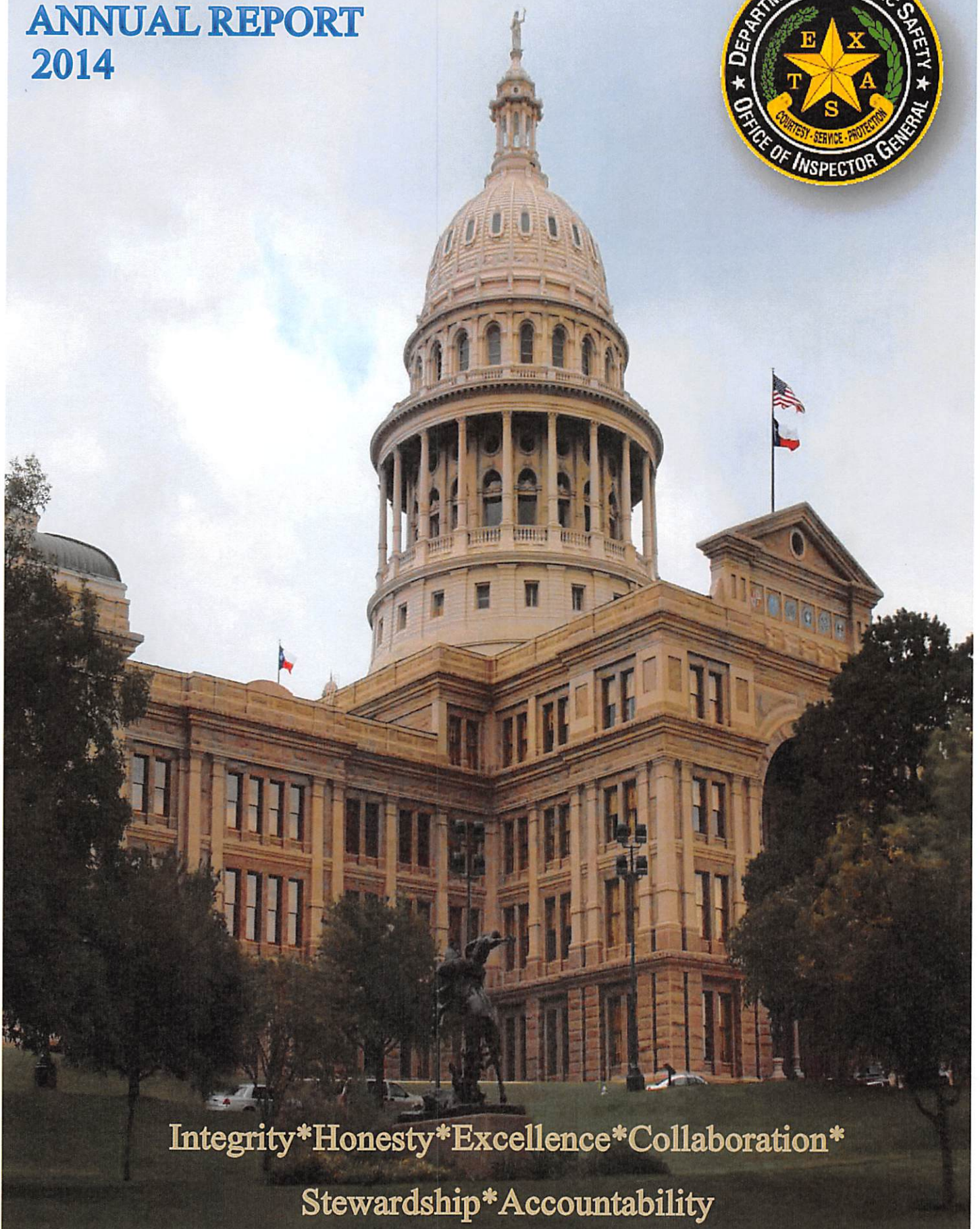


OFFICE OF INSPECTOR GENERAL ANNUAL REPORT 2014



Integrity*Honesty*Excellence*Collaboration*

Stewardship*Accountability

FOREWORD

This report summarizes the important work of the Office of Inspector General for calendar year 2014.

We express our thanks to Public Safety Committee Chair Cynthia Leon, Commissioners Steven Mach, Randy Watson, Manny Flores and Faith Johnson for the support and encouragement we receive from them. It is their guidance and authority that allows OIG to perform the important work conducted in this office. We are also very grateful to Director Steve McCraw, Deputy Directors David Baker and Duke Bodisch, and all agency leaders and supervisors for supporting our efforts to assist in a vigorous complaint investigation process that protects both the public and members of the Department.

The OIG maintains a workforce committed to expertise, achievement and accountability – traits which are highly regarded throughout the agency. Our staff has focused its investigative efforts on efficiency, collaboration, accuracy and fulfilling our statutory obligations. We have done so independently and without bias.

In comparison to the previous annual report for 2011 & 2013, OIG realized almost twice the amount of work in 2014 with the same amount of employees. Even though the workload doubled this year, OIG was able to maintain the timelines as required by policy and produce exceptional work that assisted every Division in the agency.

Looking forward, DPS employees can expect the OIG to conduct quality investigations that are factual, timely and void of personal bias. Our commitment is to honor the integrity and value of all employees as we fulfill our responsibilities to the agency and the State of Texas.

Rhonda Fleming
Inspector General



DPS OFFICE OF INSPECTOR GENERAL

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PSC and OFFICE OF INSPECTOR GENERAL ROSTER

PUBLIC SAFETY COMMISSION

A. Cynthia Leon, Chairman
Manny Flores, Commissioner
Faith Johnson, Commissioner
Steven P. Mach, Commissioner
Randy Watson, Commissioner

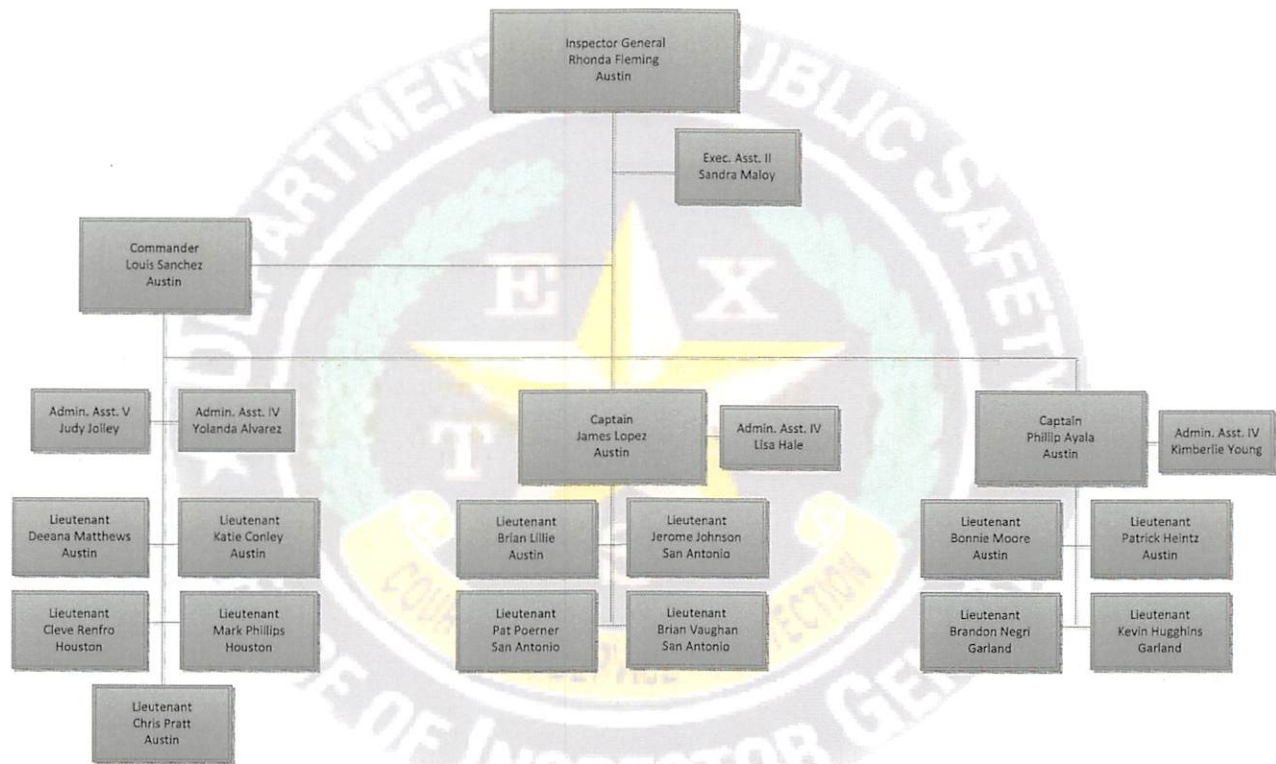
OFFICE OF INSPECTOR GENERAL

Rhonda Fleming, Inspector General, Austin
Louis Sanchez, Commander, Austin
Phillip Ayala, Captain, Austin
James Lopez, Captain, Austin
Kathleen (Katie) Conley, Lieutenant, Austin
Bonnie Moore, Lieutenant, Austin
Kevin Huggins, Lieutenant, Garland
Brandon Negri, Lieutenant, Garland
Chris Pratt, Lieutenant, Austin
Cleve Renfro, Lieutenant, Houston
Brian Vaughan, Lieutenant, San Antonio
Jerome Johnson, Lieutenant, San Antonio
Pat Poerner, Lieutenant, San Antonio
Raquel (Rocky) Matthews, Lieutenant, Austin
Patrick Heintz, Lieutenant, Austin
Mark Phillips, Lieutenant, Houston

Sandra Maloy, Executive Assistant II, Austin
Judy Jolley, Administrative Assistant V, Austin
Lisa Hale, Administrative Assistant IV, Austin
Kimberlie Young, Administrative Assistant IV, Austin
Yolanda Alvarez, Administrative Assistant IV, Austin

OFFICE OF INSPECTOR GENERAL

Organizational Chart



Office of Inspector General

Mission, Goals, and Values

Mission:



OFFICE OF INSPECTOR GENERAL ANNUAL REPORT 2014

The Office of Inspector General (OIG) is statutorily tasked with responsibility for all administrative investigations of employee misconduct. Texas Government Code 411.251 requires the Office of Inspector General to be responsible for acting to prevent and detect serious breaches of departmental policy, fraud and abuse of office, including any acts of criminal conduct. The Office of Inspector General independently and objectively reviews, investigates, delegates and oversees the investigations of:

- Criminal activity
- Allegations of wrongdoing by department employees
- Crimes committed on department property; and
- Serious breaches of department policy.

