBI CASE: 2002-00005 (850)  
ACTIVITY: March 27, 2002  
VICTIM(S): State of North Carolina  
COPIES: (1) Case Records Management Section  
(2) SA I. C. Smith  
(3) SAC R. L. Young  
(4) District Attorney W. C. Smith

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**CRIME SCENE OF UNDERCOVER DRUG PURCHASE ON MARCH 27, 2002:**

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On March 27, 2002, at approximately 11:40 p.m., SBI SA I. C. Smith made an undercover purchase of one ounce of crack Cocaine from suspect John Henry Cook, white male, date of birth April 22, 1955, in Washington, North Carolina. Said purchase of Cocaine was made from Cook in his 1992 white over blue Chevrolet Blazer (large frame model) while parked at the rear of Smith's Shell Service Station. The station was located at the southeast corner of U.S. Highway 17 and U.S. Highway 264 facing Highway U.S. 17. Said intersection was approximately five blocks northwest from the center of the Washington Business District.

The above hand-to-hand drug transaction was made inside suspect Cook's Blazer while Cook was seated in the driver's seat and SA Smith was in the front passenger's seat. Said vehicle was a white fiberglass top with dark blue body, large white letter tires, and dark tinted side and rear glass windows. It was a two-door vehicle with a rear fold-down tailgate. Located on the roof was a chrome luggage rack and wind spoiler bar. The vehicle license number was North Carolina CSM-4011. The vehicle interior had medium blue cloth seats and carpet. The front seats were two highback bucket seats with a center console area and a four-wheel drive gear lever forward of the console on the floor hump. The rear seat was bench style.

The vehicle was parked directly behind and parallel to the bay areas of the station and facing north when the transaction occurred.

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**SEARCH WARRANT/COURT ORDERS**

- A. Search Warrants and Court Orders should always be included in an investigative report as an attachment by one of the following methods:
1. SBI-11A Attachment Page. (See Section 5, page 5-11, for an example of an SBI-11A Attachment Page.)
  2. As an attachment to a "Crime Scene" SBI-11A or other SBI-11A describing the search.
- B. If the SBI-11A Attachment Page is used, an appropriate title should be dictated such as "Search Warrant Executed at Residence of John Doe Located at 1100 West Street on March 10, 2002," or if an Inventory of Seized Property is also included with the Search Warrant, the SBI-11A title may read (for example) "Search Warrant and Inventory of Seized Property From Search of Residence of John Doe Located at 1100 West Street on March 10, 2002."

The body of the SBI-11A should then provide details of the search:

1. The names and departments of officers and Agents involved in the search.
2. The areas of the premises each officer or Agent searched.
3. The names of persons who were at the place searched. This is to include the name of the person who the search warrant or court order was served on.
4. Any unique or unusual events related to the search such as resistance, attempts to destroy or hide evidence.
5. Any unusual hiding places in which evidence was found.
6. Any evidence found to include evidence number, finder, date/time/location, and custody and disposition.

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7. The time and date of search.
- C. A good policy is to use as the attachment a copy of a search warrant which includes all the information added at the time the Search Warrant is returned.
  - D. The search warrant should be attached to a "Crime Scene" SBI-11A, with all of the above-mentioned information furnished.
  - E. Statements made by anyone during the execution of a Search Warrant/Court Order may be referred to on the SBI-11A as described above, if such reference is material to the completeness, accuracy, and understanding of the SBI-11A. This reference should be brief and will not be a substitute for an interview SBI-11A which will provide details of the statements and circumstances under which the statement was made.
  - F. If anyone is interviewed or contacted and this results in all or portions of the interview or contact being used in the affidavit or application for a search warrant/court order, an interview of that person may be included in the report using standard interview format.

**SUBJECT:           CRIME SCENE AND EVIDENCE  
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**SBI-15 CONSENT TO SEARCH**

- A.     If property is seized during a consent to search, an Inventory of Seized Property shall be completed and given to the person giving consent or to the person from whom items were seized. If property is seized, all property should be listed and completely described on the inventory.
  
- B.     If a Consent to Search form is utilized, the consent form should be included in the investigative report as an attachment. This can be done by use of two means:
  - 1.     SBI-11A Attachment Page (See Section 5, page 5-11, for an example of an SBI-11A Attachment Page)
  - 2.     An attachment to an SBI-11A such as "Crime Scene,"...
  - 3.     SBI-11A should be given an appropriate title such as "Consent to Search of 1100 West Street, Signed by Joe Doe on March 10, 2002:
  - 4.     Body of the SBI-11A should provide the details of the search. The time, date, and place that the consent was obtained; identifying data on the person who gave the consent; and data to establish that the person giving consent had control of the place or vehicle to be searched.
  - 5.     Include names and departments of officers present and names and identifying data of other persons present when the consent was given and when the search was conducted.
  - 6.     Include locations where seized items were found and by whom.
  - 7.     Note on the SBI-11A unusual events related to the search such as attempts to hide evidence, destroy evidence, or resist or delay the search.
  - 8.     Note the start and finish time of the search.

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- C. If a consent form is not available, one can be handwritten on a sheet of paper.
  - 1. Note on the appropriate SBI-11A if someone gives verbal consent but refuses to sign a consent form.
  - 2. Verbal consent to search should be witnessed by a second officer.
- D. When obtaining a written or verbal consent to search, it must be established that the person giving the consent is not a minor and is in control of the vehicle or place to be searched. It must also be established that the person is in control of all parts of a place to be searched and parts of the place to be searched must be excluded if not under the person's control. Luggage and containers and vehicles must also be under the control of the person giving consent to search a vehicle.

**INVENTORY OF SEIZED PROPERTY**

- A. General Statute 15A-257 states that the Inventory of Seized Property will be returned to the court with the search warrant if a search warrant was issued. Upon return of the Inventory of Seized Property, the officer making the return must sign the form and make a sworn statement on the listing of the seized property when the property is seized subject to a court order such as a search warrant.
- B. Checkoff blocks on the front of the form allow the inventory form to be used to inventory property seized during a consent search or other legal justification for a search such as emergency search. General Statute 15A-223 requires that a receipt be given when property is seized pursuant to a consent search to the person who consented to the search.
- C. An Inventory of Seized Property should always be included in the investigative report as an attachment.
  - 1. A copy of the inventory form signed by the court official upon the return being made should be utilized as the attachment copy.

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2. The return can be made to a magistrate, clerk of court, deputy clerk of superior court, or assistant clerk of superior court.
- D. An Inventory of Seized Property can be included in the investigative report as an attachment by one of two methods:
1. Use of an SBI-11A Attachment Page. (See Section 5, page 5-11, for an example of an SBI-11A Attachment Page.)
  2. By combining it with the Search Warrant Attachment Cover Sheet.
- E. A SBI-69B Evidence Form, AOC Property Report, or any other agency evidence form may be used to document a seizure. This form should be attached to an Inventory of Seized Property and filed as required by General Statute 15A-257.
- F. If an SBI-11A Attachment Page is used, the Inventory of Seized Property can be attached to the same SBI-11A as the Search Warrant or a separate SBI-11A for the Inventory of Seized Property can be utilized. (See Section 5, page 5-11, for an example of a SBI-11A Attachment Page.)
- G. If an Inventory of Seized Property is done pursuant to a consent to search, emergency search, or under other circumstances whereby a Search Warrant was not issued, the SBI-11A Attachment Page should clearly state the legal justification for the search. (See Section 5, page 5-11, for an example of a SBI-11A Attachment Page.)
- H. If no items are seized during a search authorized by a search warrant, an Inventory of Seized Property is not required.

**SUBJECT: CRIME SCENE AND EVIDENCE  
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**SBI LABORATORY EVIDENCE SUBMISSION PROCEDURES**

- A. The completion of an SBI-5, Physical Evidence Examination Request Form should be referenced in the North Carolina State Bureau of Investigation Evidence Guide.
- B. Original of SBI-5 showing complete chain of custody is maintained in the permanent laboratory case file.
- C. When copies of the lab report are disseminated:
  - 1. Only the Case Agent receives a copy of the SBI-5 with his/her laboratory report.
  - 2. All other copies of the laboratory report (District Attorney, Special Agent In Charge, and requesting officer) are mailed without an SBI-5.
  - 3. Exception: an officer picking up evidence in person gets a copy of the SBI-5 at the time he or she picks up the evidence.
- D. If a requesting Agent notes that a copy of a report be sent to any other officer involved in the case, the request is honored for the lab report only - no SBI-5.
- E. If an Agent is working a case with another law enforcement agency and the other law enforcement agency submits evidence to a laboratory, it is the Agent's responsibility to ensure that the other agency puts the SBI Case Number on the SBI-5 and to obtain a copy of the SBI-5.

See Form SBI-5.

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**SBI LABORATORY REPORTS**

- A. The SBI Lab Report is a stand-alone report. It does not require the use of SBI-11A.
  
- B. Upon completion of the laboratory examination and Laboratory Report, the laboratory disseminates copies of each Laboratory Report as follows:
  - 1. SBI LABORATORY FILE  

An initialed copy of the Laboratory Report is maintained in the Bureau laboratory files.
  
  - 2. REQUESTING OFFICER  

A signed copy of the Laboratory Report is returned to the requesting officer who submitted or had the evidence submitted. The report is usually returned with the evidence.
  
  - 3. DISTRICT ATTORNEY  

A signed copy of the Laboratory Report is mailed to the respective District Attorney. If it is a drug case and there is an SBI Case Number on the SBI-5, the District Attorney's copy of the Laboratory Report will be returned to the Case Agent for delivery to the District Attorney.
  
  - 4. SBI CASE AGENT  

If there is an SBI Case Number on the SBI-5, a copy of the Laboratory Report will be mailed to the Case Agent. If a Bureau Agent is the Requesting Officer, the Case Agent will be responsible for notifying other law enforcement agencies involved in the investigation of the results of the laboratory examination.



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5. SPECIAL AGENT IN CHARGE

A copy of each Laboratory Report is mailed to the Special Agent In Charge whose district or unit manages the investigation; this corresponds to the District In Charge.

**SBI-69A EVIDENCE ACCOUNTABILITY INVENTORY**

- A. The seizure of all evidence will be properly reported in the Bureau investigative file by an SBI-11A, including evidence seized by another agency. Evidence seized by another agency can be documented by a separate SBI-11A per incident of seizure or a master evidence log showing all evidence seized. The evidence log should include item number, item description, date/time/location, and custody/disposition. Other agencies' typed evidence log may be attached by an SBI-11A.
- B. An SBI-69A (Evidence Accountability Inventory) form will be prepared for each investigative case in which a Bureau Field Agent seizes or handles an item of evidence. The Case Agent will begin filling out this form at the time the first item of evidence is seized or handled by a Bureau Field Agent.
- C. The Case Agent will be responsible for preparing and maintaining all copies of the SBI-69A until the case is closed and the final report is submitted.
- D. Each piece of evidence seized or handled by a Bureau Field Agent will be listed on an SBI-69A and assigned an item number that matches with the evidence number assigned in the case file by the Case Agent.
- E. If there is no evidence seized in an investigation, the Case Agent will mark the appropriate block on the Final Case Disposition Report (SBI-19).
- F. If all evidence in an investigation is seized or handled by another agency, and same is documented in the investigative report, the Case Agent will mark the appropriate block on the Final Case Disposition Report (SBI-19).

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- G. If evidence is seized or handled by a Bureau Field Agent, the Case Agent will mark the appropriate block on the Final Case Disposition Report (SBI-19) and attach the SBI-69A(s) and SBI-69B(s).
- H. Any Agent seizing evidence in another Agent's case will promptly notify the Case Agent of the seizure and obtain an item number(s) to be used in marking the evidence.
- I. All evidence seized by an Agent will be documented on a SBI-11A. The item number, evidence description, time/date/location, finder, seizing agent, and disposition will be noted.
- J. At the discretion of the Case Agent, a master evidence log may be documented on an SBI-11A
- K. The SBI-69A will be completed as follows:
  - 1. The SBI Case Number should reflect the Case Agent's investigative case number.
  - 2. The victim will be the victim in the investigative case.
  - 3. Sheet \_\_\_\_\_ of \_\_\_\_\_ should be completed for each inventory form and each inventory form should reflect which number it is of how many inventory forms.
  - 4. The Item Number column should reflect the sequential item number for each piece of evidence and the first item on sheet one only should begin with Item #1. Additional sheets or forms in the same case will not begin with the number one, but with the next sequential number.
  - 5. The Evidence Description column should reflect a description of the item of evidence seized and should include such things as a serial number, if applicable.

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6. The Where Found or From Whom column should reflect the location where the item was seized or the name of the person from whom the item was obtained.
7. The Date column should reflect the date that the item of evidence was seized.
8. The Seized By and Department column should reflect the first and last name and department of the officer who originally obtained the item of evidence. If the original officer is an undercover officer, his/her name will go in this block, even if the evidence is immediately turned over to another officer.
9. The Special Funds column should be checked only if SBI Special Funds (monies) are seized and retained as evidence. This column should not be checked if something was purchased with Special Funds.
10. The SBI column will be marked if any SBI Agent has ever had custody of that item of evidence, even if the agent did not originally seize the evidence. This does not apply to laboratory agents.
11. The Final Disposition and Date column should be completed at the time the case is finally closed and the SBI-69A is submitted with the Final Report.
  - a. It should reflect how the item was disposed of and the date.
  - b. If the item is being retained by the Case Agent or other Bureau Agent for a court appeal or other approved reason, this column should be left blank when the SBI-69A is submitted with the SBI-19.
12. The Special Agent In Charge's Approval and Date column will be initialed and dated by the Special Agent In Charge or Criminal Specialist when the SBI-69A is submitted with the Final Report and

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the item has been properly disposed of and an SBI-69B or other proper record of disposition is attached to the SBI-69A.

