

Checklist for Policy 204 Implementation  
Complaint Investigation

#	ITEM	YES	NO	N/A
	<b>NOTE: POLICY NOT IN EFFECT UNTIL 10/4/12</b>			
1	Is a copy of this Policy available to all commissioned officers?			
2	Is there a training roster or other documentation showing that officers were trained on this policy?			
3	Are personnel knowledgeable on this policy (establish through verbal discussion with personnel)?			
4	Has the department compiled annual statistical summaries of internal affairs investigations? (section XI)			
5	Have there been any criminal investigations of department personnel since the last inspection?			
6	If there were criminal investigations of department personnel, was the Director notified? (section III.C)			
7	Does the department have performance folders for each employee? (section V.A)			
8	Are performance folders secure and separate from the employees personnel file? (section VII.F)			
9	Do DP-42s completed by the department contain both the alleged improper action and the policy, rule or regulation allegedly violated? (section V.B)			
10	Does the department send copies of all DP-42s to the Director? (section V.B)			
11	Are all Class I and II complaints forwarded to the Chief for review and assignment? (section V.E.)			
12	Since the last inspection, have any complaints been accepted after the time limit expired? (section V.F)			
13	Is communication with the complainant of a Class I or II complaint documented? (section V.G.1)			
14	On Class I and II complaints, is the affected officer provided with a copy of the DP-42 and complaint procedure? (section V.G.2)			
15	Since the last inspection, have any employees been placed on Administrative Leave with Pay? (section V.H)			
16	If any employees was placed on Administrative Leave with Pay, was the Director immediately notified via DP-32? (section V.H.4)			
17	Since the last inspection, have any employees resigned under investigation? (section V.I.1)			
18	Are Class I complaints investigated by appropriate personnel (Chief or designee)? (section VI.A.1)			
19	Do Class I and II complaint investigations follow the procedures outlined in section VI.C?			
20	Are statements from parties to the complaint taken on an approved ODOP form? (section VI.C.5)			
21	Have any personnel refused to cooperate with an administrative complaint investigation? (section VI.E.2)			

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22	Have any administrative investigations exceeded the 30 day deadline? (section VI.G)			
23	In the event an investigation exceeded the deadline, was ODOP notified of the extension? (section VI.G)			
24	Have any employees been compelled to participate in a polygraph examination? (section VI.I.1,4-5)			
25	Have any complaints been withdrawn by the complainant? (section VI.K)			
26	Have any complainants been found to have deliberately given false information that lead to an investigation being conducted? (section VI.L)			
27	In the event of a complaint involving false information, was the matter referred to the appropriate prosecutor? (section VI.L)			
28	Are affected personnel notified in writing of the findings of an investigation and whether or not disciplinary action will be taken? (section VII.A.1)			
29	Have any complaints resulted in termination, demotion, or suspension without pay of an officer? (section VII.C)			
30	If so, were the procedures outlined in Policy 208 followed? (section VII.C)			
31	Are complainants notified within 10 days of the final disposition of the investigation? (section VII.D)			
32	Are the results of complaint investigations, including discipline, forwarded to the Director via a DP 32? (section IX)			
33	Are IA investigations permanently and securely filed in the IA office and segregated from other files? (section VII.A)			
34	Are the department's SOPs or policies consistent with this policy?			

Policy Concepts

- It is important to note that our philosophy is to train officers to be successful and recognize that mistakes will be made from time to time. Disciplinary sanctions are only one of many alternatives available to UTSP leadership to ensure we have a 21st century gold standard university law enforcement agency.
- Throughout these procedures the rights of the individual police officer or employee and the citizen must be acknowledged and not compromised.
- Effective law enforcement depends on a relationship of trust and confidence between the University of Texas System Police and the university; employees must be free to exercise their own judgment and take enforcement action in a reasonable, lawful, and impartial manner without fear of reprisal.
- This procedure does not apply to routine corrective action by a supervisor that would not result in disciplinary action or concerns regarding quality of service or minor performance shortcomings that would not result in discipline.