Pursuant to statute, the Inspector General reports directly to the Public Safety Commission and is also tasked with the duty to provide the Director with information regarding investigations as appropriate. The Commission and Director will be kept apprised regarding complaint investigations where:

- Dismissal of the accused appears possible.
- Criminal Prosecution of the accused appears justified.
- The reputation of the Department is in jeopardy as a result of the action of the accused.
- ***Widespread publicity may result.****

2014 EXAMPLES OF DPS INCIDENTS IN THE PUBLIC EYE

****DPS issues statement regarding trooper's 'unprofessional manner' caught on citizens cell phone video. Citizen video leaked to news outlets.***

****DPS Trooper found sleeping on duty during Operation Strong Safety (OSS). Photograph leaked online via Facebook.***

****Texas DPS Trooper caught on citizen's video behaving unprofessionally when responding to assist local deputies. Citizen video leaked to news outlets.***

****Man's lawful refusal to ID leads Trooper to assault him, charge him with resisting arrest. Citizen video leaked to news outlets.***

TIMELINESS IN THE INVESTIGATION PROCESS

(Excludes the AD/OGC review process)

OIG receives and accepts complaints from the public and internal employees through various methods. These include but are not limited to the following:

General Manual, Chapter 7A,
Section 07.42.15

TIMELINES REGARDING ADMINISTRATIVE INVESTIGATIONS

1. The following timelines will govern completion and review of administrative investigations conducted under this chapter:

The Inspector General will forward the investigation or a copy thereof to the appropriate assistant director and regional commander no later than 28 working days following the initiation of the investigation.

- ❖ Phone calls
- ❖ U.S. mail
- ❖ Email
- ❖ Via the Internet – Texas Department of Public Safety website
- ❖ In person
- ❖ The Office of Inspector General also accepts anonymous complaints.

Investigations require tremendous focus and the necessary appropriation of time to meet current policy guidelines. By carefully focusing resources and receiving tremendous support from agency leadership, the Office of Inspector General has been able to successfully manage the investigative caseload and comply with department guidelines.

During 2014, OIG was able improve the number of days spent on an investigation as illustrated below:

2013 –	22 working days
2014 –	19 working days

**Chapter 7A, General Manual, COMPLAINT INVESTIGATION AND REVIEW PROCEDURES (revised August 2013) requires OIG investigations to be received, investigated and completed within 28 working days.*

EMPLOYEE CRIMINAL INVESTIGATIONS (ECI's)

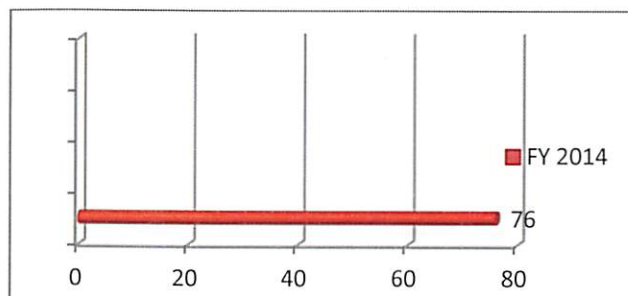
Criminal investigations on DPS personnel are an unfortunate reality in some administrative employee investigations. The Texas Rangers and the Criminal Investigations Division are solely responsible for these investigations and the Office of Inspector General monitors these as required by statute. In most cases, the Office of Inspector General proceeds with an administrative investigation on DPS personnel once the criminal investigation is concluded.

Because the Office of Inspector General enjoys a collaborative relationship with the Texas Rangers and the Criminal Investigations Division, these highly sensitive investigations are conducted without undue interruption to a criminal prosecution or administrative action.

*Texas Government Code, Chapter
411.251 and DPS General Manual,
Chapter 7A*

"The Office of Inspector General shall delegate any investigation considered potentially appropriate for criminal prosecution to the Texas Rangers or the Criminal Investigations Division for investigation or referral back to the Inspector General for further action. Criminal matters may or may not result in prosecutions."

ECI's



OIG ADMINISTRATIVE INVESTIGATIONS

Each complaint against a department member is evaluated to determine if OIG has jurisdiction and if the matter warrants further consideration. Matters brought to the attention of OIG can be addressed via several methods:

- ❖ Formal administrative investigation
- ❖ Referral to a Division for managerial correction (Division Referral)
- ❖ Referral to the Texas Rangers and/or the Criminal Investigations Division (ECI)
- ❖ Investigation declined.

(A complaint may be declined for various reasons including, for example, if it does not allege a violation of law or policy or if insufficient information is provided.)

All matters investigated by OIG are summarized in written format and provided to the appropriate Division for review and disciplinary recommendation. Additionally, the Office of General Counsel (OGC) reviews OIG investigations for thoroughness and potential legal issues.

Equal Employment Opportunity (EEO) Investigations:

The Office of Inspector General is statutorily tasked with responsibility for all internal administrative investigations of employee misconduct. As such, OIG assumes investigation approval authority for all EEO investigations and on occasion, provides expert investigation services for this office. OIG and EEO collaboration ensures a seamless internal administrative investigation process which benefits the agency and all personnel.

It is agency policy that discrimination, sexual harassment and related unprofessional conduct are unacceptable conduct and will not be tolerated. DPS leadership at all levels will be committed to creating and maintaining an environment conducive to maximum productivity and respect for human dignity. Discrimination, sexual harassment and related unprofessional conduct create a hostile work environment. Understanding, preventing and reporting violations of discrimination and sexual harassment is the responsibility of every member of this agency.

Steve McCraw, Director

THE YEAR IN NUMBERS

The following summary encompasses the statistics and investigation trends processed through the Office of Inspector General for 2014:

Calendar year 2013

Total Complaints Received:	290
➤ Division Referrals	131
➤ OIG Investigations	131
➤ TAIG Investigations	28
➤ ECI Tracking	69
➤ EEO Investigations	00

Calendar year 2014

Total Complaints Received:	404
➤ Division Referrals	219
➤ OIG Investigations	185
➤ TAIG Investigations	8
➤ ECI Tracking	76
➤ EEO Investigations	16

OIG PUBLIC INFORMATION REQUESTS (PIR's)

318 Open Records requests were fulfilled by the Office of Inspector General.
\$ 257.80 was collected in fees.

MAJOR TRENDS NOTED:

- Conduct unbecoming – *Off duty behaviors typically involving acting in a non-official capacity*
- Assaultive behaviors – *On Duty – persons in custody*
Off Duty – domestic violence
- Candor issues
- Theft – non-commissioned employees

FRAUD POLICY

In compliance with Tex. Gov't Code 321.022, the Office of Inspector General submits monthly reports to the Chief Auditor's Office (CAO) detailing OIG investigations that may fall under the definitions of Fraud, Waste and Abuse. This report is then disseminated by the CAO to the State Auditor's Special Investigations Unit.

Article IX, Section 7.10, of the General Appropriations Act (82nd Legislature) and DPS General Manual, Section 05.49.00 FRAUD POLICY states that:

Employees who suspect fraud is occurring in the workplace should immediately notify their supervisors. If for some reason the employee is uncomfortable with notifying their supervisor, they may notify Internal Affairs or the State Auditor's Office. The DPS home page includes a link to the State Auditor's website for fraud reporting.

CONTINUING EDUCATION AND RECRUITMENT

The Office of Inspector General is committed to improving the efficiency and effectiveness of its operations and staff, which includes the DPS Volunteer Investigator Program (VIP). In January and February of 2015, this office presented its second annual continuing education program for these investigators which seeks to:

- ❖ Better ensure understanding of policy and law as it relates to administrative investigations
- ❖ Promote employee professionalism and development.

VOLUNTEER INVESTIGATOR PROGRAM – (Also known as “VIP”)

The VIP program is designed to supplement the OIG and EEO offices when necessary due to staffing concerns and in order to maintain investigation timeliness. VIP's can be either commissioned or non-commissioned supervisors throughout the agency. Not every supervisor however, is qualified to be a department investigator. The IG's office has defined standards for participating in the VIP Program. The list below (developed in 2009), which identifies these standards, has been disseminated to all Assist. Directors and Regional Commander's.

All administrative investigations help citizens and employees exercise their right to lodge a complaint with the Department, but to be specific, this work helps the volunteer investigator develop skills that can enhance their careers. The opportunity to analyze issues and draw factual conclusions while sometimes providing an assessment of managerial accomplishments and failures, assists them in becoming a better manager, supervisor and leader.

The IG and EEO Officer will periodically review the efficiency, morale and effectiveness of each volunteer investigator and when necessary, make recommendations for additional training or replacement. The IG and EEO Officer retain the right to remove any volunteer investigator from the working list should an employee prove to not meet these standards.

VOLUNTEER INVESTIGATOR QUALIFICATIONS

- Recommendation from chain of command
- Impartiality
- Professionalism and credibility
- Reputation among employees as honest, neutral and fair
- Knowledge of agency policies, procedures, practices and rules
- Communication and interviewing skills
- Ability to maintain confidentiality
- Ability to adapt to and follow-up on unexpected or new information
- Effectiveness as a potential witness in an administrative or court proceeding

The second annual VIP investigator training conference consisted of courses designed to promote professional responsibilities for this role with topics such as:

- ❖ Communication and interviewing skills
 - Instruction offered by the Office of Inspector General
- ❖ Legal education – applicable laws as they relate to department investigations
 - Instruction offered by the Office of Inspector General
- ❖ Review of agency policies, procedures and practices
 - Instruction offered by the Office of Inspector General
- ❖ Unique and specific training applicable to EEO investigations
 - Instruction offered by the DPS-EEO, Nathanael Haddox

OIG STAFF RECRUITMENT

The Office of Inspector General seeks to maintain a workforce committed to performance, excellence, and accountability. Employees in OIG enjoy their work, mission and the responsibilities related to their positions. Employees in the Office of Inspector General are high achievers and take pride knowing their work protects employees against erroneous allegations and when necessary, holds employees accountable for wrongdoing that is proven to be factual. For these reasons, the turnover rate in the Office of Inspector General is very low.