13. The Case Agent will sign and date each SBI-69A when it is submitted with the Final Report.
- L. When a Final Report is submitted by the Agent, all copies of the SBI-69As will be submitted with it.
1. If all evidence is properly disposed of or accounted for with appropriate SBI-69Bs or other receipts attached, the supervisory personnel will approve same.
  2. The white original copy will be submitted with the original Final Report to Records.
  3. The pink copy will be returned to the Case Agent.
  4. The gold copy will be placed in the District Office file.
- M. If there are no items being retained for court appeals or other valid reasons, the canary copy will be destroyed.
1. If there are items retained by a Bureau Agent, the original white copy will be maintained in a separate file at the District office. There will be no copy of the SBI-69A submitted with the Final Report.
  2. When the evidence is finally disposed of, the final disposition and date will be placed in the Final Disposition column and supervisory personnel will approve and submit the original white copy to the Records Center.
- N. The SBI-69A does not go in the investigative report. It is only filed in the case files. An SBI-69A will not be an attachment on an SBI-11A except in unusual cases when the custody of evidence is the subject of inquiry.

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- O. The SBI-69A is not a chain of custody document, it merely reflects who originally seized the evidence and the final disposition of the evidence; and whether or not an SBI Agent has had custody of the evidence.
- P. If the item of evidence is SBI Special Funds and that item of evidence is being held by another agency, the Special Agent In Charge should consider having the SBI Case Agent take custody of the Special Funds, even though it must be retained as an evidence item.

See Form SBI-69A.

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**SBI-69B PHYSICAL EVIDENCE TRANSFER RECEIPT OR DISPOSITION  
REPORT**

- A. Any Bureau Field Agent in the possession of any evidence will not release same to anyone without obtaining a receipt (SBI-69B) unless same is mailed or submitted to a Bureau Laboratory. If evidence is mailed to anyone other than a Bureau Laboratory, an SBI-69B will be enclosed for the receiving party to sign and return to the sending Agent.
- B. The SBI-69B (Transfer Receipt or Disposition Report) should be completed as follows:
  - 1. The SBI Case Number should reflect the Case Agent's investigative case number.
  - 2. The DIC should reflect the district in charge of the investigation.
  - 3. The CAA should reflect the Case Agent assigned to the investigation.
  - 4. The Victim will reflect the name of the victim in the case.
  - 5. The SBI Case Item Number column will be the number of the item as reflected on the SBI-69A; the item numbers on the SBI-69A and SBI-69B must correspond.
  - 6. The SBI Lab Number column will reflect the Bureau Laboratory case number, if a lab number was assigned to that item of evidence.
  - 7. The asterisk column will be initialed by the individual receiving the item if the item is in a sealed package and the contents cannot be verified.
  - 8. The Evidence Description column will reflect a description of the item of evidence. The description must be with some specificity; there is adequate room on the SBI-69B to fully describe an item.

**SUBJECT: CRIME SCENE AND EVIDENCE  
ACCOUNTABILITY**

9. The handling procedures for receipt or disposition authority include:
  - a. Receipt: will be completed when evidence is seized or transferred to or from a Bureau Agent. It will reflect the name of the person from whom the evidence is received; the signature of the person receiving the evidence; the date the evidence is received; and signature of a witness, if available.
  - b. Disposition Authority: will reflect how the listed items under evidence description will be disposed of and the signature, title, and date of the person authorizing same. In cases of controlled substances being destroyed, same should reflect complete destruction.
  - c. Disposition: Will reflect how the items were disposed of and the signature, title, and date of the Agent disposing of same. When evidence is destroyed same will reflect the signature, title, and date of a Bureau Agent who witnessed the destruction. Check the appropriate box.
  - d. In Marijuana eradication cases in which the Case Identification Report (green sheet) reflects that the Marijuana was seized and/or destroyed by another department, an SBI-69B Disposition Report will not be required.
- C. If a piece of evidence is introduced into court and retained by the court, the Agent in control of said evidence will complete Section 1, Disposition of SBI-69B, by reflecting that he/she disposed of the items by introducing said evidence into court.
  1. The Agent will have the courtroom clerk, prosecutor, or other courtroom official witness the disposition by signing as the disposition witness.

**SUBJECT: CRIME SCENE AND EVIDENCE  
ACCOUNTABILITY**

2. Should the courtroom official refuse to sign, the Agent will put "Refused to Sign" and the name of the person who refused.
- D. The original white and gold copies of the SBI-69B will be submitted to the Case Agent for attachment to the SBI-69A; the canary copy will be retained by the Agent releasing the evidence, and the pink copy will be retained by the individual receiving or destroying the evidence.
1. The white copy will be submitted with the SBI-69A and original final report to the Records Center after approval by supervisory personnel.
  2. The gold copy will be retained in the district office file.
- E. A SBI-69B is not required for evidence submitted to the SBI Lab by an agent and the SBI Lab mails the evidence back to another agency for custody. This disposition will be noted on the SBI-69A.

See Form SBI-69B.



# Section 7

## ARREST/PHYSICAL DESCRIPTION AND DRUG STAT

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**SUBJECT: ARREST/PHYSICAL DESCRIPTION  
AND DRUG STAT REPORT**

**SBI-4 ARREST/PHYSICAL DESCRIPTION/DRUG STAT DATA SHEET**

- A. The following information should be submitted for each non-arrested suspect interviewed:
1. Full Name
  2. Alias (s) or AKA
  3. Race
  4. Sex
  5. Date of Birth
  6. Place of Birth
  7. Height
  8. Weight
  9. Eyes
  10. Hair
  11. Scars, Marks, Tattoos
  12. Skin Tone
  13. Social Security Number
  14. Operator's License State and Number
  15. Miscellaneous Number and Type
  16. Country of Citizenship

**SUBJECT: ARREST/PHYSICAL DESCRIPTION  
AND DRUG STAT REPORT**

17. Resident, Non-Resident, or Unknown (of Crime Jurisdiction)
  18. Marital Status
  19. Current Address and Telephone
  20. Occupation
  21. Employer, Address, and Telephone
  22. Spouse, Address, and Telephone
  23. Nearest Relative, Address, and Telephone (Other than Spouse)
- B. This information should be submitted by utilizing the Physical Description section of the SBI-4 Arrest and Physical Description form
- C. An arrest report from another law enforcement agency may not be submitted in lieu of an SBI-4.
- D. In order to submit a Defendant/Case Closing Report with a closing code of C-01 or C-03, an SBI-4 must be on file in the Records Center, unless there has been an order of arrest issued and the charges were dropped prior to the actual arrest.
- E. For Juvenile Petitions, complete the physical description portion of the SBI-4.
- F. For Juvenile Petitions, complete the physical description portion of the SBI-4.

**ARREST INFORMATION**

- A. If an arrest is effected in conjunction with a Bureau investigation, the Agent is required to report the details of the arrest by completing SBI-4 Arrest and Physical Description form.

**SUBJECT: ARREST/PHYSICAL DESCRIPTION  
AND DRUG STAT REPORT**

- B. The SBI-4 should be typed and submitted to the District Office for approval and distribution, with the following fields filled out when appropriate. (Electronic form is available on the F: drive.)
1. CASE NUMBER (Required Field)  
Enter the SBI Case Number
  2. a. CAA (Required Field)  
Enter Case Agent Assigned).
  - b. DIC (Required Field)  
Enter District in Charge.
  3. DATE  
Enter the date of the actual arrest.
  4. TIME OF ARREST  
Enter the time of the actual arrest. Time of actual arrest is the time the person is advised he is under arrest, the person's movements are restricted, or the person is otherwise taken into custody. If a Warrant or order is later served on that person, at that location, or another location, the time of arrest remains the time he is advised he is under arrest or taken into custody. The place of arrest must correspond with the time of the actual arrest.
  5. OCA  
Enter Local/federal/other department case number.
  6. AGENCY NAME  
Enter the name of the department you are assisting: SBI if no other department is involved. Also include federal agency.
  7. COUNTY OF ARREST  
Enter the county in which the arrest actually occurred.
  8. PLACE OF ARREST  
Enter the location of the arrest.

**SUBJECT: ARREST/PHYSICAL DESCRIPTION  
AND DRUG STAT REPORT**

9. PRINTS  
Mark the block if fingerprinted.
10. PHOTOS  
Mark the block if photographed.
11. FINGERPRINT CHECK DIGIT # (Required with Arrest Information)  
Enter the unique number from the fingerprint card.  
Only one check digit number for each SBI-4.
12. HGT  
Enter the height of the arrestee.
13. WGT  
Enter the weight of the arrestee.
14. HAIR  
Enter the color of the hair of the arrestee.
15. EYES  
Enter the color of the eyes of the arrestee.
16. SKIN TONE  
Enter the complexion of the arrestee.
17. NAME  
Enter the full name of the person arrested.
18. DOB  
Enter the date of birth of the person arrested.
19. AGE  
Enter the age of the person arrested.
20. SEX  
Enter if the arrestee is male or female.

**SUBJECT: ARREST/PHYSICAL DESCRIPTION  
AND DRUG STAT REPORT**

21. RACE  
Enter if the arrestee is White, Black, Indian...
22. POB (City and State)  
Enter the place of birth of the arrestee.
23. AKA  
Enter the alias or Also Known As names for the person arrested.
24. SOCIAL SEC #  
Enter the Social Security Number of the arrestee.
25. OL NUMBER  
Enter the operator's license number of the person arrested.
26. STATE  
Enter the operator's license state of the arrestee.
27. MISC NUMBER AND TYPE  
Enter a miscellaneous identification type number of the arrestee.  
  
For Example: FBI #, SID #
28. SCARS/MARKS/TATTOOS/ETC.  
Enter the description and location, if any, of the arrestee.
29. COUNTRY OF CITIZENSHIP  
Enter what country the arrestee is a citizen.
30. RESIDENT/NON-RES/UNK  
Was the arrestee a resident of the jurisdiction in which the crime occurred?  
Mark only one of the blocks.
31. MARITAL STATUS  
Mark M for married, S for single, D for divorce, or W for widow or widower.

**SUBJECT: ARREST/PHYSICAL DESCRIPTION  
AND DRUG STAT REPORT**

32. CURRENT ADDRESS  
Enter the street address, city, state and zip code of arrestee.
33. OCCUPATION  
Enter the kind of occupation (occupational skills) of arrestee.
34. PHONE  
Enter the area code and residence telephone number of arrestee.
35. EMPLOYER'S NAME  
Enter the name of company or employer of the arrestee.
36. ADDRESS  
Enter the street, city, state and zip code of employer of arrestee.
37. PHONE  
Enter the area code and phone number of employer.
38. SPOUSE'S NAME  
Enter the full name of the spouse of the arrestee.
39. ADDRESS  
Enter the street address, city, state and zip code of the spouse of the arrestee.
40. PHONE  
Enter the area code and phone number of the spouse of the arrestee.
41. NEAREST RELATIVE'S NAME  
Enter the name of the nearest relative and relationship to the arrestee.  
(Other than Spouse.)
42. ADDRESS  
Enter the street address, city, state and zip code of the nearest relative of the arrestee.



**SUBJECT: ARREST/PHYSICAL DESCRIPTION  
AND DRUG STAT REPORT**

43. PHONE  
Enter the area code and phone number of nearest relative of the arrestee.
44. ARRESTEE ARMED  
Enter if arrestee was armed.
45. TYPE WEAPON  
Describe the type weapon, if any.
46. RESISTANCE Y/N  
Enter yes or no. If yes, the extent and details should be updated on an SBI-11A in the case file.
47. ON-VIEW, SUMMONS, CITATION, WARRANT, ORDER  
Mark appropriate box for arrest authority. When an arrest is made "on-view" and a Warrant or magistrate's order is later obtained, the arrest is listed as "on view."
48. CHARGE 1, 2, 3...  
Enter the charge such as "Robbery With Dangerous Weapon."
49. FELONY, MISD  
Mark the appropriate block to indicate if the charge is a felony or misdemeanor.
50. COUNTS  
Enter the number of counts for the particular charge of the arrestee.
51. OFFENSE JURISDICTION  
Enter the ORI or Name of the Department being assisted or if SBI working alone leave blank. In multiple cases in which one arrest is made, make a copy of the SBI-4, draw a line through the case number and write the next appropriate case number above the original number and do this for each subsequent case number

**SUBJECT: ARREST/PHYSICAL DESCRIPTION  
AND DRUG STAT REPORT**

pertaining to this single arrest. Then draw five vertical lines through Offense Jurisdiction block.

For Example: Gre/nsbo/o Pol/ce D/partm/nt.

52. STATUTE NUMBER  
Enter the General Statute number for the charge violation.
53. VEHICLE MAKE  
Enter the make of the vehicle of person arrested. If a vehicle is in any manner involved in the actual arrest, the vehicle information must be provided on the SBI-4 of the owner, the person in charge of the vehicle, or the person most responsible for the vehicle.
54. YEAR  
Enter the year model of the vehicle of the arrestee.
55. MODEL  
Enter the type model of the vehicle of the arrestee.
56. STYLE  
Enter the style of the vehicle.
57. COLOR  
Enter the color of the vehicle.
58. LICENSE NUMBER  
Enter the license plate number on the vehicle.
59. STATE  
Enter the license plate state.
60. VIN  
Enter the Vehicle Identification Number.
61. LEFT AT SCENE, SECURED, UNSECURED, DATE/TIME  
If applicable, mark appropriate block(s) and indicate date and time.

**SUBJECT: ARREST/PHYSICAL DESCRIPTION  
AND DRUG STAT REPORT**

62. **RELEASED TO OTHER AT OWNER'S REQUEST**  
If applicable and vehicle is released to someone at the owner's request, mark block and enter person's name to whom the vehicle was released.
63. **IMPOUNDED**  
If the vehicle is impounded, mark block, and indicate where the vehicle is stored, who authorized the storage, and mark Y (Yes) or N (No) if any inventory was or was not conducted of the vehicle.
64. **DATE/TIME**  
Enter the date and time of confinement or release.
65. **CONFINED, RELEASED**  
Mark the appropriate block to indicate if the person was confined to jail or released.
66. **PLACE CONFINED**  
If the person is confined, enter where.
67. **JUDICIAL OFFICIAL**  
Enter the name of the judicial official whom the person arrested was carried before.
68. **BOND**  
Enter the amount of bond set or indicate Promise To Appear.
69. **ARRESTING OFFICER'S NAME**  
Enter the name of all arresting officers and identification numbers, if applicable. Arresting officer's name will include any officer involved in the arrest. The officer actually making the arrest should be listed first. If an on-view arrest is made and an order or warrant is later served on that person, the officers making the on-view arrest as well as the officer serving the order will be listed.

