

**CHAPTER 6**  
**THE INVESTIGATIVE REPORT—UNIFORMED CLASSIFICATIONS**  
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## CHAPTER 6

### THE INVESTIGATIVE REPORT—UNIFORMED CLASSIFICATIONS

1. PREPARATION AND TRANSMITTAL. Field investigators shall prepare and submit investigation reports to their Division Applicant Investigations Unit (AIU) coordinator following the format set forth in this chapter.

a. Report Contents. The investigator and ultimately the Division AIU coordinator have the responsibility of ensuring that the report contains complete, factual, and accurate information that **directly relates to the candidate's ability to meet the minimum job qualifications**.

(1) Documentation. Reports shall be documented in the electronic Statement of Personal History (eSOPH).

(2) Comments made by each person contacted should be documented. Additionally, every contact attempted should also be documented. Potentially disqualifying information shall be carefully documented and should include **verbatim** statements of the contacts. The primary objective of the investigation is to gather factual information which will help to provide insight of the candidate's personal character. Comments which appear to be subjective should not be considered relevant unless corroborated as factual. The names and addresses of all contacts shall be included in the report. A contact's request for confidentiality can only be honored in compliance with Sections 1798.38 and 1798.40 of the California Civil Code (CCC). The contact shall be advised that every effort will be made to conceal their identity. However, in compliance with Section 1798.34(a) CCC, the candidate is entitled to review the investigation report and may ultimately gain access to information which would reveal the identity of a contact. Therefore, a pledge of confidentiality should be avoided.

(3) Final (Investigative) Interview Report. The purpose of the Final (Investigative) Interview portion of the report is to identify significant admissions, omissions, errors, falsifications, and any other information of a derogatory nature. The candidate's response as well as any mitigating information should be included.

(a) Initially identify any admissions or omissions found on their eSOPH documents, the level of seriousness, and how the candidate responded to them at the initial interview. If all issues were resolved to the investigator's satisfaction, a simple statement to that effect will suffice.

(b) All issues considered derogatory in nature shall be listed in the Final (Investigative) Interview portion of the report and, where applicable, include statements verbatim. All items of derogatory information shall be listed numerically.

(c) It is not necessary to include nonderogatory information in the Final (Investigative) Interview portion of the report unless the information serves to mitigate the derogatory information. This also includes information obtained during the investigation which may not necessarily be a background concern but may be beneficial to the California Department of Human Resources during the psychological evaluation.

(4) Investigative Interviews. Identify the location, time, date, and persons present at the interview. Document the following:

(a) The candidate's review of their eSOPH documents and how changes were made.

(b) The candidate's acknowledgment of penalty and certification clauses.

(c) The candidate's eSOPH documents were discussed item by item.

(d) The number of significant points discussed at the investigative interview to coincide with the numbering on the Summary of Derogatory Information.

(e) Brief summary of each significant point identifying the issue being discussed, the candidate's response, how information was verified, and how the point was mitigated. If the issue is favorably or unfavorably resolved or unresolved, a brief statement to that effect is required.

(f) If a new issue is identified in the course of the investigative interview which requires follow-up, a statement to that effect is required. Any new issue developed during the investigative interview requiring follow-up and a second interview must be addressed and documented on a second investigative interview page.

(g) If a withhold action is based wholly or in part on information developed during the investigative interview, it is imperative that the report accurately reflects the basis for rejection. The question-and-answer format, utilizing direct quotations of both the investigator and the candidate, should be used to document the pertinent dialogue. Summary statements should not be used in these instances.

(5) Division Levels of Review and Recommendation. When reviewing the report, two key elements should be kept in mind: Do the facts support the

investigator's recommendation? Is the information that was used in developing the recommendation complete and job-related?

(a) Division Applicant Investigation Unit Coordinator. The completed eSOPH documents are submitted to the designated Division AIU coordinator.

(b) Lieutenant. Upon review and approval of the Division AIU coordinator, the lieutenant shall conduct the final level of review of all applicant investigations prior to submission to Uniformed Hiring Section (UHS), Cadet Hiring Unit (CHU).

(c) Assistant Chief. Each Division Chief shall assign an Assistant Chief within the Division to review a random monthly sampling, equal to 15 percent, of all completed applicant investigations for that month. The purpose of this random sampling is to confirm appropriate hiring recommendations are made.

1 Divisions shall submit an e-mail to [BGCaseReview@chp.ca.gov](mailto:BGCaseReview@chp.ca.gov) within 15 calendar days following the end of the month to confirm the 15 percent random sampling has been completed. The e-mail shall include the name and examination cycle of each applicant.

(6) Report. Upon completion of the investigation, the eSOPH documents shall be submitted to UHS, CHU, along with the remainder of the file material. Copies shall **not** be retained at the Division level, as applicant investigation reports are considered confidential material. If the applicant investigation is complete, pending employment and residence responses to inquiries made through eSOPH, the investigation can continue as completed. Within the notes section of the eSOPH, the investigator shall indicate which inquiries are pending. Once responses to the inquiries are received, they shall be forwarded to UHS, CHU for inclusion in the investigation file. If derogatory information is received from a pending inquiry, the Division shall immediately notify UHS, CHU.

(7) Time Reporting. In addition to reporting time spent on applicant investigations on a CHP 415, Daily Field Record, investigators shall submit a separate time report on each candidate to Division AIU coordinators. These reports shall include the following information:

(a) Candidate's name.

(b) Type of investigation (full, partial, out-of-state, reinstatement).

(c) Daily time spent on the investigation.

(d) Daily time spent assisting on other investigations (assisting with final interviews, conducting residence or employment checks for other investigators).

2. RESTRICTED ACCESS. Information provided by candidates via the eSOPH and information developed during the applicant investigation is **confidential**. Investigators are not to reveal information concerning any part of the investigation to persons other than those authorized to review and evaluate the file. Information gathered from third parties will not, as a general rule, be revealed to the candidate. It is recognized that during the investigative interview, information may be disclosed in an attempt to resolve discrepancies between their eSOPH documents and results of the investigation. Investigators should avoid revealing the source of information to the candidate so as not to compromise the source or the investigation pursuant to Section 1798.40[d] CCC.