Specialized Requests

On occasion, Divisions request Ad hoc reports from the OIG to assist in planning and evaluating upcoming programs or ongoing concerns within their divisions.

In 2014, OIG assisted the following Divisions with these requests:

Driver License Division:

- The DLD requested a report showing how many employees had been accused and subsequently sustained for theft of state monies.
- The DLD wanted to know how many employees have been arrested and/or investigated for criminal activities.

Criminal Investigations Division:

- CID requested a report showing how many commissioned employees were potential Brady/Giglio/Michael Morton concerns – Candor issues which may prevent them from filing criminal charges in the field.

Texas Highway Patrol Division

- THP requested the number of sustained investigations for a designated year.

DPS EARLY WARNING SYSTEM – “BLUETEAM”

“BLUETEAM,” is an incident reporting system that also provides Early Intervention (EI) which alerts on employees involved in frequent and significant occurrences to assist managers, supervisors and leaders in recognizing patterns and trends early on so that intervention is initiated before formal disciplinary action is required. Examples of significant occurrences entered into “BLUETEAM” include:

- Use of Force
- Firearm Discharge
- Vehicle Pursuits

“BLUETEAM” is a system by which DPS leaders can more easily track, document and monitor employee performance and to spot trends, make “real time” notifications and offer solutions for intervention.

In 2014, the Office of Inspector General, at the request of the Director’s Office, began incorporating the first steps of an Early Intervention System for the agency incorporated within a software application called BlueTeam.

An EI system is “early” in the sense that it helps to identify employee performance problems that do not initially warrant formal disciplinary action but suggest that an employee is having problems. The major contribution of an EI system is its capacity to spot patterns of performance and to intervene before problems lead to a serious incident such as a lawsuit, a citizen complaint, or some other public crisis involving the department.

An EI system is officially separate from the department’s formal disciplinary system. It is designed for supervisors to help employees improve their performance through counseling, training, or coaching. No record of participation in an EI program is placed in an employee's personnel file, although a separate record of participation is usually maintained by the Office of Inspector General.

An Early Intervention System has several benefits including but not limited to:

- 1) Improved officer performance,
- 2) Reduction in number and severity of citizen complaints,
- 3) More accountability from first line supervisors,
- 4) Improved morale,
- 5) Reduction in lawsuits and department liability, and
- 6) Identify training needs.

Early identification (EI) programs identify behaviors which could lead to diminished work performance. Early intervention is implemented through the employee's management team and occurs immediately after a behavior is identified. Intervention is based on the particular needs of the employee may include, but is not limited to counseling, training and/or referral. In addition, an EI system reduces liability and risk exposure to the employee as well as to the department, and ensures supervisory accountability.

In 2014, OIG partnered with members of the major law enforcement divisions to form a working committee with emphasis on the incident reporting system contained within BlueTeam. OIG also collaborated closely with the DPS Information Technology Division to integrate the BlueTeam application within the Department's domain. This integration allows network connected employees the capability to readily enter incident summaries and route them electronically to their next level supervisor using both the Department's email and the BlueTeam application. Supervisory approved BlueTeam incidents will ultimately be stored within an OIG housed database which is capable of being queried for statistical reports for requesting stakeholders within the Department. BlueTeam's early intervention capabilities offer the Department the prospect of being able to capture, monitor and alert both employees and their supervision of critical law enforcement incident trends. Systemic occurrences by an employee can be viewed globally by their supervisors for closer inspection, summary clearance or if necessary, intervention in an attempt to stave off subsequent or more serious incidents which may result in a formal departmental investigation.

OIG's implementation of the BlueTeam project started as a pilot-project with testing occurring in a limited number of THP field offices, but has since expanded more assertively in THP District 3A (the Rio Grande Valley). OIG expects a large influx of reportable incidents with this robust expansion which in turn will provide OIG, THP, and the Department the necessary data to ultimately determine the adaptability of BlueTeam for the agency. OIG expects field testing to conclude by late spring 2015.

OFFICE OF INSPECTOR GENERAL ANNUAL REPORT 2015

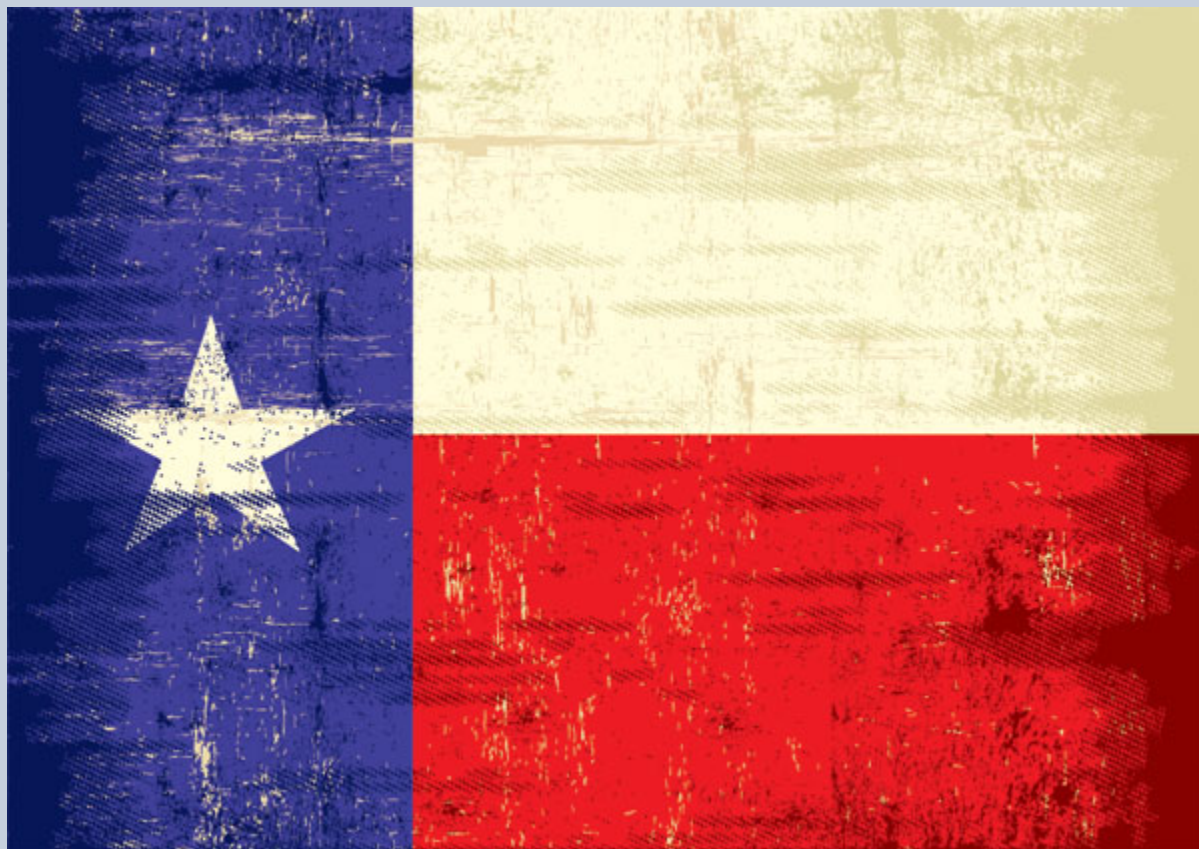


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FOREWORD

This report summarizes the important work of the Office of Inspector General.

For calendar year 2015, OIG managed complex and in some instances, publicly renowned administrative personnel complaints. Some of these matters attained notoriety not seen before at this agency. OIG personnel consistently displayed integrity, professionalism, and independence during these examinations. OIG's commitment and capacity to honor the value and integrity of all employees and members of the public, was accomplished with the reliability DPS has come to expect from this office.

Public Safety Committee Chair Cynthia Leon and Commissioners Steven Mach, Randy Watson, Manny Flores and Faith Johnson consistently provide tremendous guidance and assistance to this office. OIG could not perform this important work without their support. We are also very grateful to the leadership at DPS. Director Steven McCraw, Deputy Directors David Baker and Duke Bodisch, and all agency leaders and supervisors consistently demonstrate commitment for a vigorous complaint investigation process that protects both the public and members of the Department.

OIG maintains a workforce committed to expertise, excellence and accountability – traits which are highly regarded throughout the agency. Our staff focuses all investigative efforts on efficiency, collaboration, accuracy and fulfilling statutory obligations. OIG is reliably neutral and independent.

The public has the right to lodge a complaint against an employee and employees should count on OIG to insulate them from false claims while at the same time, expect a fair and respectful process should the complaint have merit. It is my goal that DPS employees and members of the public agree that OIG has fulfilled these responsibilities this year and every year.