**SUBJECT: ARREST/PHYSICAL DESCRIPTION  
AND DRUG STAT REPORT**

70. DEPARTMENT  
Enter the name of each arresting officer's department.
71. Check the appropriate box: SUSPECT INTERVIEWED  
INVOKED RIGHTS  
LANGUAGE BARRIER  
NOT INTERVIEWED OTHER REASON
72. ARREST ID BY U/C OFFICER  
If the arrest involved an undercover investigation, mark the appropriate block if the undercover officer personally identified the person arrested at the time of arrest and prior to incarceration.
73. NAME/DEPARTMENT  
Enter the name and department of the undercover officer.
74. PRISONER INJURIES  
Mark in the appropriate box if the prisoner had any injuries, and if so, describe the injuries.
75. RESTRAINTS USED  
Mark in the appropriate box if restraints such as handcuffs were used.
76. RECEIVING JAILER  
If the person is confined to jail, enter the name of the jailer receiving the prisoner.

**SUBJECT: ARREST/PHYSICAL DESCRIPTION  
AND DRUG STAT REPORT**

**DRUG STAT INFORMATION**

- A. Drug stat information will be reported on the Arrest/Physical Description and Drug Stat form (SBI-4).
- B. When an investigation involves the seizure, historically documented or diversion of drugs, it will be reported on the SBI-4.
- C. "Historically Documented" will be accepted when there is evidence sufficient to charge, i.e., historical conspiracy.
- D. The information is to be reported as the drug name (from the table), quantity (weight, volume or count), the unit of measure and the type of activity (seizure = 01, historically documented = 02, or diverted = 03).
- E. Powders may be reported as: mg, gm, oz, lb, kilo.
- F. Liquids may be reported as: ml, tsp, fl oz, pt, lt, gal.
- G. Marijuana plants will be reported as: pl.
- H. Blotter LSD and all pharmaceutical drugs will be reported as: du (dosage unit).
- I. CRMS will only accept those drugs listed in the Drug Name Table. If the drug is not listed in the Drug Name Table, contact the Records Center for instructions.
- J. Multiple SBI-4s may be submitted for a case if drug activity occurs on an ongoing basis, just as with multiple arrests.
- K. When the form is completed, date, sign and submit to Special Agent In Charge for approval. If additional space is needed for charges, for example: six or seven charges, attach another SBI-4 filling out the Case Number and the Fingerprint Check Digit Number and then complete charges as appropriate.

**SUBJECT: ARREST/PHYSICAL DESCRIPTION  
AND DRUG STAT REPORT**

- L. Submit drug stats as they relate to the case not to the individuals arrest.
- M. Drug name, quantity, unit, and activity are all required fields when submitting Drug stat information.

See Form SBI-4.

**SUBJECT: ARREST/PHYSICAL DESCRIPTION  
 AND DRUG STAT REPORT**

**DRUG NAME TABLE**

| DRUG NAME                                  | DRUG NAME                       |
|--|---------------------------------|
| Heroin                                     | Morphine                        |
| LSD  | Meperidine                      |
| PCP Liquid                                 | Oxycodone                       |
| PCP Powder                                 | Hydrocodone                     |
| Cocaine Powder                             | Codeine                         |
| Crack/ Cocaine                             | Other Opiates                   |
| MDA  | Diazepam                        |
| MDMA                                       | Other Benzodiazepine            |
| Marijuana                                  | Ritalin                         |
| Marijuana Plant                            | Preludin                        |
| Hashish                                    | Fentanyl                        |
| Hash Oil                                   | Anabolic Steroid                |
| Psilocybin                                 | Propoxyphene                    |
| Methamphetamine                            | Barbiturates                    |
| N-Methylcathinone                          | Other Stimulants                |
| P 2 P (phenyl-2-propanone, phenyl acetone) | Other Sedative/Hypnotics)       |
| Methaqualone Tablet                        | Other Controlled Pharmaceutical |
| Methaqualone Powder                        | Stadol                          |
| Clandestine Amphetamine                    | Nubain                          |
| Dilaudid                                   | Other Non-Controlled            |

**SUBJECT: ARREST/PHYSICAL DESCRIPTION  
AND DRUG STAT REPORT**

**DRUG TYPE OF ACTIVITY**

- 01 Seizure
- 02 Historically Documented
- 03 Diverted

**DRUG UNIT WEIGHT CHART**

|             | <u>POWDER</u> |                                | <u>PLANTS</u>      |
|-------------|---------------|--------------------------------|--------------------|
| Milligram   | (mg)          | Plant                          | (pl)               |
| Gram        | (gm)          |                                |                    |
| Ounce       | (oz)          |                                |                    |
| Pound       | (lb)          |                                | <u>DOSAGE UNIT</u> |
| Kilogram    | (kilo)        | Tablet                         | (DU)               |
|             |               | Capsule                        | (DU)               |
|             |               | Blotter LSD                    | (DU)               |
|             |               | Ampule                         | (DU)               |
|             |               | Syringe                        | (DU)               |
|             |               | Teaspoon (5ml)                 | (DU)               |
|             |               | Note: All pharmaceutical drugs |                    |
|             |               | reported as dosage units.      |                    |
|             | <u>LIQUID</u> |                                |                    |
| Milliliters | (ml)          |                                |                    |
| Teaspoon    | (tsp)         |                                |                    |
| Fluid Ounce | (fl oz)       |                                |                    |
| Pint        | (pt)          |                                |                    |
| Liter       | (lt)          |                                |                    |
| Gallon      | (gal)         |                                |                    |

**COPIES OF ARREST WARRANTS OR INDICTMENTS**

Copies of arrest warrants or indictments are not required to be documented in the investigative report, unless necessary for prosecution.



# Section 8

## SBI-11 COVER SHEET/SYNOPSIS

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**SUBJECT: SBI - 11 COVER SHEET/SYNOPSIS**

**SBI-11 COVER SHEET**

- A. The SBI-11 is comprised of the cover sheet, the synopsis, and if applicable, a table of contents. The SBI-11 cover sheet and synopsis will not be submitted separately.
- B. An SBI-11 will be required in all cases except those closed under the early case suspension (CO9) code or polygraph only cases. An exception to this requirement may be granted by a Special Agent In Charge or an Assistant Special Agent In Charge with appropriate documentation of the exception being placed in the case file.
- C. An SBI-11 will be prepared in each police shooting case.
- D. The SBI-11 will normally be prepared when the investigation has been completed. An SBI-11 will be prepared and attached to the front of the SBI-11As prior to the submission of the report to the District Attorney and other official for review except in unusual cases where they specifically request the SBI-11As as soon as they are prepared.
- E. Once an SBI-11 is prepared, no further SBI-11 is required unless appropriate or so requested.
- F. An SBI-11 may be requested and will be prepared at any point in the investigation at the prerogative of Bureau supervisory personnel, the District Attorney, or Case Agent.
- G. Report Format For Cover Sheet
  - 1. SBI Case Number  
  
Obtained from Case Identification Report
  - 2. Date of Report  
  
Date that you dictate the SBI-11

**SUBJECT: SBI - 11 COVER SHEET/SYNOPSIS**

3. Victim

Applicable only in criminal matters identified in accordance with the initial Case Identification Report.

- a. Any time a person's name is used, give the full name or as much of same as possible; alias, race, sex, DOB, or approximate age if DOB is unavailable.
- b. If spelling is different or a more complete name is used from what was reported in the Case Identification Report, submit an Indices making the change.

Examples:

VICTIM: John Henry Smith  
AKA: Spike  
W/M/DOB: August 22, 1944

VICTIM: Mary (NMN) Jones  
B/F/DOB: September 9, 1942

VICTIM: Unidentified  
W/M/Approximately 40 to 50 years

VICTIM: "Bobby"  
B/M/19

- c. When victim is real property, i.e., a place of business, corporation, or state property, use the complete name, then include the owner's, partner's, manager's, or supervisor's full name, including race, sex, and position.

Examples:

VICTIM: Foodland, Incorporated,  
Thomas Hicks, W/M, General Manager

**SUBJECT: SBI - 11 COVER SHEET/SYNOPSIS**

VICTIM: Hall's Tractor and Equipment Company,  
Tom Hall, W/M, Owner

VICTIM: Smith's Grocery,  
Troy Smith, B/M, Owner/Operator

VICTIM: State Highway Patrol Garage,  
Erwin Cox, B/M, Supervisor

- d. In cases of drug violation, the victim is the State of North Carolina and in some out-of-state requests, the state that the requesting agency is located may serve as the victim, i.e., State of Texas.

However, as a general rule, except in drug cases and a few unusual cases, the victim will be readily identifiable.

4. Name

When conducting Background Investigations, the term "VICTIM" is dropped and term "NAME" is used.

5. Type of Case

This should agree with Crime Classification provided on the Case Identification Report or an Indices.

6. City and County

The name of the nearest town, city, or recognized community and the name of the county in which located. Include state if other than North Carolina.

7. Date Initiated

This is the date that the investigation was initiated and must agree with the Case Identification Report.

**SUBJECT: SBI-11 COVER SHEET/SYNOPSIS**

8. Request From

This information must agree with the information reported on the Case Identification Report.

- a. Title, name, and department of person actually requesting the investigation

Example: Sheriff John Doe, Cumberland County Sheriff's Department

- b. Original Jurisdiction

- c. If the person requesting the investigation submits a written request, the written request should be submitted to the file with an SBI-11A.

9. Suspect

Applicable only in criminal matters

- a. An individual should not be designated as a suspect unless information in the body of the attached or a previous report justified such designation.

- b. You must, whenever possible, set forth the following concerning suspects:

(1) The most complete NAME you have

(2) ALIAS

(3) RACE

(4) SEX

**SUBJECT: SBI - 11 COVER SHEET/SYNOPSIS**

- (5) DATE OF BIRTH or approximate age if DATE OF BIRTH is unavailable
- c. The same examples set forth under "VICTIM" can be utilized here.
- Example:
- John Always Doe  
AKA: Streetdog  
W/M/DOB: August 16, 1968
- d. Once an individual has been designated as a suspect, in any report or investigation, his/her ultimate involvement in the matter should be resolved if possible.
- e. When a suspect is listed and subsequently eliminated as a suspect, an SBI Indices to that effect will be submitted to the Records Center. The suspect's name will be modified to "subject."
- f. One of the most important things to remember is that once you have listed an individual as being a suspect, you must be able to account for him/her logically from that point on until his/her involvement is terminated, either by elimination, conviction, or acquittal. However, if you are unable to eliminate someone as a suspect, the final report may be submitted and the person left as a suspect in the case. The suspect may be changed to a subject by submitting an Indices.

**SUBJECT: SBI-11 COVER SHEET/SYNOPSIS**

10. Status

a. Pending

Additional investigation and subsequent reports are required.

b. Pending Court

An arrest has been effected.

c. Inactive

(1) An unsolved homicide case should receive a complete review by the Special Agent In Charge or a Criminal Specialist and determine that all leads have been appropriately addressed.

(2) The Case Agent should request authorization from the Special Agent In Charge to place the case in a closed status as "Inactive" and submit a Final Report, SBI-19, with a case closing code C08. The Agent should make no determination of suspect disposition.

(3) The Special Agent In Charge signs the SBI-19 and sends it to the Records Center.

d. Closed

Investigation completed or terminated because of circumstances enumerated in the report.

e. Reopened/Pending



**SUBJECT: SBI - 11 COVER SHEET/SYNOPSIS**

- f. Reopened/Pending Court
  - (1) Case previously closed, but reopened because of circumstances reflected in the report.
  - (2) When a case is reopened, the Case Agent will submit a memorandum to the Records Center Supervisor and to the respective District Office advising that the case is being reopened and a brief explanation. The memo will include the Current Agent Assigned (CAA) and the District in Charge (DIC).

11. Report Made By

The name and title of the individual preparing the report regardless of to whom the investigation is assigned.

12. Dictated

The date dictated.

13. Received

The date received to be filled in by the Records Center.

14. Transcribed

The date transcribed to be filled in by the Records Center.

15. Copies To

Automatically, the original report goes to the Records Center and a copy to the Agent dictating the SBI-11. These copies are not listed under the "Copies To:" format.

**SUBJECT: SBI-11 COVER SHEET/SYNOPSIS**

- a. Copies To: shall list the Special Agent In Charge and name, Case Agent, if other than Dictating Agent, other Bureau personnel by rank/position and name. District Attorney and name, and other designated authorized individuals.
- b. In Applicant Background Investigations, only the original report is prepared.

**SYNOPSIS**

- A. The synopsis will include the particulars of the crime itself, significant evidence identified and results of laboratory tests/analysis, motive if firmly established, primary suspects, key testimony, and particulars of arrest if applicable, as related in the SBI-11As and other reports to be attached to the SBI-11 Cover Sheet and Synopsis.
- B. The beginning of the synopsis should normally set out the crime events or allegations, followed with brief statements reflecting the investigative results.
- C. A person unfamiliar with an investigation should be able to read a synopsis and obtain a general understanding of the case including the crime that occurred or the allegations that were made and the information and/or evidence developed in the investigation. The synopsis should enable the reader to know what to look for as the reader reviews the attached SBI-11As of investigative activity.
- D. The synopsis should not include hearsay information if the same information is obtained firsthand. Do not say Deputy Smith said John Doe told him so and so. If you interview John Doe and he tells you the same thing, the synopsis in this case should reflect what John Doe told you.
- E. In a synopsis, do not refer to individuals only as the victim or suspect; use their full names.
- F. The last paragraph of the synopsis should reflect the status of the case such as:

**SUBJECT: SBI - 11 COVER SHEET/SYNOPSIS**

1. "This investigation is pending;" or,
2. "This investigation is pending court;" or,
3. "Investigation is pending a review and decision by the District Attorney if further investigation and/or prosecution is warranted;" or,
4. "This investigation is closed."
5. Once the Cover Sheet and Synopsis is processed, the Records Section will disseminate the following additional documents to the Case Agent for delivery to the Prosecuting Attorney:
  - a. SBI-135 Certificate of Delivery,
  - b. Documents Result Set List, and
  - c. Updated SBI-10 Green Sheet.

