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FEDERAL BUREAU OF INVESTIGATION
CORPORATE POLICY DIRECTIVE

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1. Policy Directive Title.	Financial Institution Fraud Policy Implementation Guide
2. Publication Date.	2010-10-15
3. Effective Date.	2010-10-15
4. Review Date.	2013-10-15
5. Primary Strategic Objective.	
6. Authorities: Attorney General's Guidelines for Domestic FBI Operations (AGG-Dom), dated December 1, 2008. FBI Domestic Investigations and Operations Guide (DIOG) dated December 16, 2008.	
7. Purpose: To promulgate the <u>Financial Institution Fraud PG</u> .	
8. Policy Statement: 1. All FBI employees, detailees, contractors, task force officers, and others responsible for performing criminal investigative operations and intelligence collection activities in furtherance of the mission of the FBI shall comply with the policies and procedures contained in the Financial Institution Fraud PG, which is consistent with the laws, rules and regulations governing FBI investigations, operations, programs, and activities. 2. All Special Agents, professional staff, detailees, contractors, task force officers, and others responsible for performing criminal investigative operations and intelligence collection activities in furtherance of the mission of the FBI shall successfully complete all assigned training courses derived from the AGG-Dom, the DIOG, and the Financial Institution Fraud PG. 3. All updates and modifications to the Financial Institution Fraud PG shall be coordinated by the Division Policy Officer (DPO), the Corporate Policy Office, Resource Planning Office, and approved internally by the Criminal Investigative Division Assistant Director. 4. Unless otherwise specifically stated in the AGG-Dom, DIOG or FBI policy, SACs may delegate, as appropriate, approval authorities for authorized investigative operations and intelligence collection activities and methods as described in the DIOG and the Financial Institution Fraud PG.	
9. Scope: This directive and the policies and procedures contained in the Financial Institution Fraud PG apply to all FBI employees, detailees, contractors, task force officers, and others responsible for performing the	

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Criminal Division's mission.

10. Proponent:

Assistant Director, Criminal Division
Federal Bureau of Investigation

11. Roles and Responsibilities:

1. FBIHQ Assistant Director (AD) and Operational Program Managers

- 1.1. Must promulgate and update, as necessary, a program implementation guide which supplements the DIOG. The program implementation guides, and any updates thereto, must be approved by the Executive Assistant Director having oversight over the program upon coordination through the FBI policy cycle.
- 1.2. In consultation with the Office of General Counsel, must submit update requests to the policies and procedures contained in the Financial Institution Fraud PG to the Corporate Policy Office for coordination.
- 1.3. In consultation with the Office of Integrity and Compliance, must develop monitoring mechanisms to ensure employee compliance with the policy and procedures contained in the Financial Institution Fraud PG.

2. FBI Employees, Detailees, Contractors, Task Force Officers, and Others

- 2.1. Must comply with the policies and procedures contained in the Financial Institution Fraud PG.
- 2.3. Must timely and successfully complete all assigned training courses derived from the policies and procedures contained in the DIOG and Financial Institution Fraud PG.

3. FBIHQ and Field Division Heads and Supervisors

- 3.1. Must ensure their employees implement the policies and procedures contained in the DIOG and Financial Institution Fraud PG.
- 3.2. Must promptly assign DIOG and Financial Institution Fraud PG training courses to their employees and ensure their employees timely and successfully complete the assigned training courses.
- 3.3. Must monitor employee compliance with the policies and procedures contained in the DIOG.

4. AD

- 4.1. Must approve all updates to the Financial Institution Fraud PG upon coordination through the FBI policy cycle.
- 4.2. Must coordinate DOJ approval of updates to the DIOG Classified Annex.
- 4.3. Must coordinate the development of Financial Institution Fraud PG training and set employee course completion deadlines (if applicable).

5. Corporate Policy Office (CPO)

- 5.1. Must maintain the most current version of the PG on its website, coordinate modification requests to the Financial Institution Fraud PG, and update the Financial Institution Fraud PG as such requests are approved.
- 5.2. Must develop and maintain a centralized portal for employee feedback of the policies and procedures contained in the Financial Institution Fraud PG.

6. FBIHQ and Field Office Training Coordinators

- 6.1. Must monitor timely and successful completion of PG training courses for all employees in their respective FBIHQ and Field Divisions (if applicable).
- 6.2. Must provide training tracking information to the Division Policy Officer (DPO) on a regular basis to be determined by the DPO.

7. General Counsel

- 7.1. Must ensure the PG is in compliance with the AGG-Dom, the DIOG and all applicable legal authorities governing FBI investigations, operations, programs, and activities.

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7.2. Must review all requested modifications to the policies and procedures contained in the Financial Institution Fraud PG.

8. Inspection Division

8.1. Must update all inspection auditing and monitoring policies and procedures to ensure appropriate oversight of the implementation of the Financial Institution Fraud PG.

9. Office of Integrity and Compliance

9.1. Must review all requested modifications to the policies and procedures contained in the Financial Institution Fraud PG to ensure compliance with laws, rules and regulations governing FBI investigations, operations, programs, and activities.

9.2. In coordination the AD and Operational Program Managers, must facilitate the development of monitoring mechanisms to ensure employee compliance with the policy and procedures contained in the Financial Institution Fraud PG.

For additional, detailed roles and responsibilities associated with the laws, rules and regulations, including the policies and procedures contained within the Financial Institution Fraud PG, governing FBI investigations, operations, programs, and activities, see Section 1 and 2 of the Financial Institution Fraud PG.

12. Exemptions:

13. Supersession:

MIOG, Part 1, Sections 29-1 through 29-7, Sections 49-1 through 49-11, and Sections 258-1 through 258-10

14. References, Key Words, and Links:

These are listed in Appendices B-1, D-1, and E-1 of the Financial Institution Fraud PG.

15. Definitions:

These are listed in Appendices B-1, D-1, and E-1 of the Financial Institution Fraud PG.

16. Appendices, Attachments, and Forms:

Appendix A: Legal Authorities

Appendix B: Sources of Additional Information

Appendix C: Contact Information

Appendix D: Key Words

Appendix E: Acronyms

Final Approval

Name: **HENRY, SHAWN (DO)(FBI)**

Title: **Executive Assistant Director**

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