COMMON COMPETENCIES OF
OFFICE OF INSPECTORS GENERAL
CRIMINAL INVESTIGATORS

May 24, 2013

Table of Contents

Executive Summary

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Training Institute (TI), with the concurrence of the CIGIE Investigations Committee, embarked on a job task analysis (JTA) and competency model initiative associated with the Office of Inspectors General (OIG) Criminal Investigator (CI) positions. The primary purpose of this initiative was to identify job tasks and competencies that are common among OIG CIs in three job series including: GS 5 – 7, GS 9 – 11 and GS 12 – 13. A secondary objective was to identify potential advance training requirements for CIs and solicit suggestions for standardization of investigative policy. This initiative was performed in partnership with the Investigations Committee (IC), the Assistant Inspector General for Investigation (AIGI) Committee, who are relied upon as the subject matter experts by the IC, and the Inspector General Criminal Investigator Academy (IGCIA), with assistance from the Evaluation and Analysis Branch, Federal Law Enforcement Training Center (EAB/FLETC).

The contents of this report and its appendix are not intended to imply any policy or mandated requirements, but instead may be used by the OIG CI community to establish, validate, or update existing CI competencies being used by individual OIGs; help CI management update criteria for CI job performance, and subsequently providing a foundation for performance management; assist in future hiring of CIs by identifying applicable desired skills that can be identified on job announcements and used in subsequent hiring interviews; provide the foundation for consideration in validating and/or updating the "Job Task Illustration for Investigators" in CIGIE's Quality Standards for Investigations; and provide suggested areas for advanced training and policy. The report and its conclusions have been reviewed by the AIGI Committee and forward without objection. The AIGI Committee supports the following four suggestions as reported; First, Establishing Criteria for CI performance; Second, Assist in Hiring CIs; Third, Update Existing CI Competencies; and Fourth, Job Task Illustration for Investigators.

At its conclusion, nine competencies were identified by current CIs as ones they primarily performed: *Law Enforcement, Investigative Skills, Legal Knowledge, Oral Communication, Written Communication, Research and Analysis, Organizational Awareness, Partnering/Team Building,* and *Influencing/Negotiating.* The supervisors rated six of the nine competencies as being *most important* for CIs in GS 5 - 13 positions including: *Law Enforcement, Investigative Skills, Legal Knowledge, Oral Communication, Written Communication,* and *Research and Analysis*. The CI respondents' identified five of the same competencies among the *most important*, with the exception of *Legal Knowledge*, which they replaced with *Influencing and Negotiating*.

Background

In August 2011, CIGIE approved its 5-year Strategic Plan. One of the objectives of the plan was to review or establish OIG workforce competency models. Working towards that objective the CIGIE TI partnered with the AIGI Committee to develop an approach to perform a JTA of the OIG CI positions, which would later assist in identifying competencies most used by CIs. Upon agreement of an approach, the TI began the process by employing the services of the EAB/FLETC to provide the necessary expertise to perform a JTA and resulting competency assessment. The EAB/FLETC Senior Training Research Analyst assisting on this initiative worked with subject matter experts at the TI's IGCIA and within the IC community to design a survey tool that was used to determine the knowledge, skills and abilities performed by OIG CIs. The results of the survey were used by EAB/FLETC to perform the competency assessment.

The CIGIE TI reviewed the JTA and competency assessment results and briefed the IC and AIGI Committee. Based on these results the TI identified four considerations for the CIGIE membership, the IC and the AIGI Committee in using the EAB/FLETC analysis, which are presented within this report.

Goals

This initiative sets out to build the foundation for assisting the OIG community and the IC in validating and updating existing CI competency models, and provide useful information that the OIG leadership can use for the purpose of CI professional development, hiring, and performance management.

Objective

This initiative was performed to identify the general competencies believed necessary for CI performance. Upon identifying these general competencies, this information may serve as a basis for the OIG community to use in validating and updating their respective CI competency models, as well as for other purposes; and for consideration in potentially updating TI's IGCIA course curricula.

