

**Department of Children & Families
Proposed Investigator SMART Goals**

Functional Area: Investigations Unit Working Title: Regional Investigator		PERFORMANCE EXPECTATION 1 Effectively demonstrates understanding of scope and purpose of assigned administrative investigations and management reviews. AS INDICATED BY: <ol style="list-style-type: none"> 1. Validation of the complainants' allegations prior to submissions of investigative plans in ICMS 2. Investigative plans that address all required elements: Allegations meeting investigative sufficiency are linked to the appropriate governing directives. Witnesses and subjects are identified for interview. Records are identified for examination. 3. Familiarity with or preliminary research of the agency program area, applicable governing directives (including Department contracts), and available records prior to commencement of field work activities. 4. When applicable, consultation with chain of command upon identification of potential criminal violations or other significant events outside the jurisdiction of the OIG. 			
	EXCEPTIONAL / 5	ABOVE EXPECTATION / 4	MEETS EXPECTATION / 3	BELOW EXPECTATION / 2	UNACCEPTABLE / 1
Validation of Complaint and	ICMS records indicate that a named complainant was contacted on the day of case assignment and the contact was documented in a Memorandum of Interview uploaded to ICMS on the day of the call.	ICMS records indicate that a named complainant was contacted <u>within three days</u> of case assignment and the contact is documented in a Memorandum of Interview uploaded to ICMS within five days of case assignment.	ICMS records indicate that a named complainant was contacted <u>within five working days</u> of case assignment and the contact is documented in a Memorandum of Interview uploaded to ICMS within five days of case assignment OR there is documentation of RIS/COI approval that contact was unnecessary.	ICMS records indicate that a named complainant was not conducted prior to the submission of the investigative plan in ICMS and there is no documentation of RIS/COI approval that contact was unnecessary; however, the Memorandum of Interview was completed and uploaded to ICMS within five working days of interview completion.	ICMS records indicate that a named complainant was not contacted during the course of the investigation and there is no documentation of RIS/COI approval that contact was unnecessary.
INDICATOR 2 Investigative Plan	ICMS records indicate that based on preliminary information, all investigative plans address the required elements and <ul style="list-style-type: none"> • Were completed and submitted in ICMS to the supervisor on the <u>same day of case assignment</u>. • Were approved by the supervisor prior to commencement of investigative activities. 	ICMS records indicate that based on preliminary information, all investigative plans address the required elements and <ul style="list-style-type: none"> • Were completed and submitted in ICMS to the supervisor <u>within three working days</u> of case assignment. • Were approved by the supervisor prior to commencement of investigative activities. 	ICMS records indicate that based on preliminary information, all investigative plans address the required elements and <ul style="list-style-type: none"> • Were completed and submitted in ICMS to the supervisor <u>within five working days</u> of case assignment. • Were approved by the supervisor prior to commencement of investigative activities. 	ICMS records indicate that based on preliminary information, all investigative plans address the required elements; however, some investigative plans <ul style="list-style-type: none"> • Were completed and submitted in ICMS to the supervisor <u>after five working days</u> of case assignment (without an exception documented in ICMS by the RIS), <u>OR</u> • Were not approved by the supervisor prior to commencement of investigative activities. 	ICMS records indicate that based on preliminary information, all investigative plans address the required elements; however, some investigative plans <ul style="list-style-type: none"> • Were completed and submitted in ICMS to the supervisor after five working days of case assignment (without an exception documented in ICMS by the RIS), <u>AND</u> • Were not approved by the supervisor prior to commencement of investigative activities.

