

**WEST VIRGINIA**  
**SECRETARY OF STATE**  
**KEN HECHLER**  
**ADMINISTRATIVE LAW DIVISION**

Form #2

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JUN 30 2 03 PM '95

OFFICE OF WEST VIRGINIA  
SECRETARY OF STATE

**NOTICE OF A COMMENT PERIOD ON A PROPOSED RULE**

AGENCY: WEST VIRGINIA STATE POLICE TITLE NUMBER: 81

RULE TYPE: LEGISLATIVE; CITE AUTHORITY 15-2-25

AMENDMENT TO AN EXISTING RULE: YES \_\_\_ NO X

IF YES, SERIES NUMBER OF RULE BEING AMENDED: \_\_\_\_\_

TITLE OF RULE BEING AMENDED: \_\_\_\_\_

IF NO, SERIES NUMBER OF NEW RULE BEING PROPOSED: 10

TITLE OF RULE BEING PROPOSED: WEST VIRGINIA STATE POLICE PROFESSIONAL  
STANDARDS INVESTIGATIONS

IN LIEU OF A PUBLIC HEARING, A COMMENT PERIOD HAS BEEN ESTABLISHED DURING WHICH ANY INTERESTED PERSON MAY SEND COMMENTS CONCERNING THESE PROPOSED RULES. THIS COMMENT PERIOD WILL END ON JULY 30, 1995 AT 12:00 noon. ONLY WRITTEN COMMENTS WILL BE ACCEPTED AND ARE TO BE MAILED TO THE FOLLOWING ADDRESS.

THOMAS KIRK, SUPERINTENDENT  
WEST VIRGINIA STATE POLICE  
725 JEFFERSON ROAD  
SOUTH CHARLESTON, WV 25309

THE ISSUES TO BE HEARD SHALL BE LIMITED TO THIS PROPOSED RULE.



ATTACH A **BRIEF** SUMMARY OF YOUR PROPOSAL

12.40

WEST VIRGINIA LEGISLATIVE RULE  
DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

CIRCUMSTANCES REQUIRING RULE

The West Virginia Supreme Court of Appeals, in State ex rel. Billy Ray C. v. Skaff, 190 W.Va. 504, 438 S.E. 2d 847 (1993) (Skaff I), issued a writ of mandamus ordering the West Virginia State Police to promulgate rules and regulations governing the investigation of allegations concerning State Police employee misconduct. The Court further held that "implicit with the Superintendent of the West Virginia Division of Public Safety's mandatory duty to investigate allegations of misconduct under W.Va. Code §15-2-21 (1977), there is the duty to promulgate formal, written investigation procedures." The State Police complied with this order and submitted detailed rules governing the investigation of employee misconduct, enhanced use of force reporting, progressive employee discipline, and systems designed to identify and remedy employees suffering from job related or non-job related stress. The State Police proposed that the rules embodied in this submission be promulgated as internal policies and procedures. The Court reviewed the State Police proposals and held in State ex rel. Billy Ray C. v. Skaff, No. 21894 (1995)(Skaff II), that the State Police must promulgate these proposed policies and procedures in the form of a legislative rule according to the provisions of The Administrative Procedure Act, W.Va. Code §29A-3-1, et seq.

APPENDIX B

FISCAL NOTE FOR PROPOSED RULES

Rule Title: West Virginia State Police Professional Standards Investigations  
 Type of Rule: X Legislative      Interpretive      Procedural  
 Agency West Virginia State Police  
 Address 725 Jefferson Road  
S. Charleston, WV 25309-1698

1. Effect of Proposed Rule

	ANNUAL FISCAL YEAR				
	INCREASE	DECREASE	CURRENT	NEXT	THEREAFTER
<u>ESTIMATED TOTAL COST</u>	\$ -0-	\$ -0-	\$ -0-	\$ -0-	\$ -0-
PERSONAL SERVICES					
CURRENT EXPENSE					
REPAIRS & ALTERNATIONS					
EQUIPMENT					
OTHER					

2. Explanation of above estimates:

The proposed rule will not result in any additional costs to the West Virginia State Police. The existing Professional Standards Unit will carry out the requirements stipulated in the proposed rules.

3. Objectives of these rules:

To meet an order of the West Virginia Supreme Court of Appeals to promulgate rules governing State Police investigations of employee misconduct pursuant to W.Va. Code 15-2-21.

Rule Title: WEST VIRGINIA STATE POLICE PROFESSIONAL STANDARDS INVESTIGATIONS

4. Explanation of Overall Economic Impact of Proposed Rule.

A. Economic Impact on State Government.

No additional cost to State Government.

B. Economic Impact on Political Subdivisions; Specific Industries; Specific groups of Citizens.

None

C. Economic Impact on Citizens/Public at Large.

None

Date: 6-29-95

Signature of Agency Head or Authorized Representative

*Lt. Col. Gary D. Griffith*

WEST VIRGINIA LEGISLATIVE RULE  
DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

RULE SUMMARY

This legislative rule explains the processes employed by the West Virginia State Police in dealing with allegations of employee misconduct, enhanced reporting for use of force incidents, progressive employee discipline, and internal systems aimed at evaluating and addressing employees suffering from either job-related or non-job related stress.

WEST VIRGINIA LEGISLATIVE RULE  
DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

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JUN 30 2 03 PM '95

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SECRETARY OF STATE

Title: West Virginia State Police Professional Standards  
Investigations.

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Section 1. General.

1.1 Scope - This legislative rule explains the processes employed by the West Virginia State Police in dealing with allegations of employee misconduct, enhanced reporting for use of force incidents, progressive employee discipline, and internal systems aimed at evaluating and addressing employees suffering from either job-related or non-job related stress.

1.2 Authority - W. Va. Code §15-2-24a.

1.3 Filing Date -

1.4 Effective Date -

Section 2. Definitions.

As used in this rule, unless used in a context that clearly requires a different meaning, the term:

2.1 **Complaint:** Any allegation of an act by an employee which is contrary to written rules, regulations, procedures, directives, or orders of the agency. An allegation of an act or omission which, if substantiated would constitute a violation of the law. Any allegation which tends to indicate an actual or potential defect in agency rules, regulations, policies, procedures, directives, orders, or the delivery of services.

2.2 **Employee:** Any employee of the West Virginia State Police, uniform or non-uniform.

2.3 **Administrative or Internal Investigation:** An investigation conducted at the direction of the Superintendent and pursuant to a special order, by or on behalf of the Professional Standards Unit (hereinafter "Unit"), concerning non-criminal, administrative matters intended to determine if

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

administrative sanctions are warranted for employees named in complaints.

**2.4 Internal Inquiry:** An investigation conducted at the direction of the Superintendent not pursuant to a special order, by or on behalf of the Professional Standards Unit, concerning non-criminal, administrative matters intended to determine if administrative sanctions are warranted for employees named in complaints involving less serious violations of the State Police Code of Conduct, CSR §81-1-10 et seq.

**2.5 Case File:** The entire collection of documents and certain items of tangible evidence, including the final report, relating to an internal investigation.

**2.6 Critical Incident:** Any incident where an employee is caused to employ potentially lethal force in the form of a firearm, a vehicle, or other potentially lethal force. An incident resulting in the death or severe injury of a co-worker or any other person. The use of deadly force against the employee or his/her co-worker leading to death, physical, or psychological injury.

**2.7 Early Identification System:** A system designed to analyze data pertaining to complaints lodged against employees and employee uses of force in an effort to identify employees who may be experiencing job related or non-job related stress or other problems which may adversely effect job performance.