Methodology

The IGCIA Director and a team of OIG subject matter experts worked with a Senior Training Research Analyst from the EAB/FLETC to develop two web-based surveys that would serve as the basis for the JTA. To develop these surveys, position descriptions, job announcements, investigator descriptions, and Office of Personnel Management Guidelines were used to identify a list of common knowledge, skills and abilities. The list was revised several times and vetted through other subject matter experts in the OIG CI field prior to developing a JTA survey for OIG CIs. The resulting JTA survey contained questions in which CIs were asked to rate the

importance of 101 job tasks, knowledge, and skills, and to indicate how often they used these areas on the job. They were also asked to identify other knowledge and skills that were not listed and to provide suggestions for additional training. A preliminary analysis of the JTA survey provided clear linkages to nine emergent competencies.

A second survey, containing the nine emergent competencies, was developed for supervisors to rate the importance of these competencies for CIs in three grade series: GS5-7, GS9-11, and GS12-13. Supervisors were also asked to indicate whether the competency models were representative of the work of CIs for their agencies. The supervisors were also asked to rate the need for advanced training topics, identify leadership training topics and to comment on the standardization of policies and/or training across the OIG Community.

The results of the JTA and subsequent competency model were summarized in a report by the FLETC Senior Training Research Analyst and provided to the TI (Appendix A). The TI subsequently reviewed this information, met with the AIGI Committee, and developed suggestions for consideration by the IC and the OIG community.

Summary of EAB/FLETC Analysis

There were 460 CIs who responded to the JTA regarding the importance and usage of a list of 101 areas of knowledge, skills and abilities. The IGCIA Director worked with a team of subject matter experts from the OIG Community and the FLETC Senior Training Research Analyst to derive nine major competencies based on the results of the JTA[1]. A Competency Assessment survey was subsequently deployed to the OIG community supervisors to determine whether the competencies accurately described the work of their CIs. There were 197 supervisors who responded, representing 29 agencies. Ninety-five percent of the supervisors either *strongly agreed* (61%) or *agreed* (34%) that the nine competencies identified in the survey are representative of the work of their CIs. Appendix A contains the full results of the Job Task Analysis and Competency Assessment.

The supervisors rated six of the nine competencies as being *most important* for CIs in GS 5 - 13 positions including:

1. *Law Enforcement* - Conducts law enforcement activities including but not limited to discovery, collection and preservation of physical evidence of crimes and violations. Executes search and arrest warrants, plans and executes investigative and operational plans, conducts government workplace searches, administers oaths, maintains knowledge of current trends in criminal activities, properly operates vehicles in emergency or non-

---

[1] The nine competency titles are: *Law Enforcement, Investigative Skills, Legal Knowledge, Oral Communication, Written Communication, Research and Analysis, Organizational Awareness, Partnering/Team Building,* and *Influencing/Negotiating.*

emergency situations, conducts threat assessments and uses force when necessary to protect oneself and others.

2. *Investigative Skills* – Conducts interviews, interrogations, investigations and inspections involving issues such as government employee misconduct, fraud against the agency, onsite inquiries of reprisals and other casework that may include the use of confidential funds, financial crimes, procurement or contract fraud schemes and electronic crimes.

3. *Legal Knowledge* – Maintains and applies current knowledge of laws, especially regarding the rights and warning of U.S. Citizens, including government employees; government workplace searches; fraud against the U.S.; the Federal Rules of Discovery, Evidence and Criminal Procedure, and other legal authorities including, but not limited to, the U.S. Code and the Code of Federal Regulations, the Federal Acquisition Regulations, and the Fourth, Fifth and Sixth Amendments of the U.S. Constitution.

4. *Oral Communication* – Verbally reports facts and findings accurately in a concise, logical and objective manner to senior officials, external and internal customers, and provides testimony in civil, criminal, administrative or quasi-legal proceedings and/or grand jury hearings on complex government programs and operations.

5. *Written Communication* – Prepares sworn witness statements, correspondence, drafts and final investigative reports, affidavits for search and arrest warrants; writes analysis of investigative findings and conclusions, and provides recommendations for corrective actions.

6. *Research and Analysis* – Conducts research by reviewing records such as financial statements, bank, payroll or phone records, ledgers, reports, case files and/or correspondence for investigative leads, potential evidentiary value, and compliance enforcement per agency policies and Federal regulations; analyzes data, records, and reports to determine actionable items, and makes appropriate decisions and referrals to others as needed.