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<p align="center">INDICATOR 3 – Preparation for field work</p>	<p><u>In addition to meeting expectations and “above expectations,” ICMS records indicate that prior to commencement of field work:</u></p> <ul style="list-style-type: none"> • Accurate analyses of available records are documented in Memorandums of Records Reviews and uploaded with the supporting materials to ICMS AND • Accurate Governing Directives section of reports, requiring minimal changes or formatting revisions, were submitted in Investigative Step 4 of ICMS. 	<p><u>In addition to meeting expectations, ICMS records indicate that prior to commencement of field work:</u></p> <ul style="list-style-type: none"> • Accurate analyses of available records are documented in Memorandums of Records Reviews and uploaded with the supporting materials to ICMS. 	<p>ICMS records, draft interview questions, audio recordings of completed interviews, and the RIS’s or COI’s personal observations of the RI’s interaction with witnesses or subjects in person or via the telephone indicate:</p> <ul style="list-style-type: none"> • A familiarity of applicable program area and governing directives (including contracts and collective bargaining agreements) or program information was obtained prior to initiating field work, in consultation with the supervisor or Department program experts, when necessary • Available records were reviewed prior to commencement of interviews. 	<p>ICMS records, audio recordings of completed interviews, and the RIS’s or COI’s personal observations of the RI’s interaction with witnesses or subjects in person or via the telephone indicate</p> <ul style="list-style-type: none"> • A lack of organization or understanding of the allegations and the applicable governing directives <u>OR</u> • ICMS records indicate multiple interviews with the same witnesses/subjects when the scope of the investigation remained unchanged. 	<p>Audio recordings of completed interviews and the RIS’s or COI’s personal observations of the RI’s interaction with witnesses or subjects in person or via the telephone indicate</p> <ul style="list-style-type: none"> • A lack of organization or understanding of the allegations and the applicable governing directives <u>AND</u> • ICMS records indicate multiple interviews with the same witnesses/subjects when the scope of the investigation remained unchanged.
<p align="center">INDICATOR 4-Non-jurisdictional Matters</p>	<p>ICMS records and RIS or COI personal observations indicate</p> <ul style="list-style-type: none"> • RI initiated same day consultation through chain of command upon identification of potential criminal violations or other significant events or issues outside the jurisdiction of the OIG and the same day documented consultation in ICMS. • Upon being made aware of child or vulnerable adult safety concerns, immediately reported directly to the Abuse Hotline and local program manager, and then consulted through the chain of command to determine whether additional notifications were necessary. 	<p>ICMS records and RIS or COI personal observations indicate</p> <ul style="list-style-type: none"> • RI initiated same day consultation through chain of command upon identification of potential criminal violations or other significant events or issues outside the jurisdiction of the OIG. • Upon being made aware of child or vulnerable adult safety concerns, the RI immediately reported directly to the Abuse Hotline and then consulted through the chain of command to determine whether additional notifications were necessary. 	<p>ICMS records and RIS or COI personal observations indicate</p> <ul style="list-style-type: none"> • RI initiated next working day consultation through chain of command following identification of potential criminal violations or other significant events or issues outside the jurisdiction of the OIG. • Upon being made aware of child or vulnerable adult safety concerns, the RI reported in a timely manner directly to the Abuse Hotline and consulted through the chain of command to determine whether notifications were necessary. 	<p>ICMS records and RIS or COI personal observations indicate</p> <ul style="list-style-type: none"> • Chain of command was notified of potential criminal violations or other significant events or issues outside the jurisdiction of the OIG, during the course of the investigation, but not in a timely manner. • Upon being made aware of child or vulnerable adult safety concerns, the RI consulted through the chain of command to determine whether notifications were necessary and then reported directly to the Abuse Hotline, but not in a timely manner. 	<p>ICMS records and RIS or COI personal observations indicate</p> <ul style="list-style-type: none"> • Chain of command was not notified of potential criminal violations or other significant events or issues outside the jurisdiction of the OIG prior to completion of the investigative report. • Upon being made aware of child or vulnerable adult safety concerns, the RI did not report directly to the Abuse Hotline or consult through the chain of command to determine whether notifications were necessary.