**2.8 Accident Review Board:** A board formed by the Superintendent to review all employee motor vehicle accidents in order to judge employee adherence to State Police driving policies and the law.

**2.9 Employee Grievance Processes:** The processes employed by employees to address and resolve perceived adverse supervisory decisions, policy failures, and other work-related complaints.

Section 3. Organization and Responsibilities.

3.1 The Unit will be under the command of the

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

Superintendent, and will report and be directly responsible to the Superintendent. The Superintendent shall staff the Unit with appropriate investigators to conduct internal investigations and inquiries, personnel inspections, and facility inspections.

3.2 The Superintendent shall be responsible for the organization and management of the Unit and shall develop policies and guidelines for its operation. The Superintendent shall appoint a member to coordinate the activities of the Unit. The Unit Coordinator shall supervise the Unit's office staff and receive all complaints, assign internal inquiries, make recommendations to the Superintendent with regards to the assignment of internal investigations, and shall administer the early identification system, the employee grievance processes, and the accident review board.

3.3 The Superintendent shall cause all complaints, including those terminated or resolved at a lower level, to be recorded in a central log and assigned a unique case number. Complaints involving the Americans with Disabilities Act, Age Discrimination in Employment Act, or the Civil Rights Act, shall be acted upon in collaboration with the agency Equal Employment Counselor. The Superintendent shall ensure the confidentiality of all documents and reports relating to the investigation of any complaint through strict control of files both within or without the Unit's offices.

3.4 The Superintendent shall draft a letter to the complainant (if known) acknowledging that the complaint has been received for processing, including the unique case number assigned to the matter, and the name of the investigator in charge of the investigation. Also, the Superintendent shall notify the employee, in writing, concerning the nature of the complaint, its status, and if any investigation is forthcoming, as soon as a determination of the necessary scope of the investigation is complete. The Superintendent has no duty to notify an employee if the notification would hinder any investigation of the complaint or if the matter is handled as an internal inquiry. The Superintendent will consult and advise the Unit Coordinator regarding procedures used in the investigations, review of case files for completeness, and the forwarding of case files through the proper chain of command to the Superintendent for final review. The investigator may apprise the complainant

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

of the status of the investigation. The Superintendent shall draft closing letters to all concerned parties relative to completed investigations.

3.5 The Superintendent shall prepare an annual statistical report concerning the Unit's activities for distribution to the public and State Police employees as a means of dispelling allegations of disciplinary secrecy often voiced by some community elements.

3.6 The Unit shall apprise the Superintendent of situations or facts concerning employee complaints and investigations that may draw media attention.

3.7 The Unit shall make information available to the general public regarding the procedures to be followed in registering complaints against the State Police or its employees. The information may be disseminated through the media, informational pamphlets at each State Police facility, or through any other reasonable means (see attachment "A").

3.8 The Investigators assigned to either internal investigations and/or inquiries shall prepare accurate and complete reports within thirty (30) working days unless an extension is granted by the Superintendent for just cause. Investigators will also perform inspection and other duties as assigned by the Unit Coordinator or other authority.

3.9 The Unit may be contacted during off-hours for emergency complaints by contacting the Unit Coordinator.

3.10 The Unit's address is: West Virginia State Police, Professional Standards Unit, 725 Jefferson Road, South Charleston, West Virginia, 25309-1698.

Section 4. Incidents to be investigated.

4.1 The State Police shall investigate all complaints made by telephone, letter, in person, or otherwise, whether or not anonymous.

4.2 The Superintendent shall determine the criteria for the assignment of minor complaints for internal inquiry to

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

line supervisors in cases such as alleged rudeness, tardiness, employee insubordination, or other complaints of a similar nature. The Superintendent shall have the discretion to assign internal investigations to specially trained officers not permanently assigned to the Unit. Once assigned, that officer may be removed from his or her regular duties as required to complete the investigation. The officer assigned shall report directly to the Unit Coordinator, and shall not discuss the investigation with anyone not assigned to the Unit or specifically authorized by the Superintendent to receive the information.

4.3 The Unit Coordinator shall immediately notify the Superintendent or his or her designee of any complaint alleging employee violations of serious misdemeanors or felonies.

Section 5. Complaint filing procedure.

5.1 All complaints involving State Police employees shall be accepted and documented, on a form designed by the Unit and approved by the Superintendent (see attachment "B"), by any employee receiving the complaint. Upon completion, the form shall be mailed directly to the Unit. The Intake Form shall state with particularity the allegations including name of the involved employee, dates, times, location, a detailed description of the misconduct, names of witnesses, and the remedy requested by the complainant. Failure to accept, record, and refer to the Unit any complaint is a violation of State Police policy and shall result in disciplinary action.

5.2 Employees receiving complaints shall advise complainant(s) that they may contact the Unit directly in order to file a complaint in lieu of registering the complaint at the local State Police office. The complainant may contact the Unit by calling 304-746-2110, or by writing to or appearing at the Unit's offices.

5.3 In instances when the complainant does not wish to contact the Unit directly and whenever possible, the immediate supervisor of the employee against whom the allegation is directed shall prepare the initial complaint report. If the employee's immediate supervisor is not available, any State Police supervisor or employee shall take the initial complaint.

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

5.4 Employees taking complaints shall not make or retain any copies of the initial complaint form or any related documents (other than those kept in the normal course of business) in order to ensure the confidentiality of the investigative process.

5.5 Employees receiving initial complaints involving the use of force by a State Police employee shall take or cause to be taken detailed color photographs of the complainant whether or not any visible evidence of physical injury exists; provided, that the victim consents to the taking of such photographs.

5.6 All sworn/uniform members receiving initial complaints shall apprise the complainant(s) that it is a violation of *W. Va. Code §15-2-16* to provide false information to a member of the State Police (this does not apply if the employee taking the complaint is a civilian) and that the State Police will pursue appropriate criminal or civil sanctions if the investigation determines that the complaint is without foundation or basis, false, or not factual.

Section 6. Records Retention.

6.1 In order to better facilitate the operation of a progressive system of discipline and to provide for the various statutes of limitations pertaining to civil litigation, records and documents associated with complaints will be retained by the Unit indefinitely.

6.2 Case files shall be stored by the Unit, generally locked, and with access restricted to the Superintendent, his or her designee(s), members of the Unit, and to a court of competent jurisdiction under written order. Items in the possession of investigators or secretaries working outside of the Unit office shall be stored and handled in a manner that will ensure their confidentiality and integrity. Further, no duplicate copies of any item pertaining to a Unit investigation shall be made, retained, or disseminated by any employee, investigator, or secretary outside of the Unit, except at the direction of the Superintendent.

6.3 All documents concerning complaints alleging employee-misconduct shall be considered confidential.

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

Section 7. Operational Procedures.

7.1 If an investigation conducted by the Unit leads to information indicating that criminal charges could be filed, the investigator shall immediately notify the Unit Coordinator who shall cause the Superintendent to be notified. The Superintendent shall cause a separate criminal investigation to be initiated by a member not assigned to the Unit. If criminal charges are filed against an employee, the Superintendent may initiate or continue an on-going administrative investigation.