Rhonda Fleming
Inspector General



Office of Inspector General Leadership Staff

DPS OFFICE OF INSPECTOR GENERAL

PUBLIC SAFETY COMMISSION

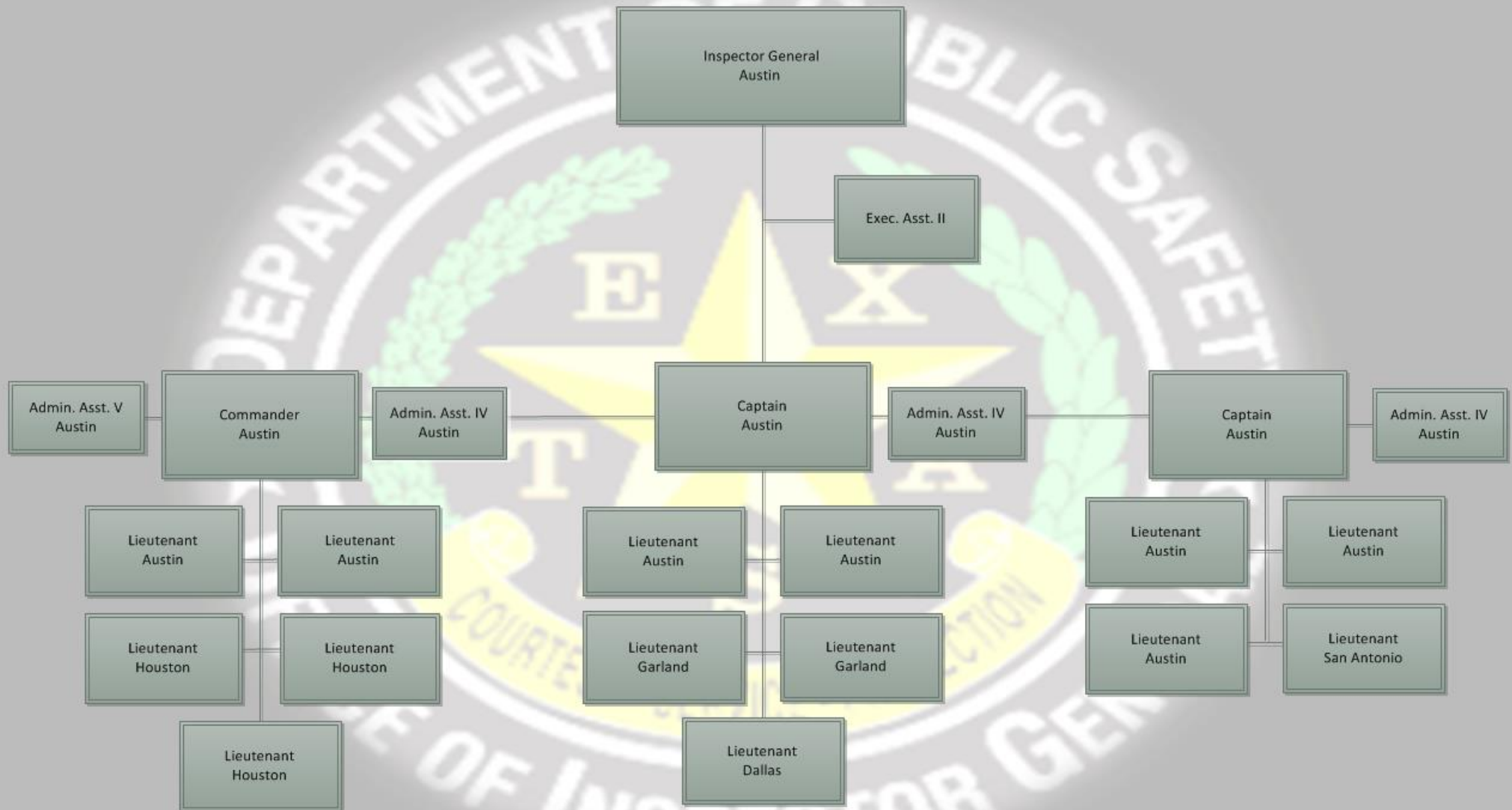
A. Cynthia Leon, Chairman
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Randy Watson, Commissioner

OFFICE OF INSPECTOR GENERAL

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Adam Kinslow, Lieutenant, Austin
David Adkins, Lieutenant, Austin
Robert Rodriguez, Lieutenant, Austin
Raquel (Rocky) Matthews, Lieutenant, Austin
Thomas Williams, Lieutenant, Austin
Kevin Huggins, Lieutenant, Garland
Brandon Negri, Lieutenant, Garland
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Cleve Renfro, Lieutenant, Houston
Mark Phillips, Lieutenant, Houston
Esther Edinger, Lieutenant, Houston
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Lisa Hale, Administrative Assistant IV, Austin
Beth Hartzell, Administrative Assistant IV, Austin
Melissa Martinez, Administrative Assistant IV, Austin

OFFICE OF INSPECTOR GENERAL ORG CHART



Office of Inspector General

Mission, Goals, and Values

Mission:

The OIG advances the Agency's mission by expeditiously providing findings and recommendations to the Public Safety Commission, the Director, and other members of the Agency regarding policy and law violations. OIG maintains a workforce committed to performance, excellence, and accountability by working together to ensure that:

- Our activities result in needed change and are responsive to agency needs;
- Our opinions and products are independent, objective, and accurate;
- Our workforce is highly competent and seeks opportunities for continual improvement;
- We act with professionalism, integrity, and transparency.

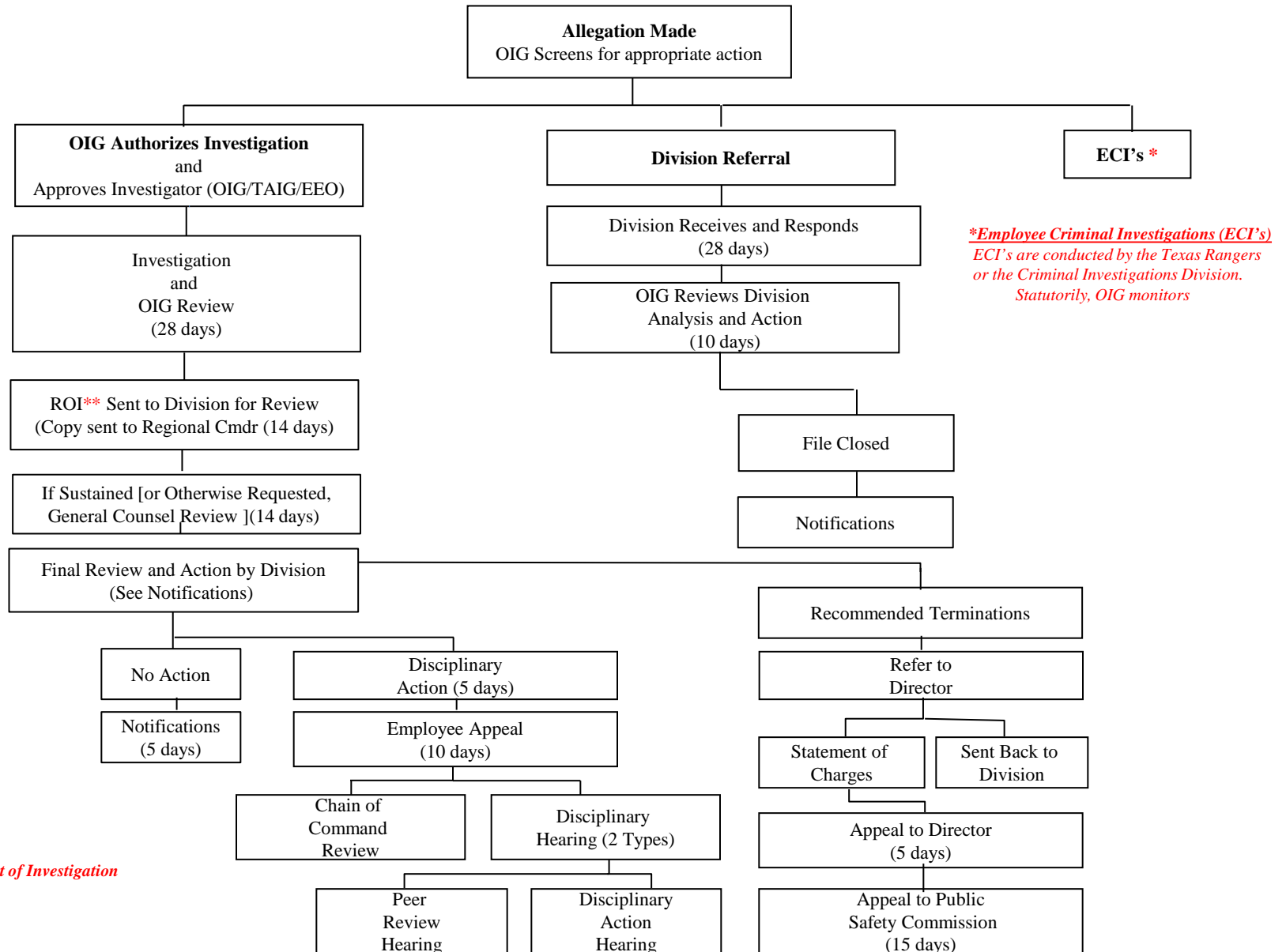
Goals:

- Readily accept and review each complaint received with the deserved level of attention;
- Be proactive in preventing and identifying misconduct, fraud and abuse of office Through analysis of data trends;
- Independently investigate, evaluate and recommend a fair classification based upon facts, ignoring all irrelevant factors;
- Provide employees confidence and protection against complaints and allegations lacking merit or actual violation of law and policy;
- Provide timely information to the Public Safety Commission, Director and all divisional and regional commands requiring their attention, involvement and action;
- Minimize misconduct by providing employee training and guidance on problematic trends and issues;
- Enhance public and employee confidence in the integrity of the processing and investigation of misconduct allegations against DPS employees.

Values:

- Integrity
- Honesty
- Excellence
- Collaboration
- Stewardship
- Accountability

PROCEDURES CONCERNING PERSONNEL COMPLAINTS AND ADMINISTRATIVE INVESTIGATIONS



OFFICE OF INSPECTOR GENERAL ANNUAL REPORT 2015

The Office of Inspector General (OIG) is statutorily tasked with responsibility for all administrative investigations of employee misconduct. Texas Government Code 411.251 requires the Office of Inspector General to be responsible for acting to prevent and detect serious breaches of departmental policy, fraud and abuse of office, including any acts of criminal conduct. The Office of Inspector General independently and objectively reviews, investigates, delegates and oversees the investigations of:

- Criminal activity
- Allegations of wrongdoing by department employees
- Crimes committed on department property; and
- Serious breaches of department policy.