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<p>Functional Area: Investigations Unit</p> <p>Working Title: Regional Investigator</p>	<p>PERFORMANCE EXPECTATION 2</p> <p>Effectively collects and analyzes evidence that is relevant, has logical, sensible relationships to the allegation(s), is consistent with the facts, and is sufficient to support conclusions, AS INDICATED BY:</p> <ol style="list-style-type: none"> 1. Accurate documentation of the receipt or origination of all supporting materials. <ol style="list-style-type: none"> a. Receipt or origination of physical evidence b. Witness and subject Interviews [Memorandums of Interview (MOIs)] 2. Accurate written analysis of evidence pertinent to the case. <ol style="list-style-type: none"> a. Completion of Memorandums of Record Review (MORR) and b. Completion of Memorandums of Interview. 3. Interviews are taken in person, under oath, and audio recorded. 4. Sufficient evidence is obtained and organized to support the information contained in the Investigative Report or Management Review. 				
	<p>EXCEPTIONAL / 5</p>	<p>ABOVE EXPECTATION / 4</p>	<p>MEETS EXPECTATION / 3</p>	<p>BELOW EXPECTATION / 2</p>	<p>UNACCEPTABLE / 1</p>
<p>INDICATOR 1a – Receipt of Records</p>	<p>ICMS records and electronic files indicate</p> <ul style="list-style-type: none"> • <u>On the day of receipt or first working day in the office following the receipt</u>, the receipt or origination of all physical supporting materials were documented in ICMS Case Status and uploaded to ICMS and/or the U:drive, as applicable, notating the date received, name of the individual providing the records, and terms describing the records. • When appropriate, Chain of Custody documents were completed 100% of the time. 	<p>ICMS records and electronic files indicate</p> <ul style="list-style-type: none"> • <u>Within five days of receipt</u>, the receipt or origination of all physical supporting materials were documented in ICMS Case Status and uploaded to ICMS and/or the U:drive, as applicable, notating the date received, name of the individual providing the records, and terms describing the records. • When appropriate, Chain of Custody documents were completed 100% of the time. 	<p>ICMS records and electronic files indicate</p> <ul style="list-style-type: none"> • <u>At case closure</u>, the receipt or origination of all physical supporting materials were documented in ICMS Case Status and uploaded to ICMS and/or the U:drive, as applicable, notating the date received, name of the individual providing the records, and terms describing the records. • When appropriate, Chain of Custody documents were completed 100% of the time. 	<p>ICMS records and electronic files indicate</p> <ul style="list-style-type: none"> • At case closure, the receipt or origination of all physical supporting materials were neither documented in ICMS Case Status nor uploaded to ICMS and/or the U:drive, as applicable, notating the date received, name of the individual providing the records, and terms describing the records. • When appropriate, Chain of Custody documents were completed 100% of the time. 	<p>ICMS records and electronic files indicate</p> <ul style="list-style-type: none"> • At case closure, the receipt or origination of all physical supporting materials were neither documented in ICMS Case Status nor uploaded to ICMS and/or the U:drive, as applicable, notating the date received, name of the individual providing the records, and • When appropriate, Chain of Custody documents were not completed 100% of the time.