7.2 By virtue of *W. Va. Code § 15-2-21*, the Superintendent has the sole discretion to demote, discharge, and suspend employees from duty. The Superintendent, upon receiving a complaint against an employee or upon otherwise learning of misconduct by an employee, may temporarily relieve the employee from duty pending further investigation, with or without compensation, when it is determined through investigation or other information that the employee may be physically or psychologically unfit for duty, pursuant to State Police operating policy and procedure. During any administrative suspension attendant to an internal investigation, the employee, if a sworn member, may be required to surrender his or her identification card, badges, State Police issued weapon(s), and other State Police property is his or her possession or control. Further, the employee may be relieved of any police authority during the pendency of any administrative suspension.

7.3 The investigator, when possible, shall record the complainant's statement on audio or video tape or by handwritten statement signed by the complainant. The tape(s) shall become an exhibit included in the case file. The investigator may cause the tape to be transcribed and the transcription shall become a part of the case file.

7.4 The investigator, when possible, shall record any witness statements on audio or video tape or by handwritten statement signed by the witness. Witness interviews will not be summarized or paraphrased by the investigator in lieu of the recorded or handwritten statement. The tapes, transcriptions, and written statements shall be included in the case file by the investigator. The investigator shall not permit conversations

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

"off the record" unless the subject of the interview agrees and the record reflects when the conversation goes off of the record, the purpose for doing so, and the time.

7.5 Investigators shall gather all physical evidence connected with the case including but not limited to photographs, video tapes, audio tapes, reports, logs, drawings, sketches, pertinent records, and other background evidence.

7.6 During the investigation, the investigator shall avoid making assertions concerning his or her perception of the investigation which may result in the complainant(s) reaching a premature or inappropriate conclusion regarding the final disposition of the matter. Further, the investigator shall not make like assertions after having interviewed one principle or faction involved in the allegations.

7.7 The investigator shall include in the case file a notation of any instances of poor cooperation on the part of the complainant(s), the employee who is the subject of the complaint, or any witnesses or other persons interviewed during the investigation as well as any remedial measures employed by the investigator in an effort to compel cooperation.

7.8 The facts ascertained during an internal or administrative investigation shall be detailed in an internal investigation report (see attachment "C"). The investigator shall state a conclusion of fact for each allegation of misconduct alleged by the complainant or revealed by the investigation from among the following dispositions:

- 1) **Sustained:** The validity of the complaint has been established and proven by a preponderance of the evidence.
- 2) **Not Sustained:** The complaint is not established by the evidence and can be neither proven nor disproved by the evidence available.
- 3) **Unfounded:** The complaint is without foundation, basis, it is false, or not factual.
- 4) **Policy Failure:** The allegation is true, and although

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

the action of the State Police or the employee was not inconsistent with State Police policy, the complainant suffered harm.

5) **Exonerated:** The incident occurred, but the employee acted lawfully and properly.

6) **Withdrawn:** The complaint was withdrawn by the complainant.

7.9 The investigator shall submit the case file to the Unit Coordinator upon completion of the investigation or when otherwise directed by the Superintendent or his or her designee. The Unit Coordinator shall review the case file for content, form, and completeness. The Unit Coordinator shall then forward the case file and Unit Coordinator's recommendations to the Superintendent for disposition.

Section 8. Employee rights and conduct during an internal investigation or inquiry.

8.1 Prior to an employee being questioned in connection with an internal or administrative investigation, the employee shall be apprised of the nature of the allegations in the complaint, the name of the investigator assigned to the case, and the names of all persons present during the interview session.

8.2 Interviews shall be conducted at reasonable times and places at the discretion of the investigator.

8.3 Interviews shall be conducted while the employee is normally on-duty unless the employee opts to participate in an interview while off-duty. In cases where the Superintendent or determines that the allegations involve extremely serious matters of public interest or allegations which may bring the State Police into disrepute, the employee may be questioned during off-duty or non-waking hours. This shall not apply in instances where the Superintendent has placed the employee on administrative or other leave pending the outcome of the investigation or inquiry.

8.4 All interviews shall be tape recorded, on either

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

audio or video tape, and the tape shall be included in the case file as an exhibit. Copies of the original tape(s) or transcription shall be made available only to the employee who made the statement with the understanding that the employee will not disclose the contents of either; unless the employee is required to disclose as a means of defending themselves. Any breach of this procedure is an offense that may subject the employee to disciplinary action.

8.5 An employee questioned in connection with an administrative (non-criminal) investigation or inquiry has no right to counsel and no right to avoid self-incrimination. An employee may consult with legal counsel prior to or following an administrative interview. Employees who are either subject to or questioned in connection with an internal or administrative investigation are required to answer all questions truthfully, file written reports as ordered by the Superintendent or his or her designee, and testify in administrative hearings. Employees are required to cooperate fully with the investigator in all phases of any internal or administrative investigation.

8.6 The investigator shall advise employees subject to an internal or administrative investigation of the "Administrative" or "Garrity" warnings (see attachment "D"). The investigator shall read the provisions of the form into the taped record of the interview. The investigator and the employee shall sign the acknowledgement section of the form. The investigator may give a copy of the warning form to the employee, but the original form shall be retained by the investigator and included as an exhibit in the case file.

8.7 During an internal or administrative interview, no more than two investigators shall question the employee simultaneously. The investigators shall not subject the employee to offensive language, threaten punitive action, or make promises of reward as an inducement to answer questions.

8.8 Internal or administrative interviews shall be of a reasonable duration, considering the complexity and gravity of the allegations in the complaint. The employee shall be afforded reasonable time away from the interview for meals and physical necessities.

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

8.9 The State Police intends to limit the use of polygraph examinations to those cases in which the allegations are relatively serious and when all other investigative leads have failed to produce a preponderance of evidence which will either prove or disprove the allegations.

8.9(1) Polygraph results will be included as additional evidence to be considered by the Superintendent, Unit Coordinator, and the investigators. No conclusion should be drawn solely on the outcome of the polygraph examination or an agreement or refusal, in the case of a complainant only, to take a polygraph examination.

8.9(2) Investigators will refrain from offering polygraph examinations during the initial interview of a complainant. However, it may be mentioned as a possibility later on in the investigation and may be conducted at the request of the complainant.

8.9(3) If the Superintendent determines that all leads have been investigated and that the offer of a polygraph examination is appropriate, the complainant will be requested to take the examination prior to the employee. If the complainant refuses to take the examination, the employee may still be required to submit to the test.

8.9(4) An employee may request to take the examination before the complainant. The decision will be made by the Superintendent if the incident is of a serious nature and would justify modification of the preceding section. The operator shall inform the employee of the "Administrative" or "Garrity" Warnings using (see attachment "D"), and the employee shall sign a waiver of liability (see attachment "E") prior to the administration of the polygraph examination.

8.9(5) An employee who refuses to take a polygraph examination when so ordered may be dismissed from employment at the discretion of the Superintendent.

8.9(6) Questions used in the polygraph examinations shall be pertinent to the subject of inquiry except that the polygraph examiner may utilize control questions as may be necessary to validate an examination within the scope of

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

acceptable polygraph procedure.

8.9(7) The results of a polygraph examination of an employee shall be confidential and available only to the employee, the Superintendent or his or her designee, the Unit Coordinator, the investigator, and grievance evaluators participating in the State Police's employee grievance procedure.

8.9(8) State Police polygraph operators shall be utilized. No one operator will be used by the Unit exclusively when multiple operators are available.

8.10 As part of an internal or administrative investigation an employee may be required to:

8.10(1) Submit to medical or laboratory examinations.

8.10(2) Submit to a chemical test of his or her breath for the purpose of determining the alcoholic content of their blood.

8.10(3) Be photographed.