**TABLE OF CONTENTS**

- A. A Table of Contents may be requested and prepared at the prerogative of Bureau supervisory personnel, a District Attorney, or Case Agent.
- B. The Table of Contents will follow the synopsis, and the number of pages for the Synopsis and the Table of Contents will be in lower case Roman numerals at the bottom of the pages.
- C. If a Table of Contents is prepared, the Case Agent will stamp consecutive page numbers on the SBI-11A, center bottom of pages, beginning with the first SBI-11A as page 1.
- D. After the pages are numbered, the Case Agent will dictate the Cover Sheet, Synopsis, and Table of Contents.

**SUBJECT: SBI - 11 COVER SHEET/SYNOPSIS**

- E. The Table of Contents will only go with the Case Agent and District Attorney's copies of the report, since the copies of pages on file at the Records Center and the District Office will not be consecutively numbered. Example:

| TABLE OF CONTENTS                   |             |
|-------------------------------------|-------------|
| <u>SUBJECT</u>                      | <u>PAGE</u> |
| Crime Scene                         | 1           |
| Interview of Sheriff Joseph McQueen | 2           |
| Interview of John Robert Smith      | 7           |

- F. An appropriate tabbing system may be used in lieu of table of contents.

**INVESTIGATIVE REPORTS REQUIRED AND FILE ORDER**

- A. An "Investigative Report" (Form SBI-11 and SBI-11A) will be submitted for every Case Identification Report submitted on cases in which the SBI is the lead agency or in which the SBI shares the lead agency's responsibility.
- B. District Office files should be maintained in the following order. The order of other reports within the file is at the discretion of District Staff.

**Front of Investigative File:**

SBI-10 Case Identification Report

SBI-11

Cover Sheet

Synopsis

Table of Contents, if applicable

**SUBJECT: SBI - 11 COVER SHEET/SYNOPSIS**

**Back of Investigative File:**

SBI-4

Arrest and Physical Description, if applicable

SBI-19

Defendant and/or Final Case Disposition Report(s)

(May have multiple defendant disposition reports but one Final Case Disposition Report.)



# Section 9

## SBI-19 DEFENDANT/SUSPECT DISPOSITION AND CLOSING REPORT INTERVIEWS

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**SUBJECT: SBI-19 DEFENDANT/SUSPECT  
DISPOSITION AND CLOSING REPORT**

**SBI-19 DEFENDANT/SUSPECT DISPOSITION AND CLOSING REPORT**

- A. An investigation will not be considered completed or terminated administratively until a Defendant/Suspect Disposition and Closing Report is received by the Records Center. An exemption is allowed in Marijuana Eradication Cases.
- B. A Defendant/Suspect Disposition and Closing Report will not be accepted until any required SBI-11 Cover Sheet and Synopsis and related SBI-11As are in the file.
- C. Once an investigation is initiated and the Case Identification Report (SBI-10) is submitted to the Records Center, the Records Center enters the case into CRMS and the investigation becomes a pending case. The status of that case remains pending until the case closing report is submitted, at which time the status of the case is modified to reflect the case disposition listed on the SBI-19.
- D. One SBI-19 is submitted for each action in the disposition of each defendant/suspect, i.e., court or regulatory action. As each defendant/suspect may have different action taken or reason for no action, the defendant/suspect disposition code pertains only to the defendant/suspect listed on the SBI-19.
- E. Part A
  - 1. Defendant/Suspect Disposition Report Code
    - a. The disposition of each defendant and suspect shall be reported with the appropriate code for the action or lack of action.
    - b. For the purposes of the SBI-19 Defendant/Suspect Disposition Report, a defendant is a suspect that has been charged with a criminal offense or charged with some type of action before a regulatory body.

**SUBJECT: SBI-19 DEFENDANT/SUSPECT  
DISPOSITION AND CLOSING REPORT**

- c. When a suspect is charged with a criminal offense(s) or regulatory body action and becomes a defendant, the adjudication of each charge must be reflected on a Defendant/Suspect Disposition Report. Even if a defendant is charged and the charges are subsequently dismissed, the dismissal of the charges must be reported. An exception is allowed in undercover drug cases and drug searches which can be closed at arrest when (1) the Agent is not in custody of any evidence in the case, and is not the anticipated recipient of evidence (lab or otherwise); (2) all the reporting requirements have been met; and (3) The SBI-19 reflects the court jurisdiction and court docket numbers for the pending charges for each defendant.
- d. Each time a defendant's charges are adjudicated by a court or regulatory body, a Defendant/Suspect Disposition Report is to be submitted within 60 days of the court or regulatory body adjudication and sentencing. An X will be placed in the block beside Defendant/Suspect Disposition Report.
- e. Only one defendant can be listed on each Defendant/Suspect Disposition Report.
- f. An SBI-4 must be on file in order to close a case and/or a defendant C-1 or C-3, unless charges were dismissed by a prosecutor prior to service of an arrest warrant or order. Explain in Remarks. A suspect (one who is not a defendant) disposition may also be reported on this form, if appropriate, under codes C-4, C-5, C-7 or C-99. **All limited assistance cases will be closed C-6 and a Defendant/Suspect disposition is not required.**

**SUBJECT: SBI-19 DEFENDANT/SUSPECT  
DISPOSITION AND CLOSING REPORT**

- g. To report the disposition of a single defendant/suspect,
- (1) The block beside Defendant/Suspect Disposition Report is checked and the appropriate code is inserted in the "Code" space.
  - (2) In completing the Defendant/Suspect Disposition Report, only one of the following codes will be used:
    - (a) C01 COURT ACTION  
  
Action by Court; deferred prosecution or judgment; dismissal by District Attorney, (Use if any defendant was charged.)
    - (b) C02 REGULATORY BODY ACTION  
  
Use if any defendant was charged by regulatory board. Explain in Remarks.
    - (c) C03 COURT AND REGULATORY BODY ACTION  
  
Use if there was a combination of court charges and regulatory board action. Explain Regulatory Action in Remarks.
    - (d) C04 NON-CULPABLE  
  
No criminal violation was committed. Explain in Remarks
    - (e) C05 EXCEPTIONAL  
  
Identity and location of offender are known and sufficient information is available to obtain arrest order but arrest cannot be

**SUBJECT: SBI-19 DEFENDANT/SUSPECT  
DISPOSITION AND CLOSING REPORT**

effected because of reasons beyond control of Agent (explain in remarks). Suspect dead, or victim refuses to prosecute, or District Attorney declines prosecution prior to arrest, or suspect tried in another jurisdiction for the same offense, or suspect is juvenile who cannot be brought to trial, or suspect has immunity, or offense occurred in another jurisdiction, or another jurisdiction refuses extradition. The case is exceptionally completed and no further investigative action or prosecution is warranted. (Explain in Remarks)

(f) C07 LEADS EXHAUSTED

Identity or location of suspect cannot be determined; or identity or location of victim or witness cannot be determined, or unable to prove or disprove crime was committed, or insufficient evidence to prosecute.

(g) C-99 OTHER

SBI FILE 2002-00001

SUSPECTS Jones, Smith, Williams, Brown

DEFENDANT/SUSPECT DISPOSITIONS

NAME ACTION DISPOSITION CODE

Jones Charged & Convicted C01

Smith Charged - Not Guilty C01

Williams Leads Exhausted C-7

**SUBJECT: SBI-19 DEFENDANT/SUSPECT  
DISPOSITION AND CLOSING REPORT**

Brown Immunity to Testify C05

Submit four SBI-19s

**CASE CLOSING**

Case Closing Code: C01

Code C01 due to Jones are Smith being charged. This may be reported on a fifth SBI-19 or by checking both blocks on the fourth SBI-19 and reflecting defendant/suspect disposition code and case closing code.

h. Defendant/Suspect:

If there is a defendant and the SBI-19 is being used as a Defendant Disposition Report, the defendant's full name will be listed on the applicable line.

- (1) When more than one defendant is charged in a case, there must be a Defendant/ Suspect Disposition Report submitted for each defendant. As each defendant is tried or the charges adjudicated, a new Defendant/Suspect Disposition Report is to be submitted.
- (2) When an Agent is reporting only a Defendant/ Suspect Disposition, and the case is to remain open, only the block next to Defendant/Suspect Disposition Report will be checked.
- (3) If a suspect enters a guilty plea pursuant to a bill of information and there has been no prior or formal charging document, an SBI-4 will be required.

**SUBJECT: SBI-19 DEFENDANT/SUSPECT  
DISPOSITION AND CLOSING REPORT**

i. New Codes:

New codes are to be completed if they are not previously submitted. REL: is the relationship of defendant/suspect to the victim; PROF: is the profession of the defendant/suspect.

See Relationship and Profession Code Tables, Section 14.

j. Victim:

The SBI Case Number and the name of the victim will be listed on each SBI-19 on the applicable lines. For multiple victims, list the primary victim unless you are updating the profession code.

k. New Codes:

New codes are to be completed if they were not previously submitted. Relationship codes are not required for individuals who are indexed as victims; PROF: is the profession of the victim.

See Relationship and Profession Code Tables,

Section 14.

l. Court/Date:

If it is a court adjudication, the name of the court, such as Wake Superior or Wake District, will be listed beside Court; and the court dates will be listed beside "Dates:." If the court action lasted only one day, that date will be listed; if the court action lasted several days, all days will be listed.

**SUBJECT: SBI-19 DEFENDANT/SUSPECT  
DISPOSITION AND CLOSING REPORT**

m. Docket Number, Charges, Verdict, Sentence/Disposition:

If it is a court adjudication, the Court Docket Numbers for each charge will be listed, and the Verdict and Sentence/Disposition for each charge will be listed in the applicable columns. The charges will be written out, abbreviations are discouraged.

n. Remarks:

The Remarks block will contain any additional relevant information the Case Agent desires to submit. It is also used to explain the reasons for closing a case or defendant/suspect disposition other than court or regulatory body action. An example would be as follows: On (date), District Attorney A. B. Provost advised that he was declining prosecution in this case because there was a lack of sufficient evidence to merit a successful prosecution.

F. Part B

1. Case Closing Report

a. A case is closed only one time and there is only one Closing Code per case.

(1) The block beside "Case Closing Report Code \_\_\_\_\_" is checked only one time per case and at that time the Closing Code number is entered and the case is completely closed.

(2) This is done within 10 days of the case being entirely closed and the investigation and all reports having been completed and a decision having been made to close the case, or put the case in an inactive status, or submission of the final Defendant /Suspect Disposition Report in Part A of the SBI-19.

**SUBJECT: SBI-19 DEFENDANT/SUSPECT  
DISPOSITION AND CLOSING REPORT**

- (3) The only times that both the block beside Defendant/Suspect Disposition Report in Part A and the block beside Case Closing Code in Part B are checked will be when there is only one defendant and all charges are adjudicated the same day and the case is being completely closed or when the final charges have been adjudicated against the last remaining defendant/suspect and the case is being completely closed.

Example: If there are two defendants charged in a case, and the charges against both defendants were adjudicated the same date, the Case Agent would submit two SBI-19s. The first SBI-19 would only be a Defendant Disposition Report reflecting the code for adjudication of the charges against one of the defendants and only the block beside Defendant Disposition Report would be checked. The second SBI-19 would reflect the adjudication code of charges against the other defendant. On this SBI-19, the block beside Defendant/Suspect Disposition Report would be checked and the block beside Case Closing Code would also be checked, adding a court Action Closing Code of C01, C02, or C03, which would finally close the case.

- b. In completing the case closing, only one of the following codes will be used to close the case.

- (a) C01 COURT ACTION

Action by Court; deferred prosecution or judgment; dismissal by District Attorney, (Case Closing - Use if any defendant was charged, exception C03.)



**SUBJECT: SBI-19 DEFENDANT/SUSPECT  
DISPOSITION AND CLOSING REPORT**

(b) C02 REGULATORY BODY ACTION

Use if any defendant was charged by regulatory board. Explain in Remarks

(c) C03 COURT AND REGULATORY BODY ACTION

Use if there was a combination of court charges and regulatory board action. Explain Regulatory Action in Remarks. (Case Closing - Use if any defendant disposition was C03.)

(d) C04 NON-CULPABLE

No criminal violation was committed. (Explain in Remarks)

(e) C05 EXCEPTIONAL

Identity and location of offender are known and sufficient information is available to obtain arrest order but arrest cannot be effected because of reasons beyond control of Agent (explain in remarks). Suspect dead, or victim refuses to prosecute, or District Attorney declines prosecution prior to arrest, or suspect tried in another jurisdiction for same offense, or suspect is juvenile who cannot be brought to trial, or suspect has immunity, or offense occurred in another jurisdiction, or another jurisdiction refuses extradition, or etc. (Explain in Remarks)

(f) C06 LIMITED ASSISTANCE

Matters that were durational or conditional; or background investigations; or technical/crime scene assistance or searches; or processing evidence; or

**SUBJECT: SBI-19 DEFENDANT/SUSPECT  
DISPOSITION AND CLOSING REPORT**

location of individuals; or interview of individual(s); or polygraph; or arrest or searches in non-Bureau cases; or manpower assistance only. Code C06 is the case closing for all limited assistance investigations.

(g) C07 LEADS EXHAUSTED

Identity or location of suspect cannot be determined; or identity or location of victim or witness cannot be determined, or unable to prove or disprove crime was committed, or insufficient evidence to prosecute.

(h) C08 INACTIVE HOMICIDE

Homicide cases with no productive leads may be given an "Inactive" status when:

- 1) The Special Agent in Charge, Criminal Specialist, or unit supervisor has completely reviewed the case and determined that all leads have been appropriately addressed.
- 2) The Case Agent assigned verbally requests authorization from the Special Agent In Charge to place the case in a status of "Inactive" and submits a Final Report, SBI-19, with a case closing code of "C08." The Agent should make no determination of suspect disposition.
- 3) The Special Agent in Charge, Criminal Specialist, or unit supervisor signs the SBI-19 and submits it to the Bureau Records Center.