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INDICATOR 1b – Completion of Interviews and Audio Recordings	ICMS records, audio recordings, and electronic files indicate that 100% of MOIs completed the <u>same day</u> as the interview and interview supporting materials were uploaded in ICMS (U:drive for audio recordings) and submitted to the supervisor the <u>same day or first working day upon return to the office.</u>	ICMS records, audio recordings, and electronic files indicate that 100% of MOIs and interview supporting materials were uploaded in ICMS (U:drive for audio recordings) and submitted to the supervisor within <u>three working days</u> of conducting interviews.	ICMS records, audio recordings, and electronic files indicate that 100% of MOIs and interview supporting materials were uploaded in ICMS (U:drive for audio recordings) and submitted to the supervisor within <u>five working days</u> of conducting the interviews.	ICMS records, audio recordings, and electronic files indicate that one or more MOIs and interview supporting materials relating to <u>25% of assigned cases</u> were not uploaded in ICMS (U:drive for audio recordings) and submitted to the RIS within 5 working days of conducting interview.	ICMS records, audio recordings, and electronic files indicate that one or more MOIs and interview supporting materials relating to more than 25 % of assigned cases were not uploaded in ICMS (U:drive for audio recordings) and submitted to the RIS within 5 working days of conducting interview.
INDICATOR 2a – Analyses and Supporting Physical Evidence	ICMS and MORR records indicate <ul style="list-style-type: none"> • 100% of MORRs included accurate analyses of physical evidence and • 100% of the MORRs and supporting materials were uploaded in ICMS the earlier of 14 days after case opening or the date that the report and case packet were submitted to supervisor for review. 	ICMS and MORR records indicate <ul style="list-style-type: none"> • 100% of MORRs included accurate analyses of physical evidence and • 100% of the MORRs and supporting materials were uploaded in ICMS the earlier of 21 days after case opening or the date that the report and case packet were submitted to supervisor for review. 	ICMS and MORR records indicate <ul style="list-style-type: none"> • 100% of MORRs included accurate analyses of physical evidence and • 100% of the MORRs and supporting materials were uploaded in ICMS prior to the report and case packet being submitted to the supervisor for review. 	ICMS and MORR records indicate <ul style="list-style-type: none"> • One or more MORRs included an inaccurate analysis of physical evidence and • 100% of the MORRs and supporting materials were uploaded in ICMS prior to the report and case packet being submitted to the supervisor for review. 	ICMS and MORR records indicate <ul style="list-style-type: none"> • One or more MORRs included an inaccurate analysis of physical evidence and • 100% of the MORRs and supporting materials were not uploaded in ICMS prior to the report and case packet being submitted to the supervisor for review.
INDICATOR 2b –Analysis of Interviews	ICMS, MOI records, audio recordings, and ICMS data integrity reports indicate <ul style="list-style-type: none"> • 100% of MOIs included accurate analyses of the interviews and, when applicable, quotes are accurately documented. • 100% of witnesses’ and subjects’ information screens were accurately updated in ICMS at the time the case is submitted to RIS for review in ICMS. 	ICMS, MOI records, audio recordings, and ICMS data integrity reports indicate <ul style="list-style-type: none"> • 100% of MOIs included accurate analyses of the interviews and, when applicable, quotes are accurately documented. • 100% of witnesses’ and subjects’ information screens were accurately updated in ICMS at the time of case closure or the same day of receipt of the data integrity report. 	ICMS, MOI records, audio recordings, and ICMS data integrity reports indicate <ul style="list-style-type: none"> • 100% of MOIs included accurate analyses of the interviews and, when applicable, quotes are accurately documented. • 100% of witnesses’ and subjects’ information screens were accurately updated in ICMS at the time of case closure or within five days of receipt of the data integrity report. 	ICMS, MOI records, audio recordings, and ICMS data integrity reports indicate <ul style="list-style-type: none"> • One MOI included a substantially inaccurate analysis/summary of the interview. • 100% of witnesses’ and subjects’ information screens were accurately updated in ICMS at the time of case closure or within five days of receipt of the data integrity report. 	ICMS, MOI records, audio recordings, and ICMS data integrity reports indicate <ul style="list-style-type: none"> • More than one MOI included a substantially inaccurate analysis/summary of the interviews. OR • 100% of witnesses’ and subjects’ information screens were not accurately updated in ICMS at the time of case closure or within five days of receipt of the data integrity report.

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INDICATOR 3 – Interviews under Oath	ICMS records and audio recordings indicate that 100% of interviews are taken in person, audio-recorded, and under oath using the standardized form, with allowable exceptions documented in ICMS by the RI and approved by the RIS or COI as required by the Investigations Directives Manual.				ICMS records and audio recordings indicate that less than 100% of interviews were taken in person, audio-recorded, and under oath using the standardized form, with allowable exceptions documented in ICMS by the RI and approved by the RIS or COI as required by the Investigations Directives Manual.
INDICATOR 4 – Sufficiency and Organization	ICMS records, MORRs, and MOIs indicate that in addition to meeting expectations and “above expectations,” the RI obtained relevant information from non-traditional sources or developed and successfully used an analysis tool or program for the efficient or more in depth analysis of data (in consultation with the supervisor) that was deemed exceptional by the COI.	ICMS records, MORRs, and MOIs indicate that in addition to meeting expectations; and, in consultation with the supervisor, all relevant corroborating interviews and records reviews were conducted, especially in order to support a finding other than “Neither supports nor refutes.”	ICMS records, MORRs, and MOIs indicate that evidence <ul style="list-style-type: none"> • Was presented in a fair and unbiased manner and corroborated by other sources, where possible. • Afforded a reasonable basis for the investigative findings and conclusions. • Was organized within MORRs and MOIs relative to the case allegations or issues. • Was documented in concise manner, using proper grammar and spelling. 	ICMS records, MORRs, and MOIs indicate that in one or more cases, <ul style="list-style-type: none"> • Evidence was presented in a biased manner OR • Evidence was insufficient as a basis for investigative findings and conclusions OR • All relevant records were not reviewed or witnesses were not interviewed. 	ICMS records, MORRs, and MOIs indicate <ul style="list-style-type: none"> • Evidence was both obtained and presented in a biased manner.