8.10(4) Participate in a line-up.

8.10(5) Submit financial disclosure statements, although no employee shall be required or requested to disclose any item of his or her property, income assets, source of income, debts or personal domestic expenditures, including those of any member of his or her family, or household, unless such information is necessary in investigating a possible conflict of interest with respect to the performance of his or her official duties, or unless such disclosure is required by law, or unless such information is related to an investigation.

8.10(6) Submit to psychological examinations.

8.10(7) Submit to searches of any State Police supplied equipment and any personal items stored within that State Police equipment by an employee or any State Police equipment secured by a lock owned by an employee. State Police equipment includes but is not limited to vehicles, lockers,

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

desks, cabinets, and briefcases.

8.11 An employee may be required to submit to an examination or test when the examination is specifically directed and narrowly related to a particular internal investigation being conducted. The requirement will not apply if in conflict with current applicable law. An example of the use of this process would be in the determination of drug use by an employee. An examination might also be required to determine fitness for duty, for example, excessive weight, apparent intoxication, alcoholism, or psychological problems.

8.12 As a part of an internal or administrative investigation the State Police shall protect an employee from exposure to the news media with or without the employee's written consent. The State Police shall not, pursuant to an internal investigation or inquiry, release an employee's home address, home telephone number, or photograph without the employee's consent.

8.13 Upon completion of the investigation and review by the Unit Coordinator and the Superintendent or his or her designee, the Superintendent shall notify the employee that the investigation is complete. If no disciplinary action is forthcoming, the employee shall be so notified and advised that the matter is closed. If disciplinary action is forthcoming, the employee shall be summoned to appear before the Superintendent unless the discipline involves a letter of reprimand or counseling. At this meeting, the employee will be given a written statement detailing the charges attendant to the disciplinary action with appropriate citations to codes, regulations, policies, procedures or accepted operating practices. The employee shall also be given a written notice of the form of the disciplinary action. All notifications shall be made in writing.

8.14 When an employee is summoned to appear before the Superintendent concerning pending disciplinary action, the Superintendent shall inform the employee of the results of the internal investigation, the substance of the sustained allegations, and the scope of the prospective discipline. The employee will be given a copy of the investigation case file upon request, but excluding the identity of confidential sources, and

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

recommendations as to charges, disposition, or punishment. The employee shall sign a receipt indicating that he or she has taken possession of the case file material, and execute a confidentiality agreement (see attachment "F") with the State Police agreeing to not disclose any of the material contained in the case file for any purpose other than to defend themselves. A violation of this procedure may subject the employee to additional disciplinary action.

8.15 The employee will be given at least ten calendar days to review the case file and will be permitted to appear before the Superintendent a second time to present a defense in the matter; provided, that the Superintendent receives the request within the period. The employee may seek redress for any disciplinary action through the State Police employee grievance procedures.

8.16 If criminal action is initiated by the State Police or another law enforcement agency based on the allegations contained in a complaint filed against a State Police employee, any information obtained pursuant to the internal or administrative investigation of that complaint shall not be used in that criminal proceeding unless the employee was apprised of and waived his or her constitutional rights as detailed in the State Police Miranda Warnings Form (see attachment "G").

Section 9. Early identification system.

9.1 The Early Identification System shall be maintained and administered by the Unit. An Internal Review Board consisting of the Deputy Superintendent, Officer in Charge of Support Services, Officer in Charge of Field Operations, Unit Coordinator, and any other persons authorized by the Superintendent shall be formed to review and evaluate employees who are identified by the system. The system shall produce quarterly, bi-annual, and yearly reports for review by the Internal Review Board naming employees who have entered the system based on external citizen complaints, internal complaints, or use of force incidents. Employees shall document all use of force incidents by using the Supervisor's Report of Use of Force to Control Form (see attachment "H") pursuant to the State Police "Use of Force" policy and procedure. Employees who have received two or more complaints or who have been involved in three or more

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

use of force incidents during a three month period shall be subject to review by the Internal Review Board and may be subject to counseling by their immediate supervisor and/or referral to the Employee Assistance Program upon the recommendation of the Board.

9.2 The employee's immediate supervisor shall forward a written summation of his review including referrals to the Internal Review Board. The Board shall re-evaluate the matter and either concur with the immediate supervisor's resolution or remand the matter to the supervisor for further review and recommendations.

9.3 The annual report will serve as a secondary system to the system's quarterly report. The report will contain names of all employees entered into the system during the preceding year who meet the criteria for review. The annual report will be analyzed and employees identified who either received four or more external complaints, or who have been involved in two or more critical incidents. The analysis will serve to identify those employees who do not meet the criteria for review and counseling based on the quarterly report, but who exhibit a pattern of conduct over a longer period of time that warrants review.

9.4 The system's reports should be employed by supervisors as another resource in attempting to determine if job stress and/or performance problems exist with their subordinates. The reports should be reviewed in conjunction with other criteria known to the supervisor to facilitate a fair and meaningful assessment of the employee. The system reports make no conclusions or determinations concerning job stress and/or performance problems.

9.5 The Unit shall provide data to the Internal Review Board that will assist that body in determining if subordinates of certain supervisors tend to be employees frequently identified by the system. The data may be used by the Board in order to determine if certain supervisors are employing ineffective or inappropriate management techniques.

Section 10. Psychological assessment program.

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

10.1 This procedure provides a process for mandatory psychological review of employees in situations where an employee's job performance or actions are detrimental to the State Police's mission and cause the employee's psychological fitness for duty to be in question. Through this process, the employee's level of psychological fitness is determined and assistance made available, if necessary, to facilitate the employee's return to psychological fitness.

10.2 An employee is considered to be psychologically fit for duty when there is reasonable assurance that he or she can:

10.2(1) Exercise independent judgment;

10.2(2) Recognize parameters of authority; and

10.2(3) Function effectively within the rules, guidelines, and policies of the State Police.

10.3 The following are examples, although not all inclusive, of circumstances in which an employee's psychological fitness for duty may be in question:

10.3(1) Suspected substance abuse (alcohol, other drugs).

10.3(2) Questionable duty judgment or continued citizen complaints regarding conduct on or off-duty.

10.3(3) Supervisory problems, such as when previous attempts through performance review and discipline have had little, if any, effect on resolving the undesired behavior.

10.3(4) Excessive use of sick leave, disability leave, or Worker's Compensation claims.

10.3(5) Return from sick leave and/or leave of absence precipitated by psychiatric, psychological, substance abuse, and/or stress related illness.

10.4 Procedures.

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

10.4(1) The supervisor shall consult the employee's Company or Section Commander. If, in the opinion of a supervisor, an employee's immediate action(s) or culmination of previous actions bearing on the above criteria indicate a question of psychological fitness for duty, the Company or Section Commander will evaluate the situation based upon the circumstances surrounding the incident(s) and make a recommendation to the Superintendent or his or her designee concerning the employee's duty status.

10.4(2) The Superintendent may place an employee involved in a critical incident as defined by this rule on administrative leave, with or without pay, for a period of time determined by the Superintendent pending a determination of the employee's psychological fitness for duty or completion of any investigation related to the critical incident. If the employee's psychological fitness is at issue, the employee shall return to duty only after he or she is deemed to be psychologically fit. The Superintendent may consult a doctoral level clinical psychologist, psychiatrist, or licensed counselor in determining an employee's fitness for duty.