**SUBJECT: SBI-19 DEFENDANT/SUSPECT  
DISPOSITION AND CLOSING REPORT**

- 4) The "Inactive" status eliminates the case from appearing on the 180 Day Status Report.
  - 5) A case may be retrieved from the Bureau Records Center and if necessary reopened by submitting a memorandum to the file.
- (i) C09 EARLY CASE SUSPENSION
- 1) Early Case Suspension is intended as a case of resources, prevent non-productive work on dead-end cases, close cases which, after minimum investigation, will not be prosecuted, and to reduce management tool to allow proper utilization the reporting requirement on selective investigations.
  - 2) The managing Special Agent In Charge shall have the authority to suspend an investigation by placing it in "Early Case Suspension" status after a review with the Agent. Early Case Suspension is a closing code.
  - 3) Early Case Suspension could be appropriate when there are no leads to follow, investigation determines there is no criminal violation, the District Attorney very early declines prosecution, after 16 or more investigative hours on a Category III or Category IV case with the solvability score of less than ten, or if resources are needed for higher priority investigations. An Early Case Suspension case may be reopened at any time.

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DISPOSITION AND CLOSING REPORT**

- 4) A request for Early Case Suspension authorization must be made to the managing Special Agent In Charge or his designee. If approved, the authorization will be documented in the Remarks Section of the SBI-19. Include the date of the authorization along with the justification.
  - 5) The Agent is required to prepare SBI-11As reflecting investigative activity conducted up to the date of the case suspension.
  - (6) Early Case Suspension is not a substitute for management's responsibility to apply case management guidelines prior to initiating an investigation.
- (j) C99 OTHER
- c. Marijuana Eradication Cases opened and closed on the SBI-10.
  - d. A regulatory body includes such groups as the North Carolina Board of Medical Examiners, the North Carolina Board of Pharmacy, and the North Carolina Judicial Standards Commission.
  - e. Complete Crime Classification Codes:  
  
Complete Crime Classification Codes is an update field. Use this field for additions or modifications to crime classifications. It will be necessary to restate all correct crime classification(s) previously submitted along with the new classification(s). Report will be modified to reflect the latest submission.

See Crime Classification Code Table, Section 14.

**SUBJECT: SBI-19 DEFENDANT/SUSPECT  
DISPOSITION AND CLOSING REPORT**

f. Evidence:

On a Case Closing Report, one of the three Evidence blocks is to be checked.

- (1) If there is no physical evidence seized in the case, the block beside None Seized will be checked.
- (2) If all physical evidence is seized and handled by another law enforcement agency involved in the investigation and that evidence is documented in the SBI investigative report, the block beside Handled By Other Agency and Documented In Report will be checked.
- (3) When a Bureau Agent seizes physical evidence and/or becomes involved in the chain of custody of evidence, the block beside SBI-69A and SBI-69Bs attached will be checked and the SBI-69A(s) and SBI-69B(s) will be submitted with the Case Closing Report.

g. Special Agent, Date, Approved, Date:

The Case Agent will sign and date each SBI-19 and if approved, the Case Agent's Special Agent In Charge or designee will sign and date each SBI-19.

- h. The Case Agent will submit an original and at least two copies of each SBI-19 to his/her Special Agent In Charge.
- i. The Agent will submit, if necessary, a Case Identification Report updating any additional field data.

See Form SBI-19.



# Section 10

## **DICTATION, DISSEMINATION, FILE RETENTION**

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# Section 10

## DICTATION, DISSEMINATION, FILE RETENTION

SBI-11 COVER SHEET AND SYNOPSIS ..... 10-7





















**SUBJECT:                    DICTATION, DISSEMINATION,  
   FILE RETENTION**

3.     Do not staple attachments together.
4.     Place attachments in the correct order.
5.     Remember: When dictating the body of your interviews and other reports, state the attachment number to be attached to that particular SBI-11A within the text of the report and state "see Attachment #1."

D.     Duplication of Contents Under Different Case Numbers

You may at some time need to dictate the same contents of an interview or other report, under different case numbers. The procedure for doing so is as follows:

1.     First, you would dictate the complete report under one case number.
2.     At the completion of the report you would state, "Block out for case number" give the new case number and complete all the document header information as in the previous case number for the new case number. Then state, "Duplicate the text material from the previous case number and insert in this case number." Make sure any suspects or victims listed in the previous case have also been indexed into the duplicate case.
3.     To have a report duplicated under a different case number, after dictation has been submitted, contact the Records Center Supervisor who will attach the report to an 11A for inclusion under the new case number.

E.     Dictating memoranda; see Memoranda, Section 11, for detailed instructions. Memoranda with SBI Case Numbers may be submitted to the Records Center for processing. Submission of memoranda not related to an SBI case must be approved by Records Supervisor.

























**SUBJECT:                    DICTATION, DISSEMINATION,  
                                      FILE RETENTION**

**GENERAL GUIDELINES CONCERNING DISSEMINATION AND REVIEW OF  
INVESTIGATIVE REPORTS AND FILES**

- A. Agents who are served subpoenas, court orders, or other legal documents seeking all or part of a Bureau investigative report are to verbally notify the appropriate Special Agent In Charge and Bureau legal counsel immediately.
  - 1. A memorandum to the Director with attached copy of the legal document will be submitted by the Agent at once!
  - 2. The Records Supervisor is the custodian of Bureau investigative files, not a Bureau Agent.
- B. **Agents are not authorized to copy and disseminate investigative reports or any part of a report to anyone to include:** District Attorneys, local law enforcement officials, public officials, attorneys, members of the news media, or other Bureau Agents.
- C. At the time any part of an investigative report is dictated, a copy of the dictation may be designated to any Agent actively involved in the investigation; however, if an Agent who is not actively involved in an ongoing investigation has a need to obtain an investigative report or part of the report, the Case Agent is to submit an SBI-104, Request for Dissemination, for approval by an Assistant Director.
- D. Agents who need copies of processed investigative reports must obtain the report through use of a Dissemination Request.
- E. Heads of law enforcement agencies who wish to review Bureau reports concerning the investigation of a law enforcement officer must contact the Director.
  - 1. Copies of investigative reports will not be furnished to heads of law enforcement agencies, but in certain cases the law enforcement head may be allowed to review the investigative report and make notes.





















**SUBJECT:                    DICTATION, DISSEMINATION,  
  FILE RETENTION**

1.       It is the Special Agent In Charge's responsibility to ensure that all records are in fact turned in.
  
  2.       Cases "Pending Court" in which the employee's testimony will be required should be retained by the district or unit office until the case is adjudicated.
- G.       Each District Special Agent In Charge or unit supervisor will maintain a duplicate set of all Reports of Investigation relating to criminal investigations conducted within his/her district by Agents assigned to their district.

**RETENTION OF INVESTIGATIVE FILES**

- A.       District Office copies of investigative files will be purged in accordance with the Records Retention Schedule:

Investigative Case File, Retention Schedule Item: 16664

Duplicate copies of records concerning each investigation conducted by district Agents. File includes initial reports, investigative reports, laboratory reports, and all other records related to the case. Files are grouped by year and sequential numbers, starting at the beginning of each year and arranged within by status of case (pending or closed). (Official copies are maintained in the Bureau Records Center.)

Disposition Instructions:

Destroy in office one year after case is closed.

1.       Beginning on January 1 of each year, Special Agents In Charge should review all cases which were closed prior to January 1 of the previous year.
  
2.       Cases which were adjudicated should be purged and destroyed.
  
3.       Minor cases which were closed "Leads Exhausted" or "Other" should be purged and destroyed.









# Section 11

## GENERAL INVESTIGATIVE REPORTS AND FORMS

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**SUBJECT:                    GENERAL INVESTIGATIVE  
   REPORTS AND FORMS**

**PHOTOGRAPHIC SECTION WORK ORDER REQUEST**

- A.     Three copies of this form must be submitted with each request for photographic work:
1.     The original will be sent to the SBI Records Section.
  2.     One copy will be retained in the SBI Photo Lab for five years.
  3.     One copy will be returned to the requesting officer.
- NOTE:                    The Photo Lab receives over 20 requests each working day. The staff does not have time to make copies or complete your work request for you.
- B.     Each photographic request is logged into the Photo Lab log book showing the date the request is received, master case number, name of submitting individual, agency, and what was received. If you must call to check on your request, be prepared to give the Photo Lab the date of your request, the case number, and what you requested.
- C.     All film submitted with a master case number will be retained in the SBI Photo Lab. Any film submitted without a master case number will be returned to the submitting individual.
- D.     The negatives in the Photo Lab files are treated as any other evidence and cannot be released to other individuals or agencies. If you submit film from another agency under your master case number, the negatives will be filed under your number and will become Bureau property.
- E.     Non-law enforcement recipients of prints from Bureau negatives must obtain a court order before the request will be honored and the recipient will be charged \$5.85 per print with payment to accompany the court order or the court order must specify that the Bureau can bill the Administrative Office of the Courts.

**SUBJECT:                    GENERAL INVESTIGATIVE  
                                      REPORTS AND FORMS**

F.        A copy of this form does not go in an investigative report.

See Form SBI-6.









|                 |  |
|-----------------|--|
| <b>SUBJECT:</b> | <b>GENERAL INVESTIGATIVE<br/>REPORTS AND FORMS</b> |
|-----------------|--|

1. In this section on the first line beginning with the word "To:" enter the name of the financial institution on which this customer consent will be served.
2. On the second line beginning "Re:" enter the name of the customer whose bank or financial records are to be obtained.
3. Sign the Certificate of Compliance as the law enforcement officer responsible for obtaining the customer consent. Include on the last two lines your full name, title, and the name of the North Carolina State Bureau of Investigation.
4. This Certificate of Compliance is the investigating Agent's guarantee to the financial institution that the investigating Agent has complied with all requirements of Sections 53B-4 and 53B-5 of the Financial Privacy Act.

See Form SBI-109.

**SUBJECT:                    GENERAL INVESTIGATIVE  
                                      REPORTS AND FORMS**

**SBI-36 REPORT OF CONVEYANCE SEIZED**

- A. Whenever an Agent seizes an automobile or other means of conveyance for confiscation, they shall submit a Report of Conveyance Seized (Form SBI-36) within five days of the seizure.
  - 1. If the seizure is involved with the federal forfeiture process, the SBI-36 does not apply and the Agent should submit a Federal DAG-71 form according to Bureau and Federal guidelines.
  - 2. When Agents seize vehicles and/or other means of conveyance during an investigation as evidence only, the SBI-36 does not apply. The Agent will need to leave a receipt with the owner or individual in control of the seized conveyance. Although the SBI-36 may not always be required, the seizure of a conveyance for any reason must be reported on an 11A and reported on the SBI-4.
- B. One copy of the SBI-36 report must be attached to the inside windshield of the seized property and three copies are forwarded to the appropriate Special Agent In Charge. The District Supervisor will make a recommendation based on information supplied by the Agent to have the vehicle turned over/not turned over to the Bureau for official use in investigations.
- C. A complete inventory will be made of the exterior and interior of the conveyance to include the trunk and other storage compartments. The inventory will include any item of value which could be removed from the conveyance with a minimum of effort. This inventory should be attached to a complete 11-A describing the seizure.

Example:        Seizure of 2002 Ford Escort, Navy Blue, North Carolina License SBI-100, registered to John Doe, 101 First Street, Greensboro, North Carolina, May 1, 2002

Give complete details of seizure/storage and attach copy of inventory.

See Form SBI-36.

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**SBI-94 SINGLE PARTY CONSENT**

- A.     Used to obtain single party consent from source, police officer, or Bureau Agent for any type of recorded conversation where one party is aware of the recording. Should be used for each conversation even if conversations occur on the same day. Used by any Agent.
  
- B.     The SBI-94 should be attached to the SBI-11. A reporting the investigative activity concerning the recorded conversation.

See Form SBI-94.



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**MEMORANDA**

- A.       Memoranda will be prepared on Bureau letterhead stationery or by computer or office automation utilizing the following format:

Date

**MEMORANDUM**

**TO:**

**FROM:**

**SUBJECT:**

When a Bureau case number is applicable, it should be reflected in the first line of SUBJECT, such as:

Subject:        SBI CASE 2001-03456 (345)  
Victim:         John Doe

- B.       A memorandum will be addressed to the name of the person it is being sent to and the original memorandum will be sent to this person.
- C.       When a memorandum is intended specifically for the Director, it will be addressed to the Director (Name).
- D.       If copies of a memorandum are sent to persons other than who the memorandum is addressed to, these individuals will be designated by cc: at the end of the memorandum.
- E.       When a memorandum concerns a Bureau investigative case, a copy of the memorandum should be designated for the Records Center for inclusion in the master file. A memorandum should not be utilized to report investigative activity in a Bureau investigative case or potential case when an SBI-11A would be appropriate.



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**CRIMINAL INTELLIGENCE REPORT**

- A. Criminal intelligence information may be submitted verbally, in memorandum form, or on the Criminal Intelligence Report form. Intelligence information may not be included in investigative case files.
- B. The Criminal Intelligence Report form should be filled out as follows: The form may be typed or handwritten (if legible).

- 1. CISS (ITSS) Number

- This number will be assigned upon receipt in the Intelligence and Technical Services Section. A form letter will be returned to the submitting Agent indicating the CISS (ITSS) file number.

- 2. Date

- The date the form is completed.

- 3. Agent

- The name of the Agent submitting the form.

- 4. SBI Case #

- If the intelligence information is related to an SBI case file, the case number should be indicated.

- 5. CAA

- The Case Agent assigned to the related SBI case file.

- 6. DIC

- The district of the Case Agent assigned.



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7. Suspect  
The name of the suspect of the submitted intelligence.
8. Race  
The suspect's race.
9. Sex  
The suspect's sex.
10. DOB/Age  
The suspect's date of birth or approximate age.
11. SS #  
The suspect's Social Security Number.
12. Height  
The suspect's height.
13. Weight  
The weight of the suspect.
14. FBI/SID #  
The suspect's FBI number or State Identifying (SID) number.
15. OL#  
The suspect's operator's license number.

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16.    State  
  
      The state where the suspect's operator's license was issued.
17.    Address  
  
      The street; city, state, and zip code of the suspect.
18.    Phone  
  
      The suspect's phone number including the area code.
19.    Employer  
  
      The suspect's employer.
20.    Phone  
  
      The suspect's employers phone number including the area code.
21.    Address  
  
      The address of the suspect's employer including street, city state,  
      and zip code.
22.    Vehicle Color  
  
      The color of the suspect's vehicle.
23.    Vehicle Make  
  
      The make of the suspect's vehicle.
24.    Vehicle Year  
  
      The model year of the suspect's vehicle.