WORKING DRAFT

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<p>Functional Area: Investigations Unit</p> <p>Working Title: Regional Investigator</p>	<p>PERFORMANCE EXPECTATION 3</p> <p>Effectively prepares detailed reports of investigations and management reviews, AS INDICATED BY REPORTS THAT:</p> <ol style="list-style-type: none"> 1. Include at minimum all required sections: Introduction, Allegations (including Governing Directives), Findings, Inspector General Comments, Risk Assessments when health, safety or welfare concerns arise, and if applicable Additional Allegations and Findings or Additional Information. 2. Include findings and conclusions that are supported by sufficient, factual, and relevant evidence presented in a fair and unbiased manner. 3. All information and evidence is accurately summarized in investigative reports, management reviews, and the Investigations and Complaint Management System (ICMS). 4. Reports are written in a clear and concise manner, using plain language, active voice, consistent diction and parallel structure, and are grammatically correct to include spelling, punctuation, etc. 				
	<p>EXCEPTIONAL / 5</p>	<p>ABOVE EXPECTATION / 4</p>	<p>MEETS EXPECTATION / 3</p>	<p>BELOW EXPECTATION / 2</p>	<p>UNACCEPTABLE / 1</p>
<p>INDICATOR 1 – Report Format</p>	<p>ICMS records and report documents indicate</p> <ul style="list-style-type: none"> • All reports included the required sections. • Allegations meeting investigative sufficiency were addressed in all investigative reports. • Governing directives are accurately cited in the Governing Directives and Allegation sections of the report, with no content or formatting revisions required. • RI creatively developed a new format or method of presentation to streamline report. 	<p>ICMS records and report documents indicate</p> <ul style="list-style-type: none"> • All reports included the required sections. • Allegations meeting investigative sufficiency were addressed in all investigative reports. • Governing directives are accurately cited in the Governing Directives section of report and Allegation section, with only <u>minor formatting</u> revisions required. 	<p>ICMS records and report documents indicate</p> <ul style="list-style-type: none"> • All reports included the required sections. • Allegations meeting investigative sufficiency were addressed in all investigative reports. • Governing directives were accurately cited in the Governing Directives and Allegation sections of all reports, with only <u>minor content</u> revisions required. 	<p>ICMS records and report documents indicate</p> <ul style="list-style-type: none"> • All reports included the required sections. • Allegations meeting investigative sufficiency were not addressed in one investigative report, resulting in the RI needing to complete major report revisions or additional investigative activities. OR • Governing directives cited in the Governing Directives and allegations sections of all reports are applicable, but not always accurate based on the time period of the allegation. 	<p>ICMS records and report documents indicate</p> <ul style="list-style-type: none"> • All reports did not include the required sections. OR • Allegations meeting investigative sufficiency were not addressed in two or more investigative reports, resulting in the RI needing to complete major report revisions or additional investigative activities. OR • Governing directives cited in the Governing Directives and allegations sections of reports were not relevant to the allegations.
<p>INDICATOR 2 – Sufficient Evidence to Support the Findings and Conclusions</p>	<ul style="list-style-type: none"> • ICMS records and report documents indicate that within all reports: • Sufficient and relevant evidence was reported in a fair and unbiased manner, establishing a reasonable basis for the investigative findings and conclusions. • Supporting materials for all reports were organized within ICMS and the case packet submitted to the supervisor for review with the first draft report. • Expert testimony was obtained to support findings, when necessary. 				<p>ICMS records and report documents indicate that within one or more reports:</p> <ul style="list-style-type: none"> • Evidence was presented in an unfair and biased manner. <u>OR</u> • The information or evidence was poorly organized or missing within ICMS and the case packet <u>OR</u> • Insufficient evidence was obtained to support findings and conclusions, such that additional investigative activities were required by the supervisor or COI. • Expert testimony was not obtained to support findings when deemed necessary by the RIS or COI.