10.4(3) If a psychological fitness for duty assessment is deemed appropriate by the Superintendent, the employee shall be notified as required for internal or administrative investigations. The notification shall include a statement of the general circumstances that prompted the action, the appointment time, date, and location of the meeting with a psychotherapist designated by the State Police. The State Police shall be responsible for costs of the initial fitness for duty interview/testing and any required follow-up except in the case of a non-job related injury where the employee shall be financially responsible for additional treatment required by other than the State Police. If an employee is referred for psychological fitness for duty assessment as a result of an action(s) which may result in disciplinary action against the employee, such disciplinary action shall be delayed pending assessment and recommendation by the psychotherapist designated by the State Police.

10.5 Employee Responsibility.

10.5(1) During evaluation and subsequent

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

treatment if deemed necessary, the employee will truthfully answer all questions directed to him or her and provide complete information and documents deemed necessary. The employee will submit to all examinations deemed advisable and sign waivers concerning access to records and reports that may be prepared or generated by the State Police psychotherapist. In addition, State Police employees with knowledge of the effected employee's behavior may be interviewed.

10.6 Psychotherapist Responsibility.

10.6(1) The psychotherapist designated by the State Police shall, based upon his or her professional assessment of the employee's psychological fitness, render a written report to the Superintendent which shall include the following recommendations:

10.6(1)(1) Employee returned to full duty unconditionally or with treatment recommended; or

10.6(1)(2) Employee returned to full duty conditional upon treatment; or

10.6(1)(3) Employee returned to limited duty conditional upon treatment; or

10.6(1)(4) Employee declared unfit for duty and referred for treatment.

10.6(2) If, during the employee's initial assessment by the State Police's psychotherapist, it is deemed necessary for the employee to be referred for treatment, the Superintendent shall issue a Special Order directing the employee to attend and successfully complete a therapeutic or counseling program approved by the State Police. Failure to attend and successfully complete the program shall be considered in the determination of any subsequent disciplinary action.

10.6(3) The State Police psychotherapist shall assist the employee in arranging for outside treatment. Employees shall be referred only to licensed psychiatrists, doctoral level clinical psychologists, or licensed counselors. In situations where outside referral is necessary, there shall be

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

extensive communications between the State Police psychotherapist and the employee's treating psychotherapist in relation to the employee's progress in treatment and continued psychological fitness for duty. These communications shall include, but are not limited to, pertinent information such as:

10.6(3)(1) Is the employee attending scheduled appointments?

10.6(3)(2) Is the employee making reasonable progress in his or her treatment?

10.6(3)(3) Has anything occurred which could cause the psychotherapist to re-assess the employee's duty status?

10.6(4) Evaluation results, opinions, recommendations, and confidential notes provided to the State Police psychotherapist by an outside consultant shall be interpreted and monitored, but not ordinarily communicated to the Superintendent. The Superintendent, with the advice of the State Police psychotherapist, may initiate appropriate personnel action predicated on the recommendations.

10.6(5) Communications between the Superintendent and the State Police psychotherapist or outside consultant(s), regarding test results, written opinions, recommendations, notes, reports, and actions taken are confidential. These documents shall be secured in the Unit's office in locked cabinets or secure magnetic media.

Section 11. Separation from the State Police and progressive discipline.

11.1 Types of separation specified:

11.1(1) **Discharge:** an involuntary dismissal from employment ordered by the Superintendent and effected by written State Police Special Order.

11.2(2) **Suspension:** involuntary separation during a limited period for disciplinary reasons.

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

11.2(3) **Resignation:** voluntary termination of the employment relationship by the employee.

11.2(4) **Layoff:** involuntary termination of the employment relationship through no fault of the employee as by reason of lack of work, lack of funds, changes in organization, completion of temporary or restricted employment, or similar causes, and without adverse effect on the employee's eligibility for future employment.

11.2(5) **Retirement:** termination of the employment relationship under the provisions of W. Va. Code §15-2-26 et seq.

11.2(6) **Death.**

11.3 Standards of Conduct:

The following standards are intended to be illustrative but not all inclusive of the type of conduct expected of employees:

11.3(1) An employee is expected to attend work regularly and report in a timely fashion. Any extraordinary time off-duty should be planned in advance. Unexpected time-off should be communicated immediately to the employee's supervisor.

11.3(2) Employees are expected to apply themselves to their assigned duties during the time they are being compensated, except for reasonable time provided to take care of personal needs.

11.3(3) Employees are expected to meet established performance standards. Conditions or circumstances, as they become known, which shall prevent them from performing effectively or from completing their assigned tasks should be reported to the employee's immediate supervisor. Likewise, unclear instructions or procedures should be brought to the attention of the employee's supervisor.

11.4 Supervising for Better Work Performance.

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

11.4(1) Supervisors should assist employees in understanding their work assignments; the standards of conduct contained in this rule; and the goals, objectives, and performance standards of their positions.

11.4(2) Supervisors should be aware of inadequate or unsatisfactory work performance or behavior on the part of employees and attempt to correct the performance or behavior immediately. Such corrective action may take the form of an informal counseling session or the issuance of a written notice, depending on the severity of the situation.

11.4(3) Counseling refers to an informal discussion with the employee about a work performance or behavior problem which, if not corrected, could lead to a disciplinary action.

11.4(4) Disciplinary action refers to formal, corrective measures based on a violation of established standards of conduct, which includes discussion of the offense, an explanation of the evidence, and issuance of a written notice by the Superintendent.

11.5 Progressive Discipline.

Unacceptable conduct shall be divided into three types of offenses according to their severity. The offenses listed herein are illustrative only, and are not intended as an exclusive list of all disciplinary offenses.

11.5(1) Group I Offenses:

11.5(1)(1) Unsatisfactory attendance, performance, or excessive tardiness.

11.5(1)(2) Abuse of State Police time such as unauthorized time away from work area, use of State Police time for personal business, abuse of sick leave, or failure to notify a supervisor promptly of the completion of assigned work.

11.5(1)(3) Obscene or abusive language.

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

11.5(1)(4) Inadequate or unsatisfactory  
job performance.

11.5(1)(5) Disruptive behavior.

11.5(1)(6) Conviction of a moving traffic  
violation while using State Police or other public purpose  
vehicle.

11.5(1)(7) First group offenses include  
those types of behavior less severe in nature, but which require  
correction in the interest of maintaining a productive and well  
managed work force.

11.5(1)(7)(1) When issuing a  
written notice for a Group I offense, such notice should be  
issued as soon as is practicable.

11.5(1)(7)(2) Group I written  
notices shall be cumulative in nature. Upon the accumulation of  
three "active" Group I offenses, the Superintendent may suspend  
the employ without pay, but such suspension shall not exceed five  
days. The Superintendent may discharge an employee who  
accumulates four active written notices.

11.5(1)(7)(3) Written notices for  
Group I offenses shall remain "active" for two years from the  
date of issuance. This is all encompassing and not extendable  
should another Group I written notice be issued during the two  
year period.

11.5(2) Group II Offenses.

11.5(2)(1) Failure to follow a  
supervisor's instructions, perform assigned work, or otherwise  
comply with State Police policy and procedure or administrative  
regulations.

11.5(2)(2) Violating safety rules  
where there is not a threat to life.

11.5(2)(3) Unauthorized time away  
from the work area or duty post or leaving the work site without

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

permission during working hours.

11.5(2)(4) Failure to report to work without proper notice to his or her supervisor.

11.5(2)(5) Refusal to work overtime.

