



PRIVATE SECURITY COMPLIANCE MONITORING

Region		District	Area
Major		Captain	Lieutenant
Number of Special Agents			
Period Monitored	From	To	
Monitor Name			Rank
Report Prepared By			Rank

INVESTIGATIONS	
List the CLERIS/CLIPS reports examined:	
All criminal investigations and enforcement actions involving regulatory programs are to be documented in a CLERIS Investigative Report. In cases of Private Security investigations and enforcement actions, personnel should also copy and paste the details of the CLERIS Investigative Report into a new CLIPS Investigative Report. (SOP, page 22)	
	How many criminal investigations were conducted?
<input type="radio"/> Yes <input type="radio"/> No	Are criminal investigations being documented into CLIPS?
All Private Security investigations should be documented in CLERIS. If the investigation involves a previous or currently licensed, registered or endorsed business or individual, then the details of the CLERIS report should also be copied into CLIPS. (SOP, page 22)	
<input type="radio"/> Yes <input type="radio"/> No	Are all Private Security investigations involving previous or currently licensed, registered or endorsed business or individuals being documented in CLIPS?
All pertinent information, evidence and attachments should be documented in the investigative report. Personnel should also document any administrative violation discovered during the investigation. (SOP, page 14)	
<input type="radio"/> Yes <input type="radio"/> No	Are administrative violations being documented in the investigative report, including the nature of the complaint and the outcome, if it doesn't result in an actual violation or cleared by investigators?
If the findings of the investigation are such that the license, registration or endorsement of a regulated business or individual could be subject to administrative action, a copy of the investigative report should be referred to the RSD Program Manager or designee, regardless if charges are filed. (SOP, page 14)	
<input type="radio"/> Yes <input type="radio"/> No	Are the investigations being referred to RSD, if the findings of the investigation are such that the license, registration or endorsement of a regulated business or individual could be subject to administrative action?
Agents are responsible for conducting administrative investigations. (SOP, page 12)	
<input type="radio"/> Yes <input type="radio"/> No	Are administrative investigations being conducted when violations are reported or detected?
Regardless if the investigation is solely administrative in nature, or is criminal and administrative; all relevant information should be documented in the investigative report. (SOP, page 12)	
<input type="radio"/> Yes <input type="radio"/> No	Is relevant information being included in the report (who, what, when, where and how?)
If the allegations or violations could subject a regulated business' or individual's license, registration or endorsement to administrative action, a copy of the investigative report should be submitted to the RSD Program Manager or designee within five business days of being approved by the supervisor. (SOP, page 12)	
<input type="radio"/> Yes <input type="radio"/> No	Are investigations being submitted within five (5) days of approval?

Personnel should email investigative reports to rsd.update.disposition@dps.texas.gov. (SOP, page 12)

<input type="radio"/> Yes <input type="radio"/> No	Are reports being submitted to the correct email address?
RSD is responsible for tracking and maintaining records on investigative referrals. To ensure effective and efficient operations, field personnel should provide an update every 30 days on investigative referrals while the investigation is ongoing and upon conclusion. If the investigation involves the Private Security Program, the CLIPS number should be included with the update. (SOP, page 12)	
<input type="radio"/> Yes <input type="radio"/> No	Are updates being submitted as required?
<input type="radio"/> Yes <input type="radio"/> No	Are CLIPS numbers included with updates?
Updates and dispositions should be emailed to rsd.update.disposition@dps.texas.gov . (SOP, page 12)	
<input type="radio"/> Yes <input type="radio"/> No	Are updates being submitted correctly?

INSPECTIONS (GUARD CHECKS)	
List the name of each Guard / Personal Protection Officers Inspection Report (RSD-21) checked (guard name, if no CLIPS number) examined:	
Personnel shall utilize RSD-21 when documenting Guard / Personal Protection Officer checks. All fields are considered required unless not applicable to the type of inspection being conducted. (SOP, page 12)	
	How many inspections were conducted?
<input type="radio"/> Yes <input type="radio"/> No	Are RSD-21s being completed correctly?
As a general rule, guard checks and business inspections should not be entered into CLIPS. However, if the agent discovers criminal violations during a guard check, the agent shall submit RSD-21, complete a CLERIS report and copy the details of the report into a CLIPS investigative file. The CLERIS report should also document any administrative violations. (SOP, page 21)	
<input type="radio"/> Yes <input type="radio"/> No	Are guard checks involving the discovery of criminal violations being documented in CLIPS, following investigative procedures?
<input type="radio"/> Yes <input type="radio"/> No	Are guard checks being documented correctly?
Inspection reports for all inspections completed during a calendar month are due by the 15 th of the following month. Inspection reports should be emailed to rsd.inspections@dps.texas.gov . If the inspection report includes more than one page, all page of the inspection should be submitted regardless if used or not. (SOP, page 10)	
<input type="radio"/> Yes <input type="radio"/> No	Are guard checks being submitted by the deadline?
<input type="radio"/> Yes <input type="radio"/> No	Are guard checks being submitted to the correct email address?

LICENSING RECORD REQUESTS	
List the name of the business and / or individual of each licensing record examined:	
During the course of an investigation or inspection, personnel may need to verify if a business or individual has the proper license, registration or endorsement. In cases where the license, registration or endorsement is the basis for the charges, or is needed for prosecution, agents should request certified copies of licensing, registration or endorsement records. (SOP, page 12)	
<input type="radio"/> Yes <input type="radio"/> No	Are personnel requesting certified copies of licensing records?
All requests should be made on RSD-13 an send to rsd.certifications@dps.texas.gov . (SOP, page 12)	
<input type="radio"/> Yes <input type="radio"/> No	Is the correct form being used?
<input type="radio"/> Yes <input type="radio"/> No	Are requests sent to the correct email address?