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<p align="center">INDICATOR 3 Accuracy</p>	<p>ICMS, investigative reports and management reviews, supporting materials, and ICMS data integrity reports indicate</p> <ul style="list-style-type: none"> • 100% of investigative reports and management reviews included accurate analyses of physical evidence and accurate interview summaries and quotes (when applicable). • 100% of Allegations and Findings and Case screens were accurately updated in ICMS <u>at the time cases were submitted to supervisor for review in ICMS.</u> 	<p>ICMS, investigative reports and management reviews, supporting materials, and ICMS data integrity reports indicate</p> <ul style="list-style-type: none"> • 100% of investigative reports and management reviews included accurate analyses of physical evidence and accurate interview summaries and quotes (when applicable). • 100% of Allegations and Findings and Case screens were accurately updated in ICMS at the time of case closure or <u>within one day of receipt</u> of the data integrity report. 	<p>ICMS, investigative reports and management reviews, supporting materials, and ICMS data integrity reports indicate</p> <ul style="list-style-type: none"> • 100% of investigative reports and management reviews included accurate analyses of physical evidence and accurate interview summaries and quotes (when applicable). • 100% of Allegations and Findings and Case screens were accurately updated in ICMS at the time of case closure or <u>within five days of receipt</u> of the data integrity report. 	<p>ICMS, investigative reports and management reviews, supporting materials, and ICMS data integrity reports indicate</p> <ul style="list-style-type: none"> • One or two investigative reports or management reviews included a substantially inaccurate analysis/summary of the interviews or physical evidence at the time the case was submitted to the supervisor for review in ICMS. OR • 100% of Allegations and Findings and Case screens were not accurately updated in ICMS at the time of case closure or within five days of receipt of the data integrity report. 	<p>ICMS, investigative reports and management reviews, supporting materials, and ICMS data integrity reports indicate</p> <ul style="list-style-type: none"> • Three or more investigative reports or management reviews included a substantially inaccurate analysis/summary of the interviews or physical evidence at the time the case was submitted to the supervisor for review in ICMS.
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WORKING DRAFT

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INDICATOR -4 Presentation	<p>ICMS records and investigative reports and management reviews indicate that</p> <ul style="list-style-type: none"> Completed reports were submitted to the supervisor within <u>10 days</u> of assignment. 	<p>ICMS records and investigative reports and management reviews indicate that</p> <ul style="list-style-type: none"> Completed reports were submitted to the supervisor within <u>25 days</u> of assignment 	<p>ICMS records and investigative reports and management reviews indicate that</p> <ul style="list-style-type: none"> Completed reports were submitted to the supervisor within <u>35 days</u> of assignment or prior to the extended due date with COI approval. 	<p>ICMS records and investigative reports and management reviews indicate that</p> <ul style="list-style-type: none"> Completed reports were submitted to the supervisor within <u>35 days</u> of assignment or by the last extended due or prior to the extended due date with COI approval. <u>AND</u> 	<p>ICMS records and investigative reports and management reviews indicate that</p> <ul style="list-style-type: none"> Completed reports were not submitted to the supervisor within <u>35 days</u> of assignment or by the last extended due date approved by the COI and no additional extensions or exceptions were submitted by the RI and/or approved by the RIS/COI. <u>AND</u>
	<ul style="list-style-type: none"> Reports were written in a clear and concise manner, logically organized, using plain language and active voice, consistent diction and parallel structure, and correct grammar (including spelling, and punctuation), with no or minimal revisions required by the supervisor or COI. 	<ul style="list-style-type: none"> Reports were written in a clear and concise manner ,logically organized, using plain language and active voice, consistent diction and parallel structure, and correct grammar (including spelling, and punctuation), with only minor revisions required by the supervisor or COI. 	<ul style="list-style-type: none"> Reports were written in a clear and concise manner , logically organized, using plain language and active voice, consistent diction and parallel structure, and correct grammar (including spelling and punctuation), with only minor revisions required by the supervisor or COI. 	<ul style="list-style-type: none"> Within one or two reports, the supervisor or COI identified written report elements [written in a clear and concise manner using plain language and active voice, consistent diction and parallel structure, and correct grammar (including spelling, and punctuation)] or information and evidence was poorly organized within the report, such that major or multiple revisions or additions to the report were required by the supervisor or the COI. OR 	<ul style="list-style-type: none"> Within more than two reports, the supervisor or COI identified written report elements [written in a clear and concise manner using plain language and active voice, consistent diction and parallel structure, and correct grammar (including spelling, and punctuation)] or information and evidence was poorly organized within the report, such that major or multiple revisions or additions to the report were required by the supervisor or the COI. AND/OR
	<ul style="list-style-type: none"> Revisions identified by the supervisor or COI are completed and resubmitted to the supervisor within <u>one day</u> of return to the RI. 	<ul style="list-style-type: none"> Revisions identified by the supervisor or COI are completed and resubmitted to the supervisor within <u>one day</u> of return to the RI. 	<ul style="list-style-type: none"> Revisions identified by the supervisor or COI are completed and resubmitted to the supervisor within <u>two days</u> of return to the RI. 	<ul style="list-style-type: none"> Revisions identified by the supervisor or COI are completed and resubmitted to the supervisor within <u>five days</u> of return to the RI. 	<ul style="list-style-type: none"> Revisions identified by the supervisor or COI are completed and resubmitted to the supervisor more <u>than five days</u> after the return to the RI.