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25.    Lic #/State

The suspect's vehicle plate number and the state where issued.

#26 - #44

The same information as #7 - #25 for a second suspect if applicable.

45.    Victim

The name of the victim in suspected criminal activity.

46.    Race

The race of the victim.

47.    Sex

The sex of the victim.

48.    DOB/Age

The victim's date of birth or approximate age.

49.    Address

The victim's street, city, state, and zip code.

50.    SBI Source #

If information was provided by a confidential source of information, indicate the assigned source number.

51.    Source Reliability

Place an "X" in the box which best evaluates the source's reliability:  
Reliable, Usually Reliable, Unreliable or Unknown.

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52.   Content Validity

Place an "X" in the box which best evaluates the probability of the validity of the information provided: Confirmed, Probable, Doubtful, or Cannot be Judged.

53.   Dissemination Restriction.

Place an "X" in the box which indicates the requested dissemination: Right and Need to Know, Bureau Only, or None Without Prior Approval of Submitting Agent.

54.   Narrative

Summarize the intelligence information in narrative form. Additional pages may be attached if required.

55.   Action Requested

Place an "X" by the action on contact requested, if applicable. If action is requested other than the choices given, give specifics of the requested action.

See Criminal Intelligence Report, Form SBI-25.



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**INVENTORY LIST OF INVESTIGATIVE FORMS**

|         |   |
|---------|---|
| SBI-3   | SBI Child Abuse Initial Contact Sheet                             |
| SBI-4   | Arrest/Physical Description/Drug Stat Data Sheet                  |
| SBI-5   | Request for Examination of Physical Evidence                      |
| SBI-5A  | Request for Examination of Physical Evidence (Continuation Sheet) |
| SBI-10  | Case Identification Report  |
| SBI-10A | Case Identification Report (Continuation. Sheet)                  |
| SBI-10D | Case Identification Report - Limited Assistance-                  |
| SBI-11  | Report of Investigative Activity Cover Sheet and Synopsis         |
| SBI-11A | Report of Investigative Activity                                  |
| SBI-13  | Administrative Subpoena   |
| SBI-15  | Consent to Search   |
| SBI 21  | IBIS Test-Fire Submission Form                                    |
| SBI-33  | Interrogation - Advisement of Rights                              |
| SBI-36  | Report of Conveyance Seized                                       |
| SBI-56  | Polygraph Parental Consent Form                                   |
| SBI-57A | Polygraph Adult Advice of Rights                                  |
| SBI-57B | Polygraph Juvenile Advice of Rights                               |
| SBI-62  | Technical Field Assistance - Crime Lab                            |
| SBI-69  | Evidence Return Inventory   |
| SBI-69B | Physical Evidence Transfer Receipt or Disposition Report          |
| SBI-69F | Crime Laboratory Physical Evidence Destruction Report             |
| SBI-78  | State Property Incident Report                                    |
| SBI-79  | Electronic Surveillance Intercept Summary Report                  |
| SBI-80  | Electronic Surveillance Intercept Yearly Report                   |
| SBI-81  | Pertinent Calls Log (Continuation Page)                           |
| SBI-84  | Request for Electronic Surveillance Intercept                     |
| SBI-85  | Request for Electronic Surveillance Intercept, Pager Intercept    |
| SBI-86  | Inventory of Non-Participants of Wiretap/Intercept                |
| SBI-87  | Wiretap/Monitoring Log  |
| SBI-89  | Fire Scene Search Workbook  |
| SBI-90  | Rights of a Juvenile  |
| SBI-91  | Agree to Accompany  |
| SBI-94  | Recording Authorization, Single Party Consent                     |
| SBI-100 | Emergency Request for Electronic Surveillance Intercept Customer  |
| SBI-109 | Consent for Access to Financial                                   |

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|          |  |
|----------|--|
| SBI-111  | Records Request for Technical Assistance   |
| SBI-114  | Clandestine Laboratory Hazard Appraisal and Recognition Plan (HARP)                      |
| SBI-118  | Investigative Field Notes  |
| SBI-121  | Request for Prescription/Controlled Substance Records                                    |
| SBI-130  | Obtaining Handwriting Standards  |
| SBI-131  | Handwriting Standard Forms for Check Cases – Personal                                    |
| SBI-131A | Handwriting Standard Forms for Check Cases – Business                                    |
| SBI-132  | North Carolina State Bureau. of Investigation Crisis Negotiation Team<br>Incident Report |
| SBI-135  | Certificate of Delivery of State Bureau of Investigation Case File                       |
| SBI-139  | Authorization for Release and Disclosure of Protected Health<br>Information              |
| SBI-146  | Restricted – Use of Information Waiver   |
| SBI-147  | Source of Information Agreement  |





# Section 12

## DRUG INVESTIGATIONS

|  |      |
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**UNDERCOVER PURCHASES**

- A. An Agent making an undercover purchase of evidence has the responsibility for completing the detailed investigative report.
  - 1. The case may be opened by another Agent, but the SBI-11A or SBI-11As relating directly to the purchase and any other activity conducted directly by the undercover Agent must be completed by the undercover Agent.
  - 2. If non-Bureau individuals make a purchase, the Agent guiding those individuals will make the report.
  
- B. The following information should be included in the report (SBI-11As):
  - 1. The name of the Agent or the name or code.
  - 2. The name of any other person actually purchasing the evidence and attire.
  - 3. The date and time of purchase.
  - 4. The location by county of the purchase.
  - 5. The location by city, street.
  - 6. Names and descriptions when name(s) known, of persons present at time of purchase.
  - 7. The name, alias, and physical description, including attire of persons making sale.
  - 8. The attire of the person(s) making the purchase.
  - 9. The make, model, and color, and other description of the vehicle in which persons making the sale were traveling.

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10. The description of suspected evidence purchased and disposition of same by the undercover agent/officer/cooperating witness.
  11. The amount paid, who received payment, denominations, and other description of money paid for purchase. Report the method of actually transferring funds from purchaser to seller. Note the amount of money that is SBI Special Funds and the amount and source of other funds.
  12. Report any pertinent statements made by individual making sale.
  13. Report all other pertinent information relating to the undercover purchase, including physical description of area in which purchase was made (crime scene).
- C. The following reports are required in an SBI investigative case file regarding an undercover purchase:
1. An SBI-11A, Undercover narrative report/interview of the undercover officer/cooperating witness, which includes the aforementioned information.
  2. An SBI-11A, Surveillance Report, consistent with Section 5-14, Surveillance Report in the SBI Report Writing Manual.
  3. An SBI-4, Arrest Report and Drug Stats.
  4. An SBI Special Funds reimbursement/restitution letter to the prosecutor, if applicable in the case.
  5. SBI-5, Lab report.
  6. Cover sheet (SBI-11) and Synopsis.

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7. The following are optional:
  - a. Dissemination of Criminal History
  - b. Dissemination of photocopy of buy money
  - c. Copy of Arrest warrants
  - d. Crime Scene 11A
  - e. Evidence accountability 11A
  - f. Suspect interview

## **DRUG SEARCHES**

- A. The following reports are required in an SBI investigative case file regarding a drug search:
  1. Crime Scene Search 11A, consistent with Section 6, Crime Scene and Evidence Accountability in the Report Writing Manual.
  2. Copy of search warrant and inventory of seized property.
  3. An SBI-4, Arrest Report and Drug Stats.
  4. SBI-5 Lab report.
  5. The following are optional:
    - a. Dissemination of Criminal History
    - b. Copy of Arrest warrants
    - c. Evidence accountability 11A
    - d. Suspect interview.

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- B. Undercover purchase and drug search investigations may be closed after the arrest, under the following conditions:
1. An Agent is not in custody of any evidence in the case and is not the anticipated recipient of evidence (lab or otherwise).
  2. All the reporting requirements have been met.
  3. The SBI-19, Defendant/Suspect Disposition and Closing Report, reflects the court jurisdiction and court docket numbers for the pending charges for each defendant.

**CONTROLLED PURCHASES WITH NO INTENT OF PROSECUTION**

A case should be opened for controlled purchases that are made to establish the reliability of a confidential source/cooperating witness, with no intent of prosecution of the buy. The case may be reported on an SBI-10, provided there is sufficient space for necessary details, and closed on an SBI-19. The disposition of the controlled substance will be completed in accordance with SBI Policy and Procedure, and reported on SBI- 69As and SBI-69Bs.

**ABANDONED OR RECOVERED CONTRABAND**

A case should be opened to report recovered or abandoned controlled substances, where the only purpose is for evidence accountability and/or destruction. The case may be reported on an SBI-10, provided there is sufficient space for necessary details, and closed on an SBI-19. The disposition of the controlled substance will be completed in accordance with SBI Policy and Procedure, and reported on SBI-69As and SBI-69Bs.

**NON-PRODUCTIVE SEARCHES**

A case should be opened to report the execution of a search warrant when no evidence is seized, or when misdemeanor amounts of controlled substances are seized, and no arrests are made. The case may be reported on an SBI-10, provided same includes a detailed description of the search, including a description of the premises, description of item(s) seized, participants in the search, and

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provided there is no damage or injury to persons or property. The disposition of the controlled substance will be completed in accordance with SBI Policy and Procedure, and reported on SBI-69As and SBI-69Bs. A copy of the crime scene sketch, search warrant and inventory of seized property will be attached to an SBI-11A. The case should be closed on an SBI-19.

**DRUG CONSPIRACY INVESTIGATIONS**

See Section 3 of the SBI Report Writing Manual.

**MARIJUANA ERADICATION CASES**

Marijuana Eradication cases will be opened on an SBI-10 (Case Identification Report). The synopsis shall include the number of plots, plants seized, longitude and latitude coordinates, and any other pertinent information regarding the seizure. The name, rank, and department of the officer taking custody of the seized Marijuana, or the disposition of the seized Marijuana must be reported in the synopsis.

The Domestic Marijuana Eradication Report must be completed by the Case Agent involved in the seizure of any Marijuana related to either indoor or outdoor grow operations.

A copy of the Domestic Marijuana Eradication Report shall be attached to the SBI-10 (Case Identification Report) that is submitted to the Records Center and to the SBI-10 submitted to the district/section/unit office designated as the District in Charge. In the event the SBI-10 is prepared and submitted to the Records Center electronically, the Case Agent shall, within 24 hours or the next business day, whichever is sooner, submit the Domestic Marijuana Eradication Report to the Records Center for inclusion in the master file and attach a copy to the SBI-10 submitted to the district/section/unit office designated as the District in Charge.

A separate copy of the Domestic Marijuana Eradication Report must be submitted to the designee identified on the bottom of the form. This submission can be accomplished via e-mail or traditional hard copy delivery.

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If no suspects are developed and no additional investigation is warranted, the case may be closed on the SBI-10 with a closing code of C-06.



# Section 13

## SPECIALIZED INVESTIGATIONS

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**BACKGROUND INVESTIGATIONS**

Please refer to the Background Investigation Manual.

**CONSPIRACY INVESTIGATIONS**

A conspiracy case should be opened only if the focus of the investigation is to gather evidence of a criminal conspiracy.

A Case Agent may open a conspiracy investigation as a single case and include subsequent substantive acts in that case without having to open additional cases.

The Case Agent should give careful consideration to the information that will not be captured from subsequent substantive acts if only one conspiracy case is opened. Each substantive act that is reported in the conspiracy case, should be reported in such a fashion that distinguishes it from SBI-11As reporting other substantive acts in the case.

The Case Agent may open a conspiracy investigation and open a new case on each subsequent substantive act as follows:

- A. Other criminal offenses that occur during the course of a conspiracy investigation may be opened and investigated under a separate case file from the conspiracy. The Case Agent will probably not know until indictment preparation, if these offenses will be a part of the conspiracy as an overt act or separate count. Some substantive acts may not be made a part of the conspiracy indictment, because the source is involved, it does not meet federal standards, or for various other reasons. Such offenses may, or may not, be prosecuted outside of the conspiracy.
- B. For each separate case opened, which may be related to an open conspiracy case, an SBI-11A will be dictated to the conspiracy case setting out the bare essentials of the separate event and referring the reader to the separate case file for details.

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- C. Investigative work conducted in the separate criminal offense cases will be dictated to the separate criminal offense file(s), and will not be duplicated in the conspiracy file. If an Agent were to dictate all or part of the separate offense to the conspiracy file, it would be hard to take it out if it was not going to be used. If it is already in a separate file, an Agent will have the option of using it or not using it.
- D. If an Agent conducts an interview in the conspiracy case and information is developed during the course of the interview that is related to one of the separate criminal offense cases, an SBI-11A interview will be dictated to both the conspiracy and to the separate case file.
- E. If the investigation in those cases which are separate, but related to a conspiracy case, the arrest information, SBI-4, and Final Disposition Reports, SBI-19, will be submitted to the respective separate file and not to the conspiracy case.

If one of the separate cases is used as substantive act as part of the conspiracy, and the suspect is charged with conspiracy, then the arrest information, SBI-4, and the Final Disposition Report, SBI-19, will be submitted to the conspiracy case and not to the separate case. The separate case will be closed as early case suspension (C09), and any evidence transferred to the conspiracy case by SBI-69B.

- F. Arrest sheets, SBI-4, and Final Disposition Reports, SBI-19, for conspiracy arrests arising out of the conspiracy case will be submitted to the actual conspiracy case file.

**OFFICER-INVOLVED SHOOTING, EXCESSIVE FORCE, DEATH IN CUSTODY INVESTIGATIONS**

Please refer to the Officer-Involved Shooting, Excessive Force, and Death In Custody Manual.

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**POLYGRAPH INVESTIGATIONS**

- A. It will be the responsibility of the polygraph examiner to make sufficient inquiry to determine whether or not a Bureau Field Agent has conducted investigative activity in a case and has had a case number assigned to the investigation. If a case number has been assigned, the examiner will report his/her activity under that number.
  - 1. Bureau Investigations
    - a. A Case Identification Name Continuation Sheet, SBI-10A, will be prepared by the polygraph examiner each time an examination is conducted in an existing Bureau case.
    - b. The examiner will submit the original SBI-10A, a Polygraph Dictation Instructions Form, SBI 44, and a Dictation Transmittal Form, SBI 101, to the Records Center. The examiner will also attach polygraph release forms or other pertinent documents to the SBI-11A by including them along with the SBI-10, SBI-44, and SBI-101. The SBI-10A and SBI-44 will be submitted within the time limits as those set for the dictation of 11As.
    - c. These forms must be submitted together, and the Agent's district number should be indicated in the lower left-hand corner of the envelope. The Agent may submit these forms through Records Center mail from their District Office, intra-Bureau mail, or first class mail. If the forms are submitted through the District Office mail, there is no need to place them in an individual envelope.
    - d. From the Polygraph Dictation Instructions Form, SBI-44, the Records Center's Word Processing Unit will generate an SBI-11A.