The JTA respondents' job skills ratings revealed five of the same competencies among the top 10 *most important*, with the exception of *Legal Knowledge*, which was replaced with *Influencing and Negotiating*. The JTA respondents' ratings for the frequency of use of the job tasks also indicated that the corresponding competencies of *Influencing/Negotiating* and *Partnering/Team Building* are among the top 10 *most often* used on the job. However, these two competencies were rated among the *least important* by supervisors.

When asked to identify advanced or additional training needs, both groups of respondents (CIs and Supervisors) recommended *legal updates* and *advanced interviewing*. The Competency Assessment participant supervisors were also asked to identify leadership training needed by CIs. Of the 154 who responded to this question, 66 (43%) suggested behavioral skills training including: *interpersonal communication, conflict resolution, diversity, decision making* and *ethics*. Additionally, 55 (36%) recommended training in human resource areas to include *employee development*, *discipline* and *motivation*. Finally, the supervisors were asked to indicate

whether they believed there should be standardized policies, training and/or information sharing within the IG community. Of the 122 participants who provided responses, 96 (79%) *agreed* with the need for some standardization. Their suggestions include the need for basic policies for *conducting investigations, undercover operations*, the *use of confidential funds* and *report writing*. Thirty-one percent also noted that resource sharing such as *information, databases* and an *electronic case management system* would benefit the IG community as a whole.

Suggestions/Considerations

The following are four considerations for the CIGIE membership in using Appendix A "Job Task Analysis and Competency for Office of Inspectors General Criminal Investigators." As the results of this effort demonstrated consistency in CIs job tasks, it is also important to recognize the uniqueness in OIG missions and how an OIG may choose to describe the individual competencies associated with to their mission. Therefore, the suggestions identified below are presented as areas of consideration and are not intended to imply any policy or mandated requirements.

1. *Establishing Criteria for CI job performance* - The central goal of performance management is to improve employee skills and application of those skills in order to optimize the impact of work. Core competencies are tools both managers and employees can use to enhance the CI's work output when a CI understands their criteria for job performance. The analysis reflected in this report and its Appendix may be ***used as a tool to assist in establishing criteria for CI job performance and in demonstrating a clear relationship of what the work of a CI entails, which may subsequently result in providing a foundation for performance management.***

2. *Assist in Hiring of CIs* - Core competencies are an integral part of an OIG's performance management system and succession planning programs. Succession planning is a multi-year approach to human capital management and includes core competency development. An OIG needs to ensure that its organization is appropriately staffed and equipped to accomplish its mission. Accordingly, it seeks to attract, hire, retain, and develop staff that are committed to the OIG's mission and possess the necessary competencies to implement OIG strategic goals and plans. The analysis reported herein may be ***used to assist in hiring of CIs by identifying applicable desired skills that can be identified on job announcements and used in subsequent hiring interviews.***

3. *Update Existing CI Competencies* - Identification and development of core competencies is critical to sustain an OIG's capability over the long term to be a dynamic and relevant organization. Competencies are observable and measureable knowledge, skills, abilities, and behaviors an individual needs to perform as a CI. Core competencies are those

qualities, which are so important that failure to possess them would compromise an organization's ability to perform successfully and achieve its mission. It is suggested that the analysis reported herein be ***used to validate or update existing CI competencies being used by individual OIGs, and assist others in establishing competencies.***

4. ***Job Task Illustration for Investigators*** - In August 2011, CIGIE approved its 5-year Strategic Plan. One of the objectives of the plan was to serve as a clearinghouse for best practices to continually improve IG community business operations**.** Working to support that objective, each of the CIGIE Committees performs an annual review of the professional quality standards for their respective profession. It is suggested that the IC review the contents of this report and consider using its information in part ***as the possible foundation in validating and/or updating the "Job Task Illustration for Investigators" in CIGIE's Quality Standards for Investigations.***

Additional use for the results of this effort will allow the TI's IGCIA to enhance desired training based on the qualifications needed in the field. Additionally, the IGCIA will now contain a list of identified knowledge, skills and abilities being used by CIGIE CIs most often, which may be used for further research efforts that may arise within the CIGIE membership.