Functional Area: Investigations Unit	PERFORMANCE EXPECTATION 4			
Working Title: Regional Investigator	<p align="center">Effectively engages in professional work habits and demonstrates a positive attitude on the job, AS INDICATED BY:</p> <ol style="list-style-type: none"> Complies with applicable Operating Procedures. <ol style="list-style-type: none"> Provides exemplary customer service to both internal and external customers. Provides OIG outreach training to internal and contract providers. Completes required training/professional development activities; stays current with workplace information such as policy and procedural updates, changes, and other relevant information. Communicates in a timely manner with supervisor regarding pertinent issues, upcoming events, and potential problems. 			
EXCEPTIONAL / 5	ABOVE EXPECTATION / 4	MEETS EXPECTATION / 3	BELOW EXPECTATION / 2	UNACCEPTABLE / 1

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INDICATOR 1 – Complies with law, rule, procedures	In addition to meeting expectations and “above expectations,” the Investigative Manual and correspondence indicate that the Inspector General approved the RI’s recommendation for a substantive revision to the Investigative Directives Manual.	In addition to meeting expectations, correspondence indicates that the RI submitted a substantive recommendation for a revision to the Investigative Directives Manual according to procedures set forth in the Investigative Directives Manual. The RI included research and analysis to support the recommended revision.	ICMS records and observation indicate the RI <ul style="list-style-type: none"> Complied with law, rule, and procedure, the Quality Standards for Investigations found within the Principles and Standards for Offices of Inspector General, and the Investigative Directives Manual. Maintained Investigative Directives Manual, as required. 	Observation indicates that upon being made aware of an inadvertent violation of law, rule, or procedure, the RI self-reported to the RIS, COI, or IG.	Observation indicates that the RI intentionally committed a violation or inadvertently committed a violation but failed to self-report the violation to the RIS, COI, or IG.
INDICATOR 2a– Customer Service	Internal and external customers’ reports and OIG supervisors’ and managers’ observations indicate that RI provided exemplary customer service by being courteous and professional, and <ul style="list-style-type: none"> Working with a sense of urgency by recognizing and acting on issues that require immediate attention, and Communicating a sincere desire to obtain cooperation and input regarding matters of investigative or managerial concern. 				Internal and external customers’ reports or OIG supervisors’ or managers’ observations indicate that RI <ul style="list-style-type: none"> Was discourteous or unprofessional OR Did not work with a sense of urgency by recognizing or acting on issues that require immediate attention, OR Did not communicate a sincere desire to obtain cooperation and input regarding matters of investigative or managerial concern.
INDICATOR 2b– Outreach Training	ICMS records and correspondence indicate that RI <ul style="list-style-type: none"> In addition to meeting “above expectations,” independently solicited and scheduled training events for the unit with external/internal groups or agencies who had not previously received Outreach Training. OR Attended and/or conducted more than 15 Office of Inspector General Outreach training events with internal or external customers. 	ICMS records indicate that RI <ul style="list-style-type: none"> Attended and/or conducted more than six to 15 Office of Inspector General Outreach training events with internal or external customers. 	ICMS records and correspondence indicate that RI <ul style="list-style-type: none"> Attended and/or conducted six Office of Inspector General Outreach training events with internal or external customers. OR Attended and/or conducted all scheduled Office of Inspector General Outreach training events with internal or external customers in his/her Region AND RI attempted to solicit/schedule additional training events, such as during management briefings related to assigned cases. 	ICMS records indicate that RI <ul style="list-style-type: none"> Attended and/or conducted three to five Office of Inspector General Outreach training events with internal or external customers. 	ICMS records indicate that RI <ul style="list-style-type: none"> Attended and/or conducted less than three Office of Inspector General Outreach training events with internal or external customers.