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- e. The SBI-11A title will reflect the type of activity as "Polygraph Examination of \_\_\_\_\_R/S/DOB:."
  - f. Copy designation will be reflected on the SBI-11A following the standard dictation guidelines with the copy #2 designated for the polygraph examiner.
  - g. On the Polygraph Dictation Instructions Form, SBI-44, the examiner will include the name and title of each individual that should receive the report. Examiners should confirm that the Case Agent Assigned (CAA) has submitted a Dissemination Authorization, SBI-104, for the individuals requiring approval.
  - h. The narrative portion of the SBI-11A will be selected by the examiner from the paragraph(s) on the Polygraph Dictation Instructions Form, SBI-44, that is/are most appropriate in reporting the results of the polygraph examination.
  - i. When an examinee confesses or significantly changes his statement, the Case Agent will take a detailed statement and report same.
  - j. There may be occasions when the polygraph examiner takes the detailed statement or confession, and he/she will report same on a separate SBI-11A.
2. Non-Bureau Investigation
- a. Examiners will enter cases in which the request is only for polygraph assistance directly into the Case Records Management System (CRMS). Case by case exceptions must be approved by the examiner's Special Agent In Charge or Criminal Specialist.

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A case file number must be obtained within 24 hours of the exam, not including weekends. If multiple exams for the same case are scheduled within a five day period, a case number can be obtained 24 hours after conducting the final scheduled exam during that five day period. The case must then be entered into CRMS within 48 hours of obtaining the case file number, not including weekends.

- b. In assigning the case file numbers, the case description will follow this format: The district number of the district where the requesting agency is located/the county number/the crime classification code/the date of the polygraph/and the description of the case. Example: 03/26/H01/02-25-02 poly of Samuel Smith in the homicide of Freda Jones on 11/30/01; 03/77/L08/03-04-02 poly of employees of Burger King for a missing deposit.
- c. Once the case number is assigned, the examiner will login to CRMS using his or her Database User ID and Database Password. From the main menu, click on the Case Maintenance button. A menu will appear at the right. Double click on Case Identification. A screen will appear in which the case number should be typed, then click OK.
- d. The next screen that will appear will be called UPDATE:Case Identification Report. All fields that are in red are mandatory fields and must be filled in before moving to the next screen. Any information that is known but not required should also be filled in.
- e. Some of these required fields on this screen must be filled in as follows: The "Case Status" will be CO6 Limited Assistance; The "CAT" will be a 2 for all cases except applicant exams which will be a 9; The "Date Initiated" will be the date of the first exam; the "Report Type" will be LA; All other fields should be completed based upon the individual case.

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The "Record Status" can be manually changed to new or left as assign and it will automatically change to new when this screen is saved. Although it does not appear in red as a mandatory field, the "Disposition Date" is required on polygraph cases and it should be the same as the "Date Initiated."

NOTE: When testing a victim, the examiner shall state in the Synopsis the reason for testing him or her. Once this screen is complete, click on the SAVE button at the top right of the screen toolbar.

- f. Next click on the LA button at the top left of the screen. Again, all mandatory fields are in red and must be filled in order to proceed to the next screen. In the "LA Results" field, all of the relevant questions will be listed and sequentially numbered beginning with the #1. A question will be listed only one time and answers will NOT appear here; the "LA Specific Request" will be polygraph exam; the "Physical Evidence" will be N. Once completed, click on the SAVE button at the top of the screen on the tool bar.
  
- g. Next click on the NAMES button at the top left of the tool bar. A CRMS Warning will appear. Click OK. Next will appear the Case Names Screen. Fill in all mandatory fields, and as many optional fields as you can for the VICTIM. Click the SAVE button at the top right of the toolbar. IF the victim is also an examinee, you next click on the Invest. A button at the top left of the screen toolbar. (An explanation of how to complete this screen appears later in the instructions for entering an examinee's information) IF the victim is NOT an examinee, click the NEW button in the center of the screen toolbar.



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- h.       Next enter the name of anyone involved in the case who is NOT a victim nor examinee and click the SAVE button on the toolbar. Repeat this screen as many times as necessary to list all persons involved.
  
- i.       Finally click on the NEW button on the screen toolbar and list the Examinee's information and click the SAVE button. Next click the Invest.A button at the top left on the toolbar. You will get a CRMS Warning message; click OK. The Investigative Activity Screen will appear. All the mandatory fields must be completed. In the "Activity Description" field, the number of the question(s) asked to this examinee will be listed followed by the answer. The question number will be the number previously assigned to the question in the "LA Results" field. The designation for the answers will be a "+" sign is a yes and a "-" sign is a no. Immediately following the questions and answers will be the numerical score of the charts. Example: 1-3-4+/-07 means this examinee was asked questions 1, 3, and 4. He answered "No" to numbers 1 and 3 and answered "Yes" to number 4 with a numerical score of +7. Next go to the "Opinion" field and click on the drop down menu. Select the opinion which reflects the examiner's opinion of how this examinee did on the exam. Click the SAVE button on the top right of the toolbar. Repeat this process for each examinee in the case.
  
- j.       Now click on the EXIT button on the toolbar on each screen until you return to the UPDATE: Case Identification Screen, the screen containing the "Synopsis" field. After proofreading all information, locate the "Record Status" field which is just above the Synopsis. Click on the drop down menu and change the status from "New" to "Ready". Then click on the SAVE button on the toolbar. You now no longer have any control of the case through CRMS.

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- k.        The case has now been sent to Records. Within 1-2 hours, the case will be quality-controlled by Records and placed into a filed status. The case is now ready to be printed as needed.
  
- 3.        Subsequent Exams on Non-Bureau Cases
  - a.        When subsequent tests are conducted, the examiner will submit a supplemental form SBI-10D listing any new questions in the "Results" field and designate it as a supplemental report.
  
  - b.        Release forms and any other pertinent documents for these exams will be made a part of the file attached to an SBI-11A.
  
  - c.        OPINION field codes
    - Lying or Deceptive as to the issue  
and confessed..... DIC
  
    - Lying or Deceptive as to the issue and made  
admissions or gave additional information..... DIA
  
    - Lying or Deceptive as to the issue but was  
not interrogated due to circumstances beyond  
the control of the examiner..... DINI
  
    - Lying or Deceptive as to the issue and  
did not confess..... DIN
  
    - Unable to render a conclusive opinion ..... INC
  
    - Truthful or No Deception Indicated  
as to the issue..... NDI
  
    - Pretest confession..... PTC

**SUBJECT:            SPECIALIZED INVESTIGATIONS**

Examinee refused test..... REF

Test stopped by examiner..... STO

d. Other information that can be placed in the Activity Description is:

Re-Exam..... RE

Purposeful Noncooperation..... PNC

4. 11A for Non-Bureau Cases

If appropriate, an examiner may submit a Polygraph Dictation Instructions Form, SBI-44 in a non-Bureau case and an SBI-11A will be generated. A note must be stapled to the SBI-44 that the case is polygraph activity only and that the examiner is the Case Agent Assigned. An examiner may report a detailed statement or confession in a non-Bureau case under Activity Code 16. In both of these instances, it shall be the examiner's responsibility to submit a Dissemination Authorization Request, SBI-104, for individuals requiring approval. Copy designation will follow the standard dictation guidelines.

5. Non-Bureau Investigation which is converted to a Bureau Investigation

a. At times the results of a polygraph examination may lead to the requesting agency requesting additional investigative activity to be performed by the Bureau.

b. When the additional activity continues to be of limited assistance nature, the Agent performing the activity should submit the following:

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- (1) The additional limited assistance should be reported on an 11A by the Agent performing the activity. Copies will follow the standard dictation guidelines with the EXCEPTION of routinely designating a copy to Polygraph Examiner who will remain the CAA for the case. A copy may be designated for the Polygraph Examiner if the dictating agent feels it is necessary OR the Polygraph Examiner requests a copy. Additional polygraph activity will continue to be reported on forms SBI-10A and SBI-10D with both being designated as “supplemental” reports. Reporting of polygraph activity on an 11A will not be necessary as long as the continued assistance is of a limited nature. The CAA will continue to be the Polygraph Examiner.
  
- (2) When the polygraph examination follows other limited assistance, the Polygraph Examiner will submit a “supplemental” SBI-10A, a Polygraph Dictation Instructions, SBI-44, and a Dictation Transmittal Form, SBI-101. From the Polygraph Dictation Instructions Form, SBI-44, the Records Center’s Word Processing Unit will generate the Polygraph 11A. Copy designation will follow standard dictation guidelines EXCEPT that no copy will be designated for the CAA unless the Polygraph Examiner feels that it is necessary OR the CAA requests a copy.
  
- c. When the additional activity results in a Limited Assistance case developing into a Standard case, the Agent assigned as the Case Agent Assigned should submit the following:
  - (1) A supplemental report reflecting the new CAA, type of investigation modified from a Limited Assistance to

**SUBJECT:        SPECIALIZED INVESTIGATIONS**

Standard, Case Status - from closed to pending, and any additional information the CAA deems should be amended. In lieu of a supplemental report, this information may be submitted in a memorandum by the Special Agent In Charge.

- (2) Upon receipt of this information, the Records Center will generate an SBI-11A that includes information in the fields unique to the Limited Assistance. Which in this case will include the questions asked by the polygraph examiner. The SBI-11A will include the same information as an SBI-11A that is generated for polygraph activity performed for Bureau investigations, plus the limited assistance fields.
- (3) Additional polygraph activity will be reported in additional SBI-11As.

Note: As explained, the CAA is modified from the polygraph examiner to the investigating Agent, but the initiating Agent will remain the Agent who performed the first activity, which in this case is the polygraph examiner.

6.        Pre-employment and Police Commission

- a.        Police Commission examinations will be reported on a form SBI-10D with the examinee's (applicant's) name and related information being submitted on a form SBI-10A. Bureau applicant examinations will be reported on an SBI-10A, under the case number assigned to the background investigation. The Category Code (CAT) for Company Police Applicants will be "9."

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- b.        None of the questions will be listed in the "Synopsis section" of the SBI-10D and no answers nor opinion will be reflected in the activity description section of the SBI-10A.
  - c.        The investigative type will continue to be 29.
7.        Administrative and Criminal Investigations
- a.        Administrative investigations and criminal investigations into the same matter must have separate *case* numbers assigned.  
  
Example: When an administrative investigative case is opened for the purpose of conducting a polygraph examination only, the polygraph examiner will open a Limited Assistance case. If a criminal case is worked on the same matter the Agent conducting the criminal investigation will open another case, assigning a second case number. Any polygraph examination conducted in the administrative case will appear only in that (the administrative case) case file. Any polygraph examination conducted in the criminal case will appear only in that (the criminal case) case file. If the only assistance rendered is criminal and administrative polygraphs, the polygraph examiner(s) must open two separate cases.
  - b.        All administrative polygraph examinations must be approved as required in Section 18 of the *Field Procedure Manual*.

See Forms SBI-10A and SBI-10D.



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5.        Cases opened in conjunction with school activity should be opened on a calendar year basis.
- B.        Investigative activity for these cases will be documented in compliance with the Bureau's Report Writing Manual for regular investigations.



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**DRUG ENFORCEMENT ADMINISTRATION TASK FORCE INVESTIGATIONS**

An Agent assigned to a Drug Enforcement Administration Task Force is responsible for completing a Case Identification Report and all related investigative reports associated with each investigation of a violent crimes target as follows:

- A.     The SBI-10 Case Identification Report will be completed as indicated in this manual in Section 3 for all cases in which the SBI Agent who is assigned to the DEA Task Force is involved.
  - 1.     The OPERATION block will reflect the code for the respective task force as follows:
    - a.     DEAE           (Federal Eastern District DEA Task Force)
    - b.     DEAM           (Federal Middle District DEA Task Force)
    - c.     DEAW           (Federal Western District DEA Task Force)
  - 2.     The SBI-11 Cover Sheet and Synopsis will be completed as indicated in this manual.
  - 3.     The SBI-11A Report of Investigative Activity will be completed as indicated in this manual. All arrests and drug stats will be recorded on an SBI-4 Arrest/Physical Description/Drug Stat Data Sheet.
- B.     In a DEA Task Force case in which the SBI Agent who is not a DEA TFA is only providing investigative assistance, only those reports and forms created by the SBI Agent(s) are required to be documented in the SBI report.
- C.     DEA Task Force Agents (TFAs) are exempt from report writing requirements concerning the attachment of DEA reports into the SBI file or dictating SBI-11As for investigative activities prepared on DEA-6 reports. TFAs are required to prepare the following SBI reports:

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- a.     SBI-10 Case Identification Report
- b.     SBI-11A Monthly Case Status Update  
(Summary of Investigative Activity For – Time Period)
- c.     SBI-4 Arrest/Physical Description/Drug Stat Data Sheet
- d.     SBI-11 Cover Sheet and Synopsis
- e.     SBI-19 Defendant/Suspect Disposition and Closing Report

TFAs are required to report in the synopsis where the details of the investigation can be found with reference to the pertinent DEA case file information.

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**VIOLENT CRIME TASK FORCE INVESTIGATIONS**

An Agent assigned to a Violent Crimes Task Force is responsible for completing a Case Identification Report and all related investigative reports associated with each investigation of a violent crimes target as follows:

- A.     The SBI-10 Case Identification Report will be completed as indicated in this manual in Section 3 for all cases in which the SBI Agent who is assigned to the Violent Crime Task Force is involved.
  - 1.     The OPERATION block will reflect the code for the respective task force as follows:
    - a.     VCE    (Federal Eastern District Violent Crimes Task Force)
    - b.     VCM    (Federal Middle District Violent Crimes Task Force)
    - c.     VCW    (Federal Western District Violent Crimes Task Force)
  - 2.     The SBI-11 Cover Sheet and Synopsis will be completed as indicated in this manual.
  - 3.     The SBI-11A Report of Investigative Activity will be completed as indicated in this manual. All arrests and drug stats will be recorded on an SBI-4 Arrest/Physical Description/Drug Stat Data Sheet.
- B.     In a Violent Crime Task Force case in which the SBI Agent is the lead investigator, all reports and forms created by all investigators assigned to the task force associated with this specific investigation will be included in the Bureau case file.