11.5(2)(6) Group II offenses include more severe acts and behavior. Corrective action for these offenses include written notice and suspension without pay. Employees; however, may not be suspended in excess of ten working days for an offense of this nature. The Superintendent may discharge an employee who commits an additional Group II offense while a previous such offense is "active." The Superintendent may also discharge an employee who accumulates three "active" first group offenses and one active second group offense.

11.5(2)(7) When issuing a written notice for a Group II offense, such notice shall be issued as soon as is practicable. The Superintendent may reprimand or reprimand and suspend up to ten days for a single Group II offense. If mitigating circumstances exist, the Superintendent may demote the employee or suspend the employee for up to thirty days in lieu of discharge.

11.5(2)(8) If an employee is not discharged due to mitigating circumstances, the Superintendent shall notify the employee that any subsequent written notice issued during the "active" life period, regardless of level, may result in discharge.

11.5(2)(9) Written notices for Group II offenses shall remain "active" for three years from the date of issuance.

11.5(3) Group III Offenses.

11.5(3)(1) Absence in excess of three days without notifying his or her supervisor.

11.5(3)(2) Use of alcohol or unlawful use or possession of controlled substances while on the job.

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

11.5(3)(3) Reporting to work under the influence or when his or her ability is impaired by alcohol or a controlled substance.

11.5(3)(4) Insubordination or serious breach of discipline.

11.5(3)(5) Falsifying any records such as, but not limited to: vouchers, reports, insurance claims, time records, leave records, or other official state documents, or knowingly making any false statement.

11.5(3)(6) Willfully or negligently damaging or defacing state records, state, or employee property.

11.5(3)(7) Theft or unauthorized removal of state records, state, or employee property.

11.5(3)(8) Gambling on state property.

11.5(3)(9) Acts of physical violence or fighting (except official police actions).

11.5(3)(10) Violating safety rules where there is a threat to life.

11.5(3)(11) Sleeping during work hours.

11.5(3)(12) Participating in any kind of work slowdown, sit-down, or similar concerted interference with State Police or state operations.

11.5(3)(13) Unauthorized possession or use of firearms, dangerous weapons, or explosives.

11.5(3)(14) Threatening or coercing employees or supervisors.

11.5(3)(15) Criminal convictions for acts of conduct occurring on or off the job which are plainly related to job performance or are of such a nature that to

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

continue the employee in the assigned position could constitute negligence in regard to the State Police's duties to the public or to other state employees.

11.5(3)(16) Failure to take a polygraph examination or to answer fully and truthfully any question relating to any offense requiring submission to a test.

11.5(3)(17) Failure to take physical or mental examinations as required.

11.5(3)(18) Using public office for private gain.

11.5(3)(19) Engaging in criminal conduct on or off the job.

11.5(3)(20) Engaging in dishonest or immoral conduct that undermines the effectiveness of the State Police's activities or employee performance, whether on or off the job..

11.5(3)(21) Willful disobedience of a lawful command of a supervisor.

11.5(3)(22) Disclosure of confidential information to any person except those who may be entitled to such information or when directed by the Superintendent or a supervisor.

11.5(3)(23) Taking any action which shall impair the efficiency and/or reputation of the State Police or its employees.

11.5(3)(24) Acceptance of any bribe, gift, token, moneys, or other things of value intended as an inducement to perform or to refrain from performing any official act, or any action of extortion or other means of obtaining money or any thing of value through his or her position.

11.5(3)(25) Manifesting cowardice, feigning illness, or otherwise attempting to shirk official duty.

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

11.5(3)(26) Involvement in any compromise between persons accused of a crime and the person or persons who may have suffered from criminal acts with the purpose of allowing the accused to escape punishment.

11.5(3)(27) Failure to answer questions specifically directed and related to official duties or job fitness attendant to an internal or administrative investigation.

11.5(3)(28) The use of unnecessary force during an arrest/custody procedure.

11.5(3)(29) Deviation from established procedures in the disposition of summons or arrest cases.

11.5(3)(30) Unauthorized or misuse of any state funds or other lawfully obtained funds as determined by policy and procedure.

11.5(3)(31) Theft or misappropriation of property stored in a State Police evidence room or of property destroyed pursuant to a valid court order.

11.5(3)(32) Libeling or slandering another employee, either on or off-duty.

11.5(3)(33) Group III offenses include acts and behavior of such a serious nature that a first occurrence would warrant the Superintendent discharging an employee.

11.5(3)(34) When issuing a written notice for a Group III offense, such notice should be issued as soon as practicable. The Superintendent may discharge the employee or suspend the employee for up to thirty days without pay in lieu of discharge. The Superintendent may also demote as an alternative to discharge if circumstances so dictate.

11.5(3)(35) If the employee is not discharged due to mitigating circumstances, he or she shall be notified by the Superintendent that any subsequent written notice

DEPARTMENT OF MILITARY AFFAIRS AND PUBLIC SAFETY  
WEST VIRGINIA STATE POLICE  
TITLE 81  
SERIES X

during the "active" life period, regardless of level, may result in discharge.

11.5(3)(36) Written notices for Group III offenses shall remain "active" for four years from the date of issuance.

11.5(4) The offenses listed are not intended to be all inclusive. Accordingly, conduct which in the judgment of the Superintendent, although not listed in these groups of offenses, seriously undermines the effectiveness of the State Police's activities or the employee's performance shall be treated consistent with provisions of this policy.

11.5(5) All written notices shall be in letter form from the Superintendent or his or her designee. Notices may be accompanied in the employee's personnel file by letters of reprimand where appropriate.

11.5(6) The Superintendent reserves the right to demote an employee for job abolition, budgetary reduction, reduction of work, and/or employee inability to perform satisfactorily.

11.5(7) Employees found to have engaged in discrimination on the basis of race, color, religion, national origin, political affiliation, handicap, age, or sex (including sexual harassment) may be counseled or disciplined with either a Group I, II, or III offense, depending upon the specific facts and circumstances surrounding the incident.

Attachment "A"

**What happens if I file a false complaint?**

If you file a false complaint you will be subject to criminal prosecution. It is a violation of state law to give false or misleading information to a state police officer. Prosecution may lead to a fine and/or jail sentence. You may also be sued in civil court by the person you complain against.

**West Virginia  
Division  
Public Safety**



**HELP US  
DO A BETTER  
JOB!**

The West Virginia State Police take your ideas and comments seriously. Helpful citizens like you help us provide better law enforcement service to the citizens of West Virginia. This pamphlet tells you how to contact the State Police if you care to comment on the job we are doing.

Who can I contact to let the State Police know that one of their employees is doing a good job?

Write a letter to: Superintendent, 725 Jefferson Rd., S. Charleston, WV, 25309-1698.

What if I have a complaint?

You can file complaints against any State Police employee if you believe that they have been rude or abusive, violated the law, caused you harm, or have failed to provide a service. You may also file a complaint against the State Police itself (as an agency of state government) for violating a law or failing to provide a service.

How do I file a complaint?

You may file a complaint with the Inspection and Internal Affairs Section of the State Police by calling them at 304-746-2110, or by appearing at your

local State Police Detachment and speaking to the Detachment Commander or his/her assistant. You can also write to the Inspector at the address listed above, and give a detailed explanation of your complaint including dates, times, names of witnesses, locations, etc. You do not have to be directly involved to file a complaint.

What will happen after I file the complaint?