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<p align="center">INDICATOR 3 – Professional Development</p>	<p>ICMS records indicate RI</p> <ul style="list-style-type: none"> Completed more than 60 hours of relevant (approved by the COI) continuing training/professional development activities every two years, with at least 12 hours in subjects directly related to their primary responsibility AND RI developed ad hoc training resources with internal or external experts or obtained outside formal training beneficial to the Office of Inspector General by using personal resources 	<p>ICMS records indicate RI</p> <ul style="list-style-type: none"> Completed more than 50 hours of relevant (approved by the COI) continuing training/professional development activities every two years, with at least 12 hours in subjects directly related to their primary responsibility. 	<p>ICMS records indicate RI</p> <ul style="list-style-type: none"> Completed the required 40 hours of continuing training/professional development activities every two years, with at least 12 of the 40 hours in subjects directly related to their primary responsibility. 	<p>ICMS records indicate RI</p> <ul style="list-style-type: none"> Did not complete required 40 hours of continuing training/professional development activities every two years, with at least 12 of the 40 hours in subjects directly related to their primary responsibility; however, insufficient training opportunities were available, as documented by the RIS and acknowledged by the COI. 	<p>ICMS records indicate RI</p> <ul style="list-style-type: none"> Did not complete required 40 hours of continuing training/professional development activities every two years, with at least 12 of the 40 hours in subjects directly related to their primary responsibility, despite training opportunities being available.
<p align="center">INDICATOR 4 – Communication with</p>	<p>ICMS records and supervision records indicate</p> <ul style="list-style-type: none"> RI provided sufficiently frequent updates to the supervisor regarding pertinent issues, upcoming events, and potential problems impacting completion of investigative activities and written reports. 				<p>ICMS records and supervision records indicate</p> <ul style="list-style-type: none"> RI did not provide sufficiently frequent updates to the supervisor regarding pertinent issues, upcoming events, and potential problems impacting completion of investigative activities and written reports resulting in non-compliance with accreditation standards.

WORKING DRAFT

**Department of Children & Families
Proposed Investigator SMART Goals**

Functional Area: Investigations Unit Working Title: Regional Investigator		PERFORMANCE EXPECTATION 5 Effectively and timely completes special projects assigned by the Chief of Investigations or Inspector General, AS INDICATED BY: <ol style="list-style-type: none"> A completed work product that met the specifications of the requesting manager. When applicable, written communications that were clear and concise; written in plain language and active voice; contained consistent diction and parallel structure; and were grammatically correct to include spelling, punctuation, etc. 			
	EXCEPTIONAL / 5	ABOVE EXPECTATION / 4	MEETS EXPECTATION / 3	BELOW EXPECTATION / 2	UNACCEPTABLE / 1
INDICATOR 1: Project Accuracy, Timeliness, and Documentation	The assigning manager indicated that the final work product <ul style="list-style-type: none"> • Provided accurate information or analysis of data <u>AND</u> • Was completed before the established due date/time <u>AND</u> • The final product presentation exceeded the expectations of the requesting manager. 	The assigning manager indicated that the final work product <ul style="list-style-type: none"> • Provided accurate information or analysis of data <u>AND either</u> • Was completed before the established due date/time <u>OR</u> • The final product presentation exceeded the expectations of the requesting manager. 	The assigning manager indicated that the final work product <ul style="list-style-type: none"> • Provided accurate information or analysis of data • Was completed within the established timeframe (or agreed upon extension). • Was completed according to the specifications of the requesting manager 	The assigning manager indicated that the final work product <ul style="list-style-type: none"> • Provided accurate information or analysis of data <u>AND either</u> • Was not completed by the established due date/time (or agreed upon extension) <u>OR</u> • The final product presentation did not meet the expectations of the requesting manager. 	The assigning manager indicated that the final work product <ul style="list-style-type: none"> • Provided inaccurate information or analyses
	INDICATOR 2: Written Communications The assigning manager reported and the supervisor observed that when applicable, written communications and reports required no or minor revisions based on one or more of the following required elements being present: <ul style="list-style-type: none"> • Clear and concise; • Written in plain language and active voice; • Consistent diction and parallel structure; and Grammatically correct to include spelling and punctuation.				