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1. These reports and forms may be included in the SBI case file as individual attachments using an SBI-11A. The reports and forms should be included in the SBI case file within 30 days of the activity date on which the Agent either completed the activity or received the report.
  2. These reports and forms may be included in the SBI case file in bulk attached to an SBI-11A in which the individual attachments are indexed on the SBI-11A. These reports should be submitted monthly. The activity date will be the date on which the indexed SBI-11A is completed.
- C. In a Violent Crime Task Force case in which the SBI Agent is only providing investigative assistance, only those reports and forms created by the SBI Agent(s) are required to be documented in the SBI report.
1. These reports and forms may be included in the SBI case file as individual attachments using either an SBI-11A. The reports and forms should be included in the SBI case file within 30 days of the activity date on which the Agent either completed the activity or received the report.
  2. These reports and forms may be included in the SBI case file in bulk attached to an SBI-11A in which the individual attachments are indexed on the SBI-11A. These reports should be submitted monthly. The activity date will be the date on which the indexed SBI-11A is completed.

**SUBJECT:        SPECIALIZED INVESTIGATIONS**

**VIOLENT FUGITIVE TASK FORCE INVESTIGATIONS**

An Agent assigned to a Violent Fugitive Task Force is responsible for completing a Case Identification Report and all related investigative reports associated with each investigation of a violent crimes target as follows:

Violent Fugitive Task Force investigations may include one target or multiple targets if the fugitives are associated and are likely to be apprehended together.

- A. The SBI-10 Case Identification Report will be completed as indicated in this manual in Section 3 for all cases in which the SBI Agent who is assigned to the Violent Fugitive Task Force is involved.
  - 1. The OPERATION block will reflect the code for the respective task force as follows:
    - a. VFE (Federal Eastern District Violent Fugitive Task Force)
    - b. VFM (Federal Middle District Violent Fugitive Task Force)
    - c. VFW (Federal Western District Violent Fugitive Task Force)
  - 2. The SBI-11 Cover Sheet and Synopsis will be completed as indicated in this manual.
  - 3. The SBI-11A Report of Investigative Activity will be completed as indicated in this manual. All arrests and drug stats will be recorded on an SBI-4 Arrest/Physical Description/Drug Stat Data Sheet.
- B. In a Violent Fugitive Task Force case in which the SBI Agent is the lead investigator, all reports and forms created by all investigators assigned to the task force associated with this specific investigation will be included in the Bureau case file.

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1. These reports and forms may be included in the SBI case file as individual attachments using either an SBI-11A. The reports and forms should be included in the SBI case file within 30 days of the activity date on which the Agent either completed the activity or received the report.
  2. These reports and forms may be included in the SBI case file in bulk attached to an SBI-11A in which the individual attachments are indexed on the SBI-11A. These reports should be submitted monthly. The activity date will be the date on which the indexed SBI-11A is completed.
- C. In a Violent Fugitive Task Force case in which the SBI Agent is only providing investigative assistance, only those reports and forms created by the SBI Agent(s) are required to be documented in the SBI report.
1. These reports and forms may be included in the SBI case file as individual attachments using either an SBI-11A. The reports and forms should be included in the SBI case file within 30 days of the activity date on which the Agent either completed the activity or received the report.
  2. These reports and forms may be included in the SBI case file in bulk attached to an SBI-11A in which the individual attachments are indexed on the SBI-11A. These reports should be submitted monthly. The activity date will be the date on which the indexed SBI-11A is completed.

**SUBJECT:        SPECIALIZED INVESTIGATIONS**

**TASK FORCE INVESTIGATIONS**

An Agent assigned to a task force is responsible for completing a Case Identification Report and all related investigative reports associated with each investigation as follows:

- A.     The SBI-10 Case Identification Report will be completed as indicated in the manual in Section 3 for all cases in which the SBI Agent who is assigned to the task force is involved.
  - 1.     The OPERATION block will reflect the code for the respective task force OR whatever operation name has been established for the task force case (i.e., OCDETF operation "RiverRat").
  - 2.     The SBI-11 Cover Sheet and Synopsis will be completed as indicated in this manual.
    - a.     The SBI-11A Report of Investigative Activity will be completed as indicated in this manual. All arrests and drug stats will be recorded on an SBI-4 Arrest/Physical Description/Drug Stat Data Sheet.
- B.     In a task force case in which the SBI Agent is the lead investigator, all reports and forms created by all investigators assigned to the task force associated with this specific investigation will be included in the Bureau case file.

In a task force case in which the SBI Agent is only providing limited investigative assistance, at a minimum, the reports and forms created by the SBI Agent(s) are required to be documented in the SBI report. District management has the authority to require additional reports as deemed appropriate.





# Section 14

## ASSET FORFEITURE AND STATE EXCISE TAX

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**SUBJECT: ASSET FORFEITURE AND STATE  
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**FEDERAL ASSET FORFEITURE**

- A. Title 21, U.S.C. 881 (e), and other federal statutes, authorize the United States Department of Justice, Department of the Treasury, and other federal departments to transfer seized or forfeited property to any state or local law enforcement agency which directly participated in the acts which led to the seizure or forfeiture of the property. The property is forfeited under federal civil law.
- B. The Bureau subscribes to the National Code of Professional Responsibility for Asset Forfeiture, formerly known as Asset Forfeiture Quality Assurance Standards. A copy of these ten principles is available in district/unit offices and from Bureau headquarters.
- C. The United States Department of Justice prefers that a forfeiture action be pursued in State court if a seizure is made as part of an ongoing investigation and if state criminal charges are brought.
- D. The procedure for placing seized or forfeited assets into the Federal Asset Forfeiture Program is set out in two Federal publications, *A Guide to Equitable Sharing of Federally Forfeited Property for State and Local Law Enforcement Agencies, March 1994 (Department of Justice)*, and *Guide to Equitable Sharing for Foreign Countries and Federal, State, and Local Law Enforcement Agencies, October 1993 (The Department of the Treasury)*. A copy of these publications is maintained in the office of the Assistant Director for Administrative Services and should be maintained in each District Office.
- E. All State and local requests for adoption of a seizure by the United States Department of Justice must be reported on an Application for Transfer of Federally Forfeited Property (Form DAG-71). The Department of the Treasury Request for Transfer of Property Seized/Forfeited by a Treasury Agency (TDF92-22.46).
- F. A seizure must be valid and based on probable cause before being adopted by a federal agency.

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1. A detention of an individual or property without a valid arrest or seizure in order to request adoption by a federal agency is not Bureau policy or procedure.
  2. The Agent seizing the property should relate probable cause for the seizure when making a request for adoption.
- G. Due to changes in policy and procedure by federal departments and differences among federal agencies within a department, Bureau Agents should obtain guidance from supervisory personnel regarding a seizure which a federal agency may be asked to adopt and the completion of required reports.
- H. Agents must not state or imply that a federal agency is the seizing agency or has any interest in the property or asset until the request for adoption has been approved.
- I. The Case Agent will be responsible for the timely completion of required reports in seizure adoptions or forfeitures.
- J. The property seized must be forgettable under federal law and the forgettable interest (net equity) must generally meet the following Department of Justice minimum dollar thresholds for adoption:
1. Conveyances
    - a. Vehicles \$5,000
    - b. Vessels \$10,000
    - c. Aircraft \$10,000
  2. Non-Conveyances
    - a. Real Property  
\$20,000 or 20% of the appraised value, whichever is higher

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b. Other Property

\$1,000 (With direct link to a controlled substance)

- K. The adopting federal agency may require the following information concerning seized property:
1. The complete property description and appraised retail value.
  2. The names, addresses, and telephone numbers for all interested parties, including any lienholders.
  3. Equipment and accessories on any seized vehicles, vessels, or aircraft.
  4. Any required repairs to a seized vehicle, vessel, or aircraft.
  5. Any towing and/or storage expenses and any storage rates.
- L. A Request for Adoption of Seizure may require review by the federal agency's Chief Counsel or an Assistant United States Attorney before adoption.
1. This review may not be necessary when:
    - a. The state seizure was made with a Judicial Seizure Warrant or a Search Warrant.
    - b. Drugs or other contraband were seized from the person from whom the property was seized.
    - c. An arrest was made in connection with the seizure and the arrest was for an offense which would subject assets associated with the arrest to forfeiture under applicable federal statutes.

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2. This review may be necessary when currency is located during a search but no arrest is made, no drugs or contraband have been seized, and no Search Warrant or Judicial Seizure Warrant is involved. The adoption of these seizures requires immediate approval by the federal agency's Chief Counsel or an Assistant United States Attorney.
- M. The Bureau has 30 calendar days from the date of seizure to request a federal adoption and 60 days to submit the Application for Transfer of Federally Forfeited Property (Form DAG-71) or the Request for Transfer of Property Seized/Forfeited by a Treasury Agency (TDF92-22.46) to the appropriate federal agency according to current federal regulations. Bureau procedure calls for a completed "package" consisting of all required federal forms, Bureau investigative reports, and a cashier's check, if the asset is cash, to be forwarded to the appropriate federal agency by the Assistant Director for Administrative Services no later than 30 days following the seizure. In order to ensure compliance with Bureau procedure, the following must occur:
1. Investigative reports must be dictated as soon as possible (mark "Rush" on the SBI-101) with a copy designated to the appropriate federal agency.
    - a. Agents will dictate, "Forfeiture Case" following the name of the designated federal agency and mark the SBI-101, "Federal Forfeiture."
    - b. Only the SBI-11As which are necessary to support the forfeiture should be marked "Forfeiture Case" on the SBI-101.
    - c. Generally it is not necessary that the entire case file be submitted to support the forfeiture.
  2. Reports must include all attachments, including laboratory reports, arrest warrants, search warrants, or other related documents.

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3. Applicable federal forms must be completed by the Case Agent and forwarded to the district/unit office to be forwarded to the Assistant Director for Administrative Services.
  
- N. Although 30 calendar days are allowed to request federal adoption of a seizure, adoption requests should be communicated immediately after seizure to the appropriate federal agency and if possible, prior to the seizure.
  
- O. A judicial determination of probable cause is required prior to federal adoption of seized real property. When seizure of real property or a business is planned, guidance from the United States Marshal's Office should be obtained.
  
- P. Seizures resulting from joint federal/state investigations do not require a Request for Adoption of State or Local Seizure but will require an Application for Transfer of Federally Forfeited Property (DAG-71) or the Request for Transfer of Property Seized/Forfeited by a Treasury Agency (TDF92-22.46). The use of a state warrant in a DEA or joint investigation does not make any resulting seizure an adoption.
  
- Q. The United States Customs Service has, in addition to federal adoption of seized property, the Discontinuance of a Seizure. The discontinuance provision does not require the receiving state or local agency to have participated directly in the seizure or that the property initially have been federally forfeited.
  
- R. The use of the Federal Asset Forfeiture Program should be considered along with the North Carolina Excise Tax on Controlled Substances (General Statute 105-113.105). Consideration should be given to the most effective method of removing illegal controlled substances and illegally acquired assets from violators.

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**ASSET FORFEITURE CASES (CIVIL FORFEITURE)**

- A. The following reports are required in an SBI investigative file regarding an asset forfeiture case (civil federal forfeiture) in which seizing the asset (U.S. currency, vehicle, etc.) was the **ONLY** enforcement activity:
1. The SBI-10 should state this is an asset forfeiture case for federal adoption only and the case is a limited assistance only.
  2. A copy of the initial local agency report detailing factors of how the asset was located and activity at the scene should be included in the SBI investigative file.
  3. A copy of the DAG-71.
  4. The case can be closed as a C06 (Limited Assistance) on the SBI-19. NOTE: If the Agent performed any interviews or other investigative activity which should be documented, then the seizure should be considered a standard investigative case.

**INSTRUCTIONS FOR COMPLETING DEPARTMENT OF JUSTICE FORM DAG-71, "APPLICATION FOR TRANSFER OF FEDERALLY FORFEITED PROPERTY"**

See Form DAG-71.

**INSTRUCTIONS FOR COMPLETING TREASURY FORM 92-22.46, "REQUEST FOR PROPERTY SEIZED/FORFEITED BY A TREASURY AGENCY"**

See Form 92-22.46.

**CONTROLLED SUBSTANCE EXCISE TAX REPORTING**

- A. Pursuant to G.S. 105-113.108(b), a report is required to be filed with the Unauthorized Substances Tax Division of the North Carolina Department of Revenue by all local and state law enforcement agencies within 48 hours after making an arrest and/or seizure involving a nontaxpaid



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(unstamped)controlled substance. NOTE: There is no longer a provision for counterfeit controlled substances.

- B. It is requested the standard BD-4 form be utilized by all state and local agencies for reporting purposes in order to facilitate compliance with the law.
- C. This report is to be completed and filed with the Unauthorized Substances Tax Division of the North Carolina Department of Revenue only if the arrest and/or seizure involved any one or more of the following quantities of a nontaxpaid (unstamped) controlled substance:
  - 1. More than 42.5 grams of Marijuana;
  - 2. Seven or more grams of any other controlled substance that is sold by weight; or
  - 3. Ten or more dosage units of any other controlled substance that is not sold by weight. NOTE: Only one substance should be reported on each Form BD-4.
- D. Copies of the BD-4 should be distributed as follows:
  - White: Electronically transmit, fax or mail to the local enforcement agent of the Unauthorized Substances Tax Division of the North Carolina Department of Revenue.
  - Yellow: Retained by the reporting law enforcement agency.
  - Pink: Provided to the defendant/taxpayer.
- E. In addition to the Pink Copy of Form BD-4, the defendant/taxpayer should be given a copy of the Unauthorized Substances Taxes Act. Any Questions contact your local enforcement agent or call 919-733-6459.

See Form BD-4.



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