Once you file the complaint, you will receive a letter of confirmation. If an internal affairs investigator is assigned to the case, his/her name will be included in the letter. You will be contacted and asked to give a formal statement, unless you have chosen to remain anonymous. You may be asked to take a polygraph examination and testify in hearings. You will be expected to cooperate during any investigation and court proceedings.

When will I know the outcome of my complaint?

The investigation must be completed within thirty days unless circumstances require a time extension. The Inspector will notify

you upon completion of the investigation.

Do I need a lawyer to file a complaint?

You do not need a lawyer to file a complaint.

What if I just want to ask questions?

If you have any questions, you may call your local State Police Detachment or the Inspection and Internal Affairs Section. You may ask questions without giving your name and are not required to file a formal complaint.

What will happen to the employee if my complaint is proven correct?

Depending on the nature of the allegations, the employee may be disciplined.

What if I am harassed by the employee that I filed the complaint against?

If you are contacted by the employee, you should report the incident to your case investigator, if any, or the Inspection and Internal Affairs Section immediately.

Attachment "B"

# COMPLAINT INTAKE FORM

- DOES THIS COMPLAINT DEAL WITH A LACK OF ACCOMMODATIONS FOR PHYSICALLY CHALLENGED PERSON(S) AT A DIVISION FACILITY? \_\_\_ Yes \_\_\_ No

- DOES THIS COMPLAINT DEAL WITH AN ALLEGATION THAT THE DIVISION IS FAILING TO PROVIDE ANY TYPE OF SERVICE TO THE PUBLIC? \_\_\_ Yes \_\_\_ No

COUNTY \_\_\_\_\_ INTAKE OFFICER \_\_\_\_\_

1. COMPLAINT RECEIVED: DATE: \_\_\_\_\_ TIME: \_\_\_\_\_

2. COMPLAINANT:

NAME: \_\_\_\_\_ ADDRESS: \_\_\_\_\_

CITY: \_\_\_\_\_ STATE: \_\_\_\_\_ ZIP: \_\_\_\_\_ PHONE:(H) \_\_\_\_\_ (W) \_\_\_\_\_

SOCIAL SECURITY # \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ DOB: \_\_\_\_\_ CRIMINAL RECORD (if applicable): \_\_\_\_\_

\*\*\*\*\*

3. ACCUSED (if applicable)(extra page if co-defendants):

NAME: \_\_\_\_\_ ADDRESS: \_\_\_\_\_

CITY: \_\_\_\_\_ STATE: \_\_\_\_\_ ZIP: \_\_\_\_\_ PHONE:(H) \_\_\_\_\_ (W) \_\_\_\_\_

SOCIAL SECURITY # \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ DOB: \_\_\_\_\_ CRIMINAL RECORD (if applicable): \_\_\_\_\_

\*\*\*\*\*

4. DOES COMPLAINANT UNDERSTAND THAT W. Va. CODE §15-2-16 PROVIDES THAT KNOWINGLY GIVING FALSE INFORMATION RELATING TO AN OFFENSE TO A STATE POLICE OFFICER IS A CRIME PUNISHABLE BY UP TO SIXTY DAYS IN JAIL AND/OR A \$200.00 FINE?

If yes, complainant's initials: \_\_\_\_\_

5. DOES COMPLAINANT UNDERSTAND THAT, IF WARRANT IS OBTAINED, HE/SHE AND WITNESSES WILL BE REQUIRED TO TESTIFY?

If yes, complainant's initials: \_\_\_\_\_

6. OFFENSE ALLEGED(with code cite): \_\_\_\_\_

7. OFFENSE DATE: \_\_\_\_\_ TIME: \_\_\_\_\_ LOCATION: \_\_\_\_\_

8. COMPLAINANT'S SUMMARY (extra page if required): \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

9. WITNESSES(extra page if required):

a. Name: \_\_\_\_\_ Address: \_\_\_\_\_ Phone: \_\_\_\_\_

Expected Testimony: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

b. Name: \_\_\_\_\_ Address: \_\_\_\_\_ Phone: \_\_\_\_\_

Expected Testimony: \_\_\_\_\_

\_\_\_\_\_

10. WITNESSES INTERVIEWED? (YES) (NO)

TESTIMONY CONFIRMED? (YES) (NO)

EXPLAIN: \_\_\_\_\_

11. PHYSICAL EVIDENCE/DOCUMENTS: \_\_\_\_\_

12. REMEDY REQUESTED?(NOTE: if monetary, explain civil action - refer if appropriate)

\_\_\_\_\_

13. HAS THE PRESENT COMPLAINT BEEN REPORTED TO ANY OTHER POLICE

AGENCY? (YES) (NO) If yes, to which police agency? \_\_\_\_\_

14. PRIOR OR PENDING COMPLAINTS AND DISPOSITION?

a. By this complainant? If yes, explain: \_\_\_\_\_

b. By accused? If yes, explain: \_\_\_\_\_

15. INTAKE DISPOSITION (check if applicable):

- a. No Crime Alleged \_\_\_\_\_
- b. No Probable Cause/Insufficient Evidence \_\_\_\_\_
- c. Probable Cause/Warrant Obtained or Recommended \_\_\_\_\_
- d. Follow-up Required \_\_\_\_\_
- e. Refer to P.A. \_\_\_\_\_

16. EXPLAIN DISPOSITION(if necessary): \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

17. COMPLAINANT'S SIGNATURE: \_\_\_\_\_

Attachment "C"



STATE OF WEST VIRGINIA  
DIVISION OF PUBLIC SAFETY

Inspector's File Number  IA-94-01 Assigned by Inspector's Office	REPORT OF INVESTIGATION	Date Completed  As indicated
Date Assigned	Station	County
Date of Special Order	Duty Station of subject being investigated	Of Duty Station
Initial or Supplementary  As indicated	Report Made By  Investigation officer, rank, unit number	Status of Investigation  Complete or Pending
<p>Subject of Investigation</p> <p>Allegations of impropriety on the part (officer being investigated)</p>		

**SUBJECT OF INVESTIGATION:** Give name, address and phone number of person being investigated. Indicate their duty station or assignment. If subject is a sworn member include rank and unit number.

(Example) Trooper James Cooper, Unit #000  
West Virginia State Police  
725 Jefferson Road  
South Charleston, WV 25309  
PS #746-3333

**COMPLAINANT:** Indicate name, address and phone number of complainant. If the investigation is requested by someone other than the complainant give name, address, phone number of that person. If it is requested by another member of this department, indicate the name, rank, and official position, county, duty station, or assignment.

(Example) Mrs. Alice Williams  
Box 907  
Anywhere, WV 25397  
PS #348-5432

AUTHORITY FOR INVESTIGATION: Indicate whether verbal order or Special Order by the Superintendent. State the Special Order number and date of same. All correspondence and/or Special Orders relating to the assignment of such investigation will be attached to the report.

(Example) Special Order #7, dated January 5, 1994, signed by the Superintendent.

ACTION TAKEN: Show sufficient and chronological details of your investigation: Dates and times of interviews, names, addresses, phone numbers of witnesses, the collection and disposition of all evidence, etc.

(Example) On January 1, 1994, the Superintendent received a letter of complaint from Mrs. Alice Williams concerning Trooper James Cooper. This letter is attached as exhibit #1.

On January 5, 1994, Special Order #7 was issued by the Superintendent assigning this officer to conduct the investigation. A copy of this order is attached as exhibit #2.

On January 6, 1994, Trooper James Cooper was advised he was the subject of an internal affairs investigation. A copy of this letter dated January 5, 1994 is attached as exhibit #3.

