

Internal Compliance Program Report

Description

The purpose of this report is to provide a summary of information related to complaints and investigations for the month of November.

Background

The department's sunset bill amended Transportation Code Chapter 201 by adding new Subchapter F-1, which requires the creation of a compliance program and office in the department and sets forth the responsibilities of the office. The compliance office is responsible for acting to prevent and detect serious breaches of department policy, fraud, waste, and abuse of office, including any acts of criminal conduct within the department.

The commission initially established an internal compliance program (ICP) in November of 2007. Minute Order 112788, adopted by the commission on August 25, 2011, clarified the scope of the program as well as the responsibilities of the compliance office.

Statutory References

Transportation Code §201.452 provides that the compliance office has primary jurisdiction for oversight and coordination of all investigations occurring on department property or involving department employees.

Transportation Code §201.454 requires the director of the compliance office to provide a monthly report to the commission regarding investigations and a summary of information relating to trends and recommendations to avoid future complaints.

Further Actions

As a part of the modernization initiative, the ICP work group will develop a new organizational structure and procedures related to the operation of the ICP Office. In order to coordinate all investigations during the interim period, the Human Resources Division and the Audit Office will notify the ICP Office when an investigation is initiated and completed. This will ensure that the ICP Office can continually monitor the status of those investigations.