Pursuant to statute, the Inspector General reports directly to the Public Safety Commission and is also tasked with the duty to provide the Director with information regarding investigations as appropriate. The Commission and Director will be kept apprised regarding complaint investigations where:

- Dismissal of the accused appears possible.
- Criminal Prosecution of the accused appears justified.
- The reputation of the Department is in jeopardy as a result of the action of the accused.
- ***Widespread publicity may result.****

Widespread Publicity – 2015

- ❖ *Citizen stopped for failing to signal lane change. Case garnered International media attention.*
- ❖ *Arrested: THP Trooper soliciting prostitution and bribery during patrol duties. State wide media coverage.*
- ❖ *THP Trooper stops Dallas Cowboy for picture and fails to take enforcement action. Actions appear on Facebook and broadly distributed.*
- ❖ *THP Corporal creates and distributes “Sombrero” stamps and places them on patrol vehicles to indicate # of visits to border. Actions appear on Facebook and broadly distributed.*
- ❖ *THP Trooper caught sleeping in his patrol vehicle. Image appeared on Facebook and broadly distributed.*

TIMELINESS IN THE INVESTIGATION PROCESS

General Manual, Chapter 7A,
Section 07.42.15

TIMELINES REGARDING ADMINISTRATIVE INVESTIGATIONS

1. The following timelines will govern completion and review of administrative investigations conducted under this chapter:

The Inspector General will forward the investigation or a copy thereof to the appropriate assistant director and regional commander no later than 28 working days following the initiation of the investigation.

OIG receives and accepts complaints from the public and internal employees through various methods. These include but are not limited to the following:

- ❖ Phone calls
- ❖ U.S. mail
- ❖ Email
- ❖ Via the Internet – TxDPS website
- ❖ In person
- ❖ The Office of Inspector General also accepts anonymous complaints.

Investigations require tremendous focus and the necessary appropriation of time to meet current policy guidelines. By carefully focusing resources and receiving tremendous support from agency leadership, the Office of Inspector General has been able to successfully manage the investigative caseload and comply with department guidelines.

During 2015, OIG has maintained policy guidelines regarding the number of days spent on an investigation as illustrated below:

**Chapter 7A, General Manual, COMPLAINT INVESTIGATION AND REVIEW PROCEDURES (revised August 2013) requires OIG investigations to be received, investigated and completed within 28 working days.*

2013 – 22 working days
2014 – 19 working days
2015 – 21 working days

EMPLOYEE CRIMINAL INVESTIGATIONS (ECI's)

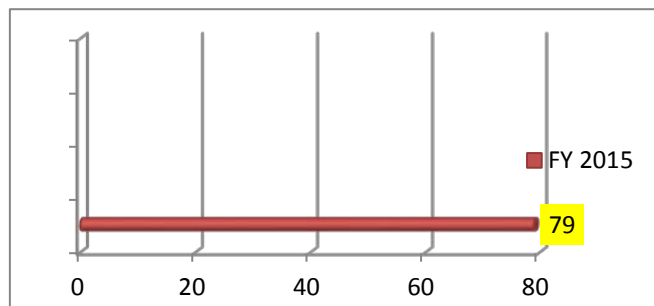
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Because the Office of Inspector General enjoys a collaborative relationship with the Texas Rangers and the Criminal Investigations Division, these highly sensitive investigations are conducted without undue interruption to a criminal prosecution or administrative action.

Texas Government Code, Chapter 411.251 and DPS General Manual, Chapter 7A

“The Office of Inspector General shall delegate any investigation considered potentially appropriate for criminal prosecution to the Texas Rangers or the Criminal Investigations Division for investigation or referral back to the Inspector General for further action. Criminal matters may or may not result in prosecutions.”

ECI's



OIG ADMINISTRATIVE INVESTIGATIONS

Each complaint against a department member is evaluated to determine if OIG has jurisdiction and if the matter warrants further consideration. Matters brought to the attention of OIG can be addressed via several methods:

- ❖ Formal administrative investigation
- ❖ Referral to a Division for managerial correction (Division Referral)
- ❖ Referral to the Texas Rangers and/or the Criminal Investigations Division (ECI)
- ❖ Investigation declined.

(A complaint may be declined for various reasons including, for example, if it does not allege a violation of law or policy or if insufficient information is provided.)

All matters investigated by OIG are summarized in written format and provided to the appropriate Division for review and disciplinary recommendation. Additionally, the Office of General Counsel (OGC) reviews OIG investigations for thoroughness and potential legal issues.

Equal Employment Opportunity (EEO) Investigations:

The Office of Inspector General is statutorily tasked with responsibility for all internal administrative investigations of employee misconduct. As such, OIG assumes investigation approval authority for all EEO investigations and on occasion, provides expert investigation services for this office. OIG and EEO collaboration ensures a seamless internal administrative investigation process which benefits the agency and all personnel.

It is agency policy that discrimination, sexual harassment and related unprofessional conduct are unacceptable conduct and will not be tolerated. DPS leadership at all levels will be committed to creating and maintaining an environment conducive to maximum productivity and respect for human dignity. Discrimination, sexual harassment and related unprofessional conduct create a hostile work environment. Understanding, preventing and reporting violations of discrimination and sexual harassment is the responsibility of every member of this agency.

Steve McCraw, Director

THE YEAR IN NUMBERS

The following summary encompasses the statistics and investigation trends processed through the Office of Inspector General for 2015:

Calendar year 2014

Total Complaints Received: 404

- Division Referrals 219
- OIG Investigations 185
- VIP Investigations 8
- ECI Tracking 76
- EEO Investigations 16

Calendar year 2015

Total Complaints Received: 370

- Division Referrals 199
- OIG Investigations 163
- VIP Investigations 8
- ECI Tracking 79
- EEO Investigations 32

OIG Public Information Requests (PIR's)

304 Open Records requests were fulfilled by the Office of Inspector General.
\$ 274.95 was collected in fees.

MAJOR TRENDS NOTED:

- Courtesy Policy
- 7- Step Violator Policy
- Reporting of Duty Hours
- DWI – Non- Commissioned
- Theft – non-commissioned

FRAUD POLICY

In compliance with Tex. Gov't Code 321.022, the Office of Inspector General submits monthly reports to the Chief Auditor's Office (CAO) detailing OIG investigations that may fall under the definitions of Fraud, Waste and Abuse. This report is then disseminated by the CAO to the State Auditor's Special Investigations Unit.

Article IX, Section 7.10, of the General Appropriations Act (82nd Legislature) and DPS General Manual, Section 05.49.00 FRAUD POLICY states that:

Employees who suspect fraud is occurring in the workplace should immediately notify their supervisors. If for some reason the employee is uncomfortable with notifying their supervisor, they may notify Internal Affairs or the State Auditor's Office

The DPS home page includes a link to the State Auditor's website for fraud reporting.

VOLUNTEER INVESTIGATOR PROGEAM

CONTINUING EDUCATION AND RECRUITMENT

The Office of Inspector General is committed to improving the efficiency and effectiveness of its operations and staff, which includes the DPS Volunteer Investigator Program (VIP).

The VIP program is designed to supplement the OIG and EEO offices when necessary due to staffing concerns and in order to maintain investigation timeliness. VIP's can be either commissioned or non-commissioned supervisors throughout the agency.

Not every supervisor however, is qualified to be a department investigator. The IG's office has defined standards for participating in the VIP Program. The list below (developed in 2009), which identifies these standards, has been disseminated to all Assist. Directors and Regional Commander's.

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The IG and EEO Officer periodically review the efficiency, morale and effectiveness of each volunteer investigator and when necessary, make recommendations for additional training or replacement. The IG and EEO Officer retain the right to remove any volunteer investigator from the working list should an employee prove to not meet these standards.

VOLUNTEER INVESTIGATOR QUALIFICATIONS

- Recommendation from chain of command
- Impartiality
- Professionalism and credibility
- Reputation among employees as honest, neutral and fair
- Knowledge of agency policies, procedures, practices and rules
- Communication and interviewing skills
- Ability to maintain confidentiality
- Ability to adapt to and follow-up on unexpected or new information
- Effectiveness as a potential witness in an administrative or court proceeding

The second annual VIP investigator training conference consisted of courses designed to promote professional responsibilities for this role.

In January and February of 2015, this office, along with the EEO Office, presented its second annual continuing education program for these investigators which seeks to:

- ❖ Better ensure understanding of policy and law as it relates to administrative investigations
- ❖ Promote employee professionalism and development.

OIG STAFF RECRUITMENT

The Office of Inspector General seeks to maintain a workforce committed to performance, excellence, and accountability. Employees in OIG enjoy their work, mission and the responsibilities related to their positions. Employees in the Office of Inspector General are high achievers and take pride knowing their work protects employees against erroneous allegations and when necessary, holds employees accountable for wrongdoing that is proven to be factual. For these reasons, the turnover rate in the Office of Inspector General is very low.

OIG PROMOTIONS

Brian Lillie, OIG Lt., promoted to OIG Captain, Austin

Adam Kinslow, THP Lt., promoted to OIG Lieutenant, Austin

David Adkins, THP Lt., promoted to OIG Lieutenant, Austin

Robert Rodriguez, THP Sgt., promoted to OIG Lieutenant, Austin

DPS EARLY WARNING SYSTEM – “BLUE TEAM”

“BLUE TEAM,” is an incident reporting system that also provides Early Intervention (EI) which alerts on employees involved in frequent and significant occurrences to assist managers, supervisors and leaders in recognizing patterns and trends early on so that intervention is initiated before formal disciplinary action is required. Examples of significant occurrences entered into “BLUE TEAM” include:

- Use of Force Issues
- Firearm Discharge
- Vehicle Pursuits
- Citizen Complaints to include:
 - Courtesy Issues
 - 7-Step Violator contact

“BLUE TEAM” is a system by which DPS leaders can more easily track, document and monitor employee performance and to spot trends, make “real time” notifications and offer solutions for intervention.

