

**OFFICE OF COMPLIANCE AND ETHICS
REPORT TO THE COMMISSION
JANUARY 31, 2013**

Description

The purpose of this report is to provide a summary of information related to complaints and investigations for the month of December 2012.

Background

Transportation Code Chapter 201 was amended by adding Subchapter F-1, effective September 1, 2011, which required 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 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 in accordance with the new law.

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.

Further Actions

No further actions are recommended at this time.