An EI system is “early” in the sense that it helps to identify employee performance problems that do not initially warrant formal disciplinary action but suggest that an employee is having problems. The major contribution of an EI system is its capacity to spot patterns of performance and to intervene before problems lead to a serious incident such as a lawsuit, a citizen complaint, or some other public crisis involving the department.

An EI system is officially separate from the department’s formal disciplinary system. It is designed for supervisors to help employees improve their performance through counseling, training, or coaching. No record of participation in an EI program is placed in an employee’s personnel file, although a separate record of participation is usually maintained by the Office of Inspector General.

An Early Intervention System has several benefits including but not limited to:

- 1) Improved officer performance,
- 2) Reduction in number and severity of citizen complaints,
- 3) More accountability from first line supervisors,
- 4) Improved morale,
- 5) Reduction in lawsuits and department liability,
- 6) Identify training needs.
- 7) Interdepartmental Transparency

Early identification (EI) programs identify behaviors which could lead to diminished work performance. Early intervention is implemented through the employee’s management team and occurs immediately after a behavior is identified. Intervention is based on the particular needs of the employee may include, but is not limited to counseling, training and/or referral.

In addition, an EI system reduces liability and risk exposure to the employee as well as to the department, and ensures supervisory accountability.

In as much as BLUE TEAM is designed for commissioned division use as an Early Intervention System, BLUE TEAM is also being used as a data collection tool to more easily leverage statistical analysis for the incidents identified.

In October of 2015, BLUE TEAM went “live” for the commissioned divisions of the agency and is functioning as expected. BLUE TEAM is capturing significant incidents within the system and is already producing statistics for the Director’s Dash Board as well as providing feedback for early intervention.

OIG maintains the software and oversight of BLUE TEAM to ensure the reliability and consistency promised to the agency.

EMPLOYEE AWARD – OIG DIVISION CHIEF’S AWARD RECIPIENT

In recognition of outstanding performance of duty and contributions to the Department of Public Safety and the State of Texas, Phillip Ayala, Major-THP and former Capt. of OIG, received the OIG Division Chief’s Award.

During calendar years 2014 and 2015, he distinguished himself through hard work and perseverance as a member of the Office of Inspector General. His demonstration of professionalism by serving as project manager for the implementation of Blue-Team, an intervention and data collection system, is unequalled and a testament to his dedication and devotion to duty and to the Department. Phillip consistently displayed the confidence and resolution needed to face the challenges and effectively used his authority, intellect and influence in a positive manner. Phillip proved himself an excellent visionary and tempered his duties with diplomacy and outstanding interpersonal communication skills.

Phillip’s tireless efforts serve as a clear example of the sort of vision, teamwork, selfless service, and positive attitude we seek to develop in all Department leaders.



OFFICE OF INSPECTOR GENERAL ANNUAL REPORT

2016



FOREWORD

This report describes the important work of the Texas Department of Public Safety's Office of Inspector General (OIG) for 2016. OIG aims to fulfill its statutory responsibilities by enhancing public and employee confidence in the integrity of the processing and investigation of misconduct allegations against DPS employees.

The quality of *Integrity* is OIG's foundation. OIG also honors and values *Honesty – Excellence – Collaboration – Stewardship and Accountability*. These traits are consistently demonstrated in all our work. Because OIG is an independent investigative body, we are able to advance the mission of the Texas Department of Public Safety by expeditiously and authentically providing findings and recommendations to the Public Safety Commission, the Director and other members of the Agency regarding policy and law violations.

For calendar year 2016, OIG responsibly managed all department administrative investigations and consistently displayed integrity, professionalism, and independence during these examinations.

OIG thanks the Public Safety Commission for their guidance and support of an independent investigative body. OIG could not perform this important work without their encouragement and guidance. We are also very grateful to the leadership of DPS. Specifically, Director Steven McCraw, Deputy Directors David Baker and Duke Bodisch, and all agency leaders and supervisors consistently demonstrate a strong and sincere commitment for a vigorous complaint investigation process that protects both the public and members of the Department.

Rhonda Fleming
Inspector General

Office of Inspector General Personnel



DPS OFFICE OF INSPECTOR GENERAL

PUBLIC SAFETY COMMISSION

A. Cynthia Leon, Chairman
Manny Flores, Commissioner
Steven P. Mach, Commissioner
Randy Watson, Commissioner
Vacant

OFFICE OF INSPECTOR GENERAL

Rhonda Fleming, Inspector General, Austin
Louis Sanchez, Deputy Inspector General, Austin
James Lopez, Captain, Austin
Brian Lillie, Captain, Austin
Bonnie Moore, Lieutenant, Austin
Adam Kinslow, Lieutenant, Austin
David Adkins, Lieutenant, Austin
Robert Rodriguez, Lieutenant, Austin
Raquel (Rocky) Matthews, Lieutenant, Austin
Thomas Williams, Lieutenant, Austin
Vacancy, Lieutenant, Austin
Kevin Huggins, Lieutenant, Garland
Brandon Negri, Lieutenant, Garland
Patrick Heintz, Lieutenant, Forney
Vicky Edinger, Lieutenant, Houston
Mark Phillips, Lieutenant, Houston
Esther Edinger, Lieutenant, Conroe
Jerome Johnson, Lieutenant, San Antonio

Sandra Maloy, Executive Assistant, Austin
Judy Jolley, Administrative Assistant V, Austin
Lisa Hale, Administrative Assistant IV, Austin
Melissa Martinez, Administrative Assistant IV, Austin
Kristy Miller, Administrative Assistant IV, Austin

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Office of Inspector General

Mission, Goals, and Values

Mission:

The OIG advances the Agency's mission by expeditiously providing findings and recommendations to the Public Safety Commission, the Director, and other members of the Agency regarding policy and law violations. OIG maintains a workforce committed to performance, excellence, and accountability by working together to ensure that:

- Our activities result in needed change and are responsive to agency needs;
- Our opinions and products are independent, objective, and accurate;
- Our workforce is highly competent and seeks opportunities for continual improvement;
- We act with professionalism, integrity, and transparency.

Goals:

- Readily accept and review each complaint received with the deserved level of attention;
- Be proactive in preventing and identifying misconduct, fraud and abuse of office Through analysis of data trends;
- Independently investigate, evaluate and recommend a fair classification based upon facts, ignoring all irrelevant factors;
- Provide employees confidence and protection against complaints and allegations lacking merit or actual violation of law and policy;
- Provide timely information to the Public Safety Commission, Director and all divisional and regional commands requiring their attention, involvement and action;
- Minimize misconduct by providing employee training and guidance on problematic trends and issues;
- Enhance public and employee confidence in the integrity of the processing and investigation of misconduct allegations against DPS employees.

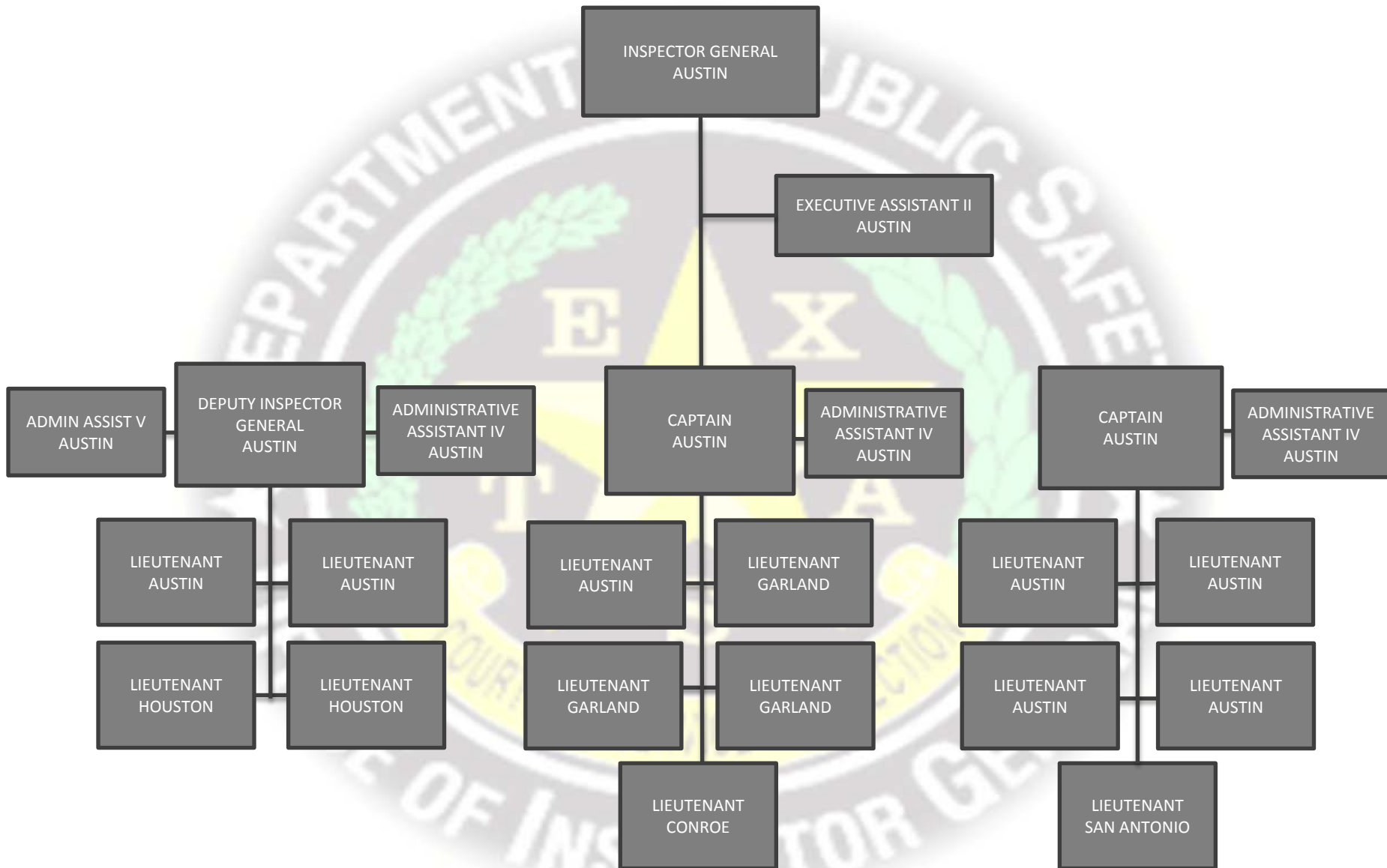
Values:

- Integrity
- Honesty
- Excellence
- Collaboration
- Stewardship
- Accountability

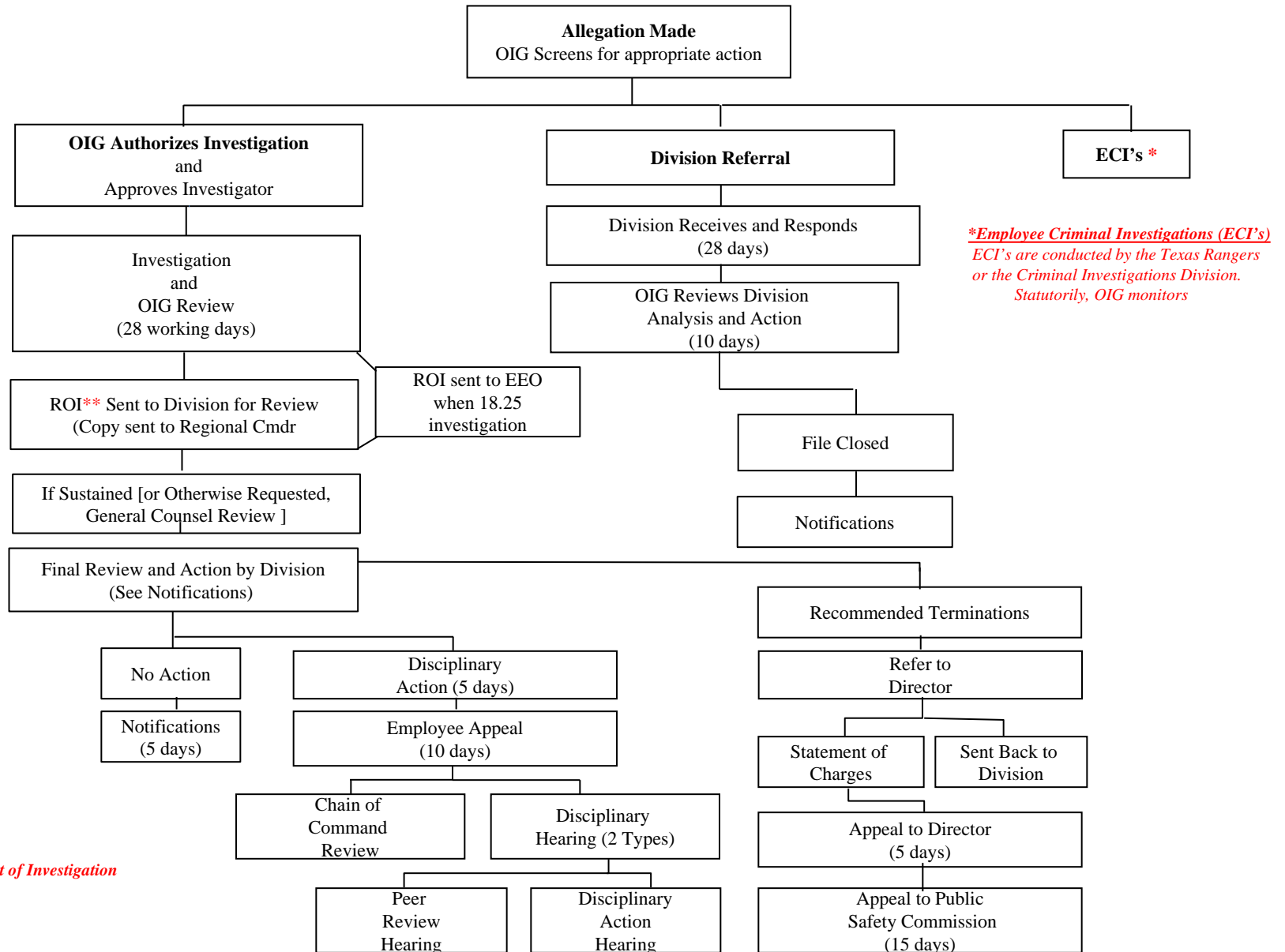
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graph TD; IG[INSPECTOR GENERAL AUSTIN] --> EA2[EXECUTIVE ASSISTANT II AUSTIN]; IG --> DIGA[DEPUTY INSPECTOR GENERAL AUSTIN]; IG --> CA1[CAPTAIN AUSTIN]; IG --> CA2[CAPTAIN AUSTIN]; DIGA --> AA4D[ADMINISTRATIVE ASSISTANT IV AUSTIN]; CA1 --> AA4C1[ADMINISTRATIVE ASSISTANT IV AUSTIN]; CA1 --> L1A[LIEUTENANT AUSTIN]; CA1 --> L1G1[LIEUTENANT GARLAND]; CA1 --> L1C[LIEUTENANT CONROE]; L1A --> L2A[LIEUTENANT AUSTIN]; L1A --> L2H[LIEUTENANT HOUSTON]; L1G1 --> L2G[LIEUTENANT GARLAND]; L1C --> L2C[LIEUTENANT CONROE]; CA2 --> L2A2[LIEUTENANT AUSTIN]; CA2 --> L2G2[LIEUTENANT GARLAND]; CA2 --> L2S[LIEUTENANT SAN ANTONIO]; L2A2 --> L3A[LIEUTENANT AUSTIN]; L2A2 --> L3H[LIEUTENANT HOUSTON]; L2G2 --> L3G[LIEUTENANT GARLAND]; L2G2 --> L3C[LIEUTENANT CONROE]; L2S --> L3S[LIEUTENANT SAN ANTONIO];
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The organizational chart for the Texas Department of Criminal Justice is structured as follows:

- INSPECTOR GENERAL AUSTIN**
 - EXECUTIVE ASSISTANT II AUSTIN**
 - DEPUTY INSPECTOR GENERAL AUSTIN**
 - ADMINISTRATIVE ASSISTANT IV AUSTIN**
 - CAPTAIN AUSTIN**
 - ADMINISTRATIVE ASSISTANT IV AUSTIN**
 - LIEUTENANT AUSTIN**
 - LIEUTENANT AUSTIN**
 - LIEUTENANT HOUSTON**
 - LIEUTENANT GARLAND**
 - LIEUTENANT GARLAND**
 - LIEUTENANT CONROE**
 - CAPTAIN AUSTIN**
 - LIEUTENANT AUSTIN**
 - LIEUTENANT AUSTIN**
 - LIEUTENANT HOUSTON**
 - LIEUTENANT GARLAND**
 - LIEUTENANT GARLAND**
 - LIEUTENANT SAN ANTONIO**



PROCEDURES CONCERNING PERSONNEL COMPLAINTS AND ADMINISTRATIVE INVESTIGATIONS



OFFICE OF INSPECTOR GENERAL ANNUAL REPORT 2016

Pursuant to statute, the Inspector General reports directly to the Public Safety Commission and is also tasked with the duty to provide the Director with information regarding investigations as appropriate. The Commission and Director will be kept apprised regarding complaint investigations where:

- ❖ Dismissal of the accused appears possible.
- ❖ Criminal Prosecution of the accused appears justified.
- ❖ The reputation of the Department is in jeopardy as a result of the action of the accused.
- ❖ ***Widespread publicity may result.****

Some examples of negative publicity during 2016 include, but are not limited to the following:

General Social Media Coverage – 2016

- ❖ *THP trooper takes a “selfie” in his patrol vehicle with arrested suspect. This photo is uploaded to suspect’s social media account exposing the agency to widespread ridicule. Parents of suspect and others complain to DPS.*
- ❖ *THP trooper posts hateful and racist comments on his personal social media account which conflict with the department’s position on neutrality. This is brought to the attention of DPS via social media outcry.*
- ❖ *Administration employee accused of felony mischief. His actions and subsequent arrest make the local media news reports.*
- ❖ *THP trooper accused of inappropriate behavior in a jail facility with an arrested suspect. Events are covered by the traditional news media and are debated on social media platforms.*

The Office of Inspector General (OIG) is statutorily tasked with responsibility for all administrative investigations of employee misconduct. Texas Government Code 411.251 requires the Office of Inspector General to be responsible for acting to prevent and detect serious breaches of Departmental policy, fraud and abuse of office, including any acts of criminal conduct.

The Office of Inspector General independently and objectively reviews, investigates, delegates and oversees the investigations of:

- ❖ Criminal activity
- ❖ Allegations of wrongdoing by department employees
- ❖ Crimes committed on department property; and
- ❖ Serious breaches of department policy.

OIG receives and accepts complaints from the public and internal employees through various methods. These include but are not limited to the following:

- ❖ Phone calls
- ❖ U.S. mail
- ❖ Email
- ❖ Fax
- ❖ Via the Internet – TxDPS website
- ❖ In person
- ❖ The Office of Inspector General also accepts anonymous complaints.

TIMELINESS IN THE INVESTIGATION PROCESS

Investigations require tremendous focus and the necessary appropriation of time to meet current policy guidelines. By carefully focusing resources and receiving tremendous support from agency leadership, the Office of Inspector General has been able to successfully manage the investigative caseload and comply with Department guidelines.

General Manual, Chapter 7A,
Section 07.42.15

TIMELINES REGARDING ADMINISTRATIVE INVESTIGATIONS

The following timelines will govern completion and review of administrative investigations conducted under this chapter:

The Inspector General will forward the investigation or a copy thereof to the appropriate assistant director and regional commander no later than 28 working days following the initiation of the investigation.

As in previous years, OIG has maintained policy guidelines regarding the number of days spent on an investigation as illustrated below:

2013 – 22 working days
2014 – 19 working days
2015 – 21 working days
2016 – 25 working days

EMPLOYEE CRIMINAL INVESTIGATIONS (ECI's)

Texas Government Code, Chapter 411.251 and DPS General Manual, Chapter 7A

“The Office of Inspector General shall delegate any investigation considered potentially appropriate for criminal prosecution to the Texas Rangers or the Criminal Investigations Division for investigation or referral back to the Inspector General for further action. Criminal matters may or may not result in prosecutions.”

Criminal investigations on DPS personnel are an unfortunate reality in some administrative employee investigations. The Texas Rangers and the Criminal Investigations Division are solely responsible for these investigations and the Office of Inspector General monitors these as required by statute. In most cases, the Office of Inspector General proceeds with an administrative investigation on DPS personnel once the criminal investigation is concluded.

Because the Office of Inspector General enjoys a collaborative relationship with the Texas Rangers and the Criminal Investigations Division, these highly sensitive investigations are conducted without undue interruption to a criminal prosecution or administrative action.

For 2016, the Texas Rangers initiated **52** investigations on employees for allegations of criminal misconduct.

OIG ADMINISTRATIVE INVESTIGATIONS

Each complaint against a Department member is evaluated to determine if OIG has jurisdiction and if the matter warrants further consideration. Matters brought to the attention of OIG can be addressed via several methods:

- ❖ Formal administrative investigation
- ❖ Referral to a Division for managerial correction (Division Referral)
- ❖ Referral to the Texas Rangers and/or the Criminal Investigations Division (ECI)
- ❖ Investigation declined.

(A complaint may be declined for various reasons including, for example, if it does not allege a violation of law or policy or if insufficient information is provided.)

All matters investigated by OIG are summarized in written format and provided to the appropriate Division for review and disciplinary recommendation. Additionally, and as a matter of policy and practice, the Office of General Counsel (OGC) reviews OIG investigations for thoroughness and potential legal issues.

Equal Employment Opportunity (EEO) Investigations:

The Office of Inspector General is statutorily tasked with responsibility for all internal administrative investigations of employee misconduct. As such, OIG assumes investigation approval authority and investigation responsibility for all EEO complaints. OIG and EEO collaboration ensures a seamless internal administrative investigation process which benefits the agency and all personnel.

THE YEAR IN NUMBERS

The following summary encompasses the volume and investigation trends processed through the Office of Inspector General for 2016:

Calendar year 2015

Total Complaints Received: 481

- Division Referrals 199
- OIG/EEO Investigations 195
- VIP Investigations 8
- ECI Tracking 79

Calendar year 2016

Total Complaints Received: 557

- Division Referrals 281
- OIG/EEO Investigations 223
- VIP Investigations 0
- ECI Tracking 53

MAJOR TRENDS NOTED for 2016:

- Courtesy Policy
- Assault (on duty)
- Falsifying Reports
- Misuse of DPS Vehicles
- Claims of Race Discrimination
- Claims of Gender Discrimination

THE DEPARTMENT'S DISCIPLINARY MATRIX

Through the use of the Department's *Disciplinary Matrix*, the agency imposes discipline upon its employees for the purpose of correcting misconduct, deterring future misconduct and to acknowledge this Department's special history and responsibility to the people of Texas to uphold the highest standards of ethical behavior. The Department applies its core values in determining an appropriate level of discipline. Therefore, the most severe sanctions will be reserved for conduct that compromises INTEGRITY through dishonesty or dissemination, defeats TEAMWORK by negatively impacting colleagues, avoids ACCOUNTABILITY by denying responsibility or thwarts EXCELLENCE by impacting the Department's ability to provide either public safety or world class service.

The following penalty table illustrates the disciplinary categories and management responses for 2016. The disciplinary choices made by management reflect the number of times policy was violated, and the severity of that violation as designated by management.

Matrix Penalty Table

Misconduct Category	Mitigated Penalty	Presumptive Penalty	Aggravated Penalty	2016 Actions
Category A	Management through oral counseling and coaching*	Management through oral counseling and coaching*	Formal Written Reprimand	90 Includes coaching, counseling, PIP's and Training options
Category B	Formal Written Reprimand	1 day suspension	1-3 day suspension	33 Formal Written Reprimands
Category C	1 day suspension	3 day suspension	Up to 5 day suspension	
Category D	3 day suspension	5-10 day suspension	30 day suspension or Termination	34 (C&D) [206 actual days off]
Category E	30 day suspension	Termination	Termination	16
Other Disciplinary Options	Probation and Demotion			Probation – 6 Demotion – 5

→ Resignation in lieu of formal discipline: **33**

→ Routine counseling and coaching, including documentation through scheduled and unscheduled performance evaluations is a basic management responsibility that is not considered part of the formal disciplinary process. Therefore, the investigation, review and appeal processes applicable to formal disciplinary actions are inapplicable.

ANCILLARY OIG DUTIES

OIG Public Information Requests (PIR's) for 2016:

323 Open Records requests were fulfilled by the Office of Inspector General.

\$ 842.05 was collected in fees.

FRAUD POLICY

In compliance with Tex. Gov't Code 321.022, the Office of Inspector General submits bi-monthly reports to the Chief Auditor's Office (CAO) detailing OIG investigations that may fall under the definitions of Fraud, Waste and Abuse. This report is then disseminated by the CAO to the State Auditor's Special Investigations Unit.

Article IX, Section 7.10, of the General Appropriations Act (82nd Legislature) and DPS General Manual, Section 05.49.00 FRAUD POLICY states that:

Employees who suspect fraud is occurring in the workplace should immediately notify their supervisors. If for some reason the employee is uncomfortable with notifying their supervisor, they may notify Internal Affairs or the State Auditor's Office

The DPS home page includes a link to the State Auditor's website for fraud reporting.

VOLUNTEER INVESTIGATOR PROGRAM (VIP)

The Office of Inspector General is committed to improving the efficiency and effectiveness of its operations and staff, which includes the auxiliary DPS Volunteer Investigator Program (VIP).

The VIP program is designed to supplement the OIG Division when necessary due to staffing issues and in order to maintain investigation timeliness. VIP's can be either commissioned or non-commissioned supervisors throughout the agency.

VIP's are trained annually by the Office of Inspector General and utilized for all OIG and EEO Division Referrals. On rare occasions, VIP's are tasked with performing OIG formal administrative investigations.

RECRUITMENT and PROMOTIONS

OIG STAFF RECRUITMENT

The Office of Inspector General seeks to maintain a workforce committed to performance, excellence, and accountability. Employees in OIG enjoy their work, mission and the responsibilities related to their positions. Employees in the Office of Inspector General are high achievers and take pride knowing their work protects employees against erroneous allegations and when necessary, holds employees accountable for wrongdoing that is proven to be factual. OIG attracts employees who find tremendous satisfaction in guarding the integrity and reputation of the agency and in particular, the law enforcement profession. For these reasons, the turnover rate in the Office of Inspector General is very low.

2016 OIG PROMOTIONS

Louis Sanchez, OIG Commander, promoted to OIG Deputy Inspector General, Austin

Esther Edinger, CID Agent Conroe, promoted to OIG Lieutenant, Conroe

Vicky Edinger, CID Agent Houston, promoted to OIG Lieutenant, Houston

DPS INTERVENTION SYSTEM – “BLUE TEAM”

The Texas Department of Public Safety is an agency of high standards. DPS embraces the core values of integrity, excellence, accountability and teamwork and demonstrates a strong commitment to its most valuable asset, our people. Because of these institutional values and expectations, DPS managers, supervisors and leaders are charged with the responsibility of training, assessing, mentoring and coaching employees to ensure high performance and acceptable behavior.

DPS adopted an Early Warning Intervention System in 2013 and named it “BLUE TEAM.” The vast majority of police agencies in the U.S. utilize an Early Intervention System as a way of leveraging technology in support of established management goals. The “BLUE TEAM” software and program is overseen and managed by the Office of Inspector General, though the data input and use for intervention is primarily designated to Department leaders.

“BLUE TEAM,” is an intervention system that provides alerts on employees involved in frequent and significant occurrences and assists managers, supervisors and leaders in recognizing patterns and trends early on so that intervention is initiated before formal investigation or formal disciplinary action is required. “BLUE TEAM” is a system by which DPS leaders can more easily track, document and monitor employee performance and to spot trends, make “real time” notifications and offer solutions for intervention.

Examples of significant occurrences entered into “BLUE TEAM” include:

- Firearms Discharge
 - # of shootings
 - Suspect injuries
 - Suspect deaths
 - Officer injuries
 - # of shootings to disable vehicles
 - Officer Injuries
- Vehicle Pursuits
 - Spiking system deployment
- Vehicle Accidents
- Use of Force
 - Suspect injuries
 - Officer injuries
- Courtesy Policy Violations
- 7 –Step Violator complaints
- Audio/Visual Policy issues
- Performance Improvement Plan
- Citizen Concerns

It is important to remember that in any organization, there will always be employee issues due to human nature; however, the Department’s response and intervention to correct these issues prior to a crisis occurring is very significant and can ultimately save careers.

For DPS, BLUE TEAM is still considered to be in its infancy stage for intervention purposes however, it is being used consistently for data collection and statistical reporting.

When appropriate, or when a threshold is met, the following options for employee intervention can be used to intervene before formal disciplinary action is required.





OIG DIVISION CHIEF'S AWARD RECEPIENT

In recognition of outstanding performance of duty and contributions to the Department of Public Safety and the State of Texas, Sandra Maloy, Executive Assistant, OIG, received the OIG Division Chief's Award in 2016.

During calendar years 2014, 2015, and 2016 Sandra Maloy has consistently distinguished herself through hard work and perseverance as a member of the Office of Inspector General. Sandra's leadership and diligent work and coordination during the development and implementation of Blue-Team, is unequaled and a testament to her dedication and devotion to duty and to the Department. Sandra continues her leadership and superior performance as the chief administrator for this software and is responsible for all software and technical issues for the entire agency. Sandra's efforts serve as a clear example of the sort of vision, teamwork, selfless service, and positive attitude we seek to develop in all Department employees.