On January 6, 1994, at 1300 hours a tape recorded interview was made with Mrs. Alice Williams by this officer. The cassette tape is marked as exhibit #4. A transcribed copy of this interview is attached to and made a part of this report.

Mrs. Williams related .....

The interview was concluded at 1410 hours.

On January 16, 1994, Trooper James Cooper was advised of his administrative rights. A copy of the signed rights form is attached as exhibit #5.

At 1520 hours this officer began a tape recorded interview with Trooper Cooper. This interview is contained on two cassette tapes marked as exhibit #6. A transcribed copy of this interview is attached to and made a part of this report.

.....

Upon submission of this report, this investigation is complete.

(List one allegation at a time followed by the finding of fact and conclusion for same.) Keep allegation, finding of fact and conclusion together as much as possible. Start each allegation on a new page when possible so there is a clear division between them.

ALLEGATION: Indicate the Statute or Department Rule allegedly violated.

FINDING OF FACT: List in chronological order those facts which were revealed as a result of the internal investigation.

CONCLUSION: Briefly state the conclusion as being Sustained, Unfounded, or Not Sustained.

(Example)

ALLEGATION #1: DPS Administrative Regulation 15-2, Series 1, Section 1.24:  
 Conduct unbecoming an officer.

(a) On-duty conduct

(b) which specially relates to and affects the administration of the Department and

(c) which is of a substantial nature directly affecting the rights and interests of the public.

FINDING OF FACT #1: .....

.....

.....

.....

CONCLUSION #1: This allegation is sustained.

## LIST OF EXHIBITS:

List all objects or articles that will likely be used during court or administrative hearing. The name and address of the person who has charge or possession of such articles shall also be shown. If objects or articles were examined or analyzed by the Criminal Laboratory then a copy of the Case Submission Report along with the laboratory results will be attached.

(Examples)

1. One (1) letter of complaint from Mrs. Alice Cooper dated January 1, 1994 concerning Trooper James Cooper.
2. One (1) Special Order #7 signed by the Superintendent on January 5, 1994.
3. One (1) letter to Trooper James Cooper from First Sergeant Alan Pettry dated January 5, 1994.
4. One (1) cassette tape containing the interview of Mrs. Alice Williams.
5. One (1) administrative rights form signed by Trooper James Cooper dated January 16, 1994.
6. Two (2) cassette tapes containing the interview of Trooper James Cooper.

All exhibits are attached to this report, with the exception of the cassette tapes which are in file at the Inspector's office.

WITNESSES:

List name, address, and telephone number of witnesses and a brief statement of what each can testify to. Written or taped statements will be taken during interviews. Those statements will be attached to the report.

(Examples)

Mrs. Jane Smith  
Box 907  
Anywhere, WV 25397  
PS #348-5432

Will testify to .....  
.....  
.....  
.....

First Sergeant Alan Pettry  
West Virginia State Police  
725 Jefferson Road  
South Charleston, WV 25309  
PS #746-1234

Will testify to this entire investigation and the facts contained within this report.

MILES TRAVELED AND  
MAN HOURS SPENT:

List the total miles traveled and hours spent by all investigators as it relates to this investigation.

---

FIRST SERGEANT ALAN PETTRY

(No copies are necessary)

Send the original report and all exhibits which are not attached to the report (such as cassette tapes and/or tape recorder) to the Inspector's office upon completion. The Inspector will submit the report to the Superintendent with a cover letter.

Attachment "D"

WEST VIRGINIA DIVISION OF PUBLIC SAFETY

Administrative Rights Warning

I wish to advise you that you are about to be questioned as a part of an official investigation of the West Virginia Division of Public Safety (West Virginia State Police).

You are entitled to all the rights and privileges guaranteed by all of the laws and the Constitution of West Virginia and the United States, including the right not to be compelled to incriminate yourself relating to a criminal matter.

You will be asked questions specifically directed and narrowly related to the official performance of your duties as a member of the Division, or your fitness for office.

Your answers to any questions, as well as any evidence or other information gleaned from this investigation cannot, by law, be used against you in any subsequent criminal proceedings; however, your answers, subsequent evidence, and information may be used against you in relation to Division administrative charges for violations of Division Operating Policies and Procedures or Administrative Regulations.

Refusing to answer questions in relation to any official Division internal investigation is a violation of Division Policy and Procedure, and may result in discharge from employment.

Answering questions untruthfully is a violation of the West Virginia Code . If you elect to be untruthful, you may be discharged from employment.

\_\_\_\_\_ I have read the above warnings and I understand each of them.

\_\_\_\_\_ The above warnings have been read to me by \_\_\_\_\_, and I understand each of them.

/S/ \_\_\_\_\_

\_\_\_\_\_

Date

\_\_\_\_\_

Time

WITNESS: \_\_\_\_\_

Attachment "E"

**WEST VIRGINIA DIVISION OF PUBLIC SAFETY**  
Internal Affairs Polygraph Form

Date: \_\_\_\_\_

Time: \_\_\_\_\_

I, \_\_\_\_\_, have been informed of the nature of this examination and that under Division Policy and Procedure I am required to submit to the examination or face disciplinary action.

Signed: \_\_\_\_\_

W/ \_\_\_\_\_

W/ \_\_\_\_\_

Attachment "F"

**West Virginia Division of Public Safety  
Confidentiality Agreement**

This agreement is made between \_\_\_\_\_, and Colonel Thomas L. Kirk, Superintendent of the West Virginia Division of Public Safety, on this \_\_\_ day of \_\_\_\_\_, 19\_\_\_. The undersigned sworn member/employee hereby acknowledges that he/she received Internal Affairs Case File # \_\_\_\_\_, on the \_\_\_ day of \_\_\_\_\_, 19\_\_\_. Further, that he/she agrees to maintain the confidentiality of the materials included in the case file, that he/she will not disseminate the materials, and that he/she understands that the material may only be used for official purposes pursuant to Division Operating Policy and Procedure. Finally, that he/ she understands that any failure to comply with the terms of this agreement constitutes a failure to obey a lawful order, and may result in disciplinary action.

\_\_\_\_\_  
COLONEL THOMAS L. KIRK  
SUPERINTENDENT

\_\_\_\_\_  
SWORN MEMBER/EMPLOYEE

CC: Internal Affairs Case File  
Employee

**Attachment "G"**



Attachment "H"

# SUPERVISOR'S REPORT OF USE OF FORCE TO CONTROL

To: SUPERINTENDENT, WEST VIRGINIA STATE POLICE

From: \_\_\_\_\_  
SUPERVISOR

IA CASE # _____	TIME _____
DATE _____	DAY _____
DIST _____	DIV _____ CO _____
ADDRESS OF OCCURENCE _____	

SUBJECT NAME (LAST, FIRST)				RACE/SEX	ETHNIC	DATE OF BIRTH	AGE
DISEASE	INJURY	TREATMENT	HOSPITAL	SUSPECTED IMPAIRMENT ( ) YES ( ) NO		OBSERVATION BEHAVIOR	
LEVEL OF RESISTANCE _____		WEAPON USED _____		HOW USED _____	CONTACTED BY SUPERVISOR	LOC	TIME
CHARGES 1	2	3	4				

**OFFICER(S) INVOLVED**

NAME (LAST, FIRST)	RANK	UNIT #	RACE/SEX	ETHNIC	DATE HIRED	LOC
INJURY	TREATMENT	HOSPITAL	LEVEL OF FORCE _____	TYPE OF FORCE _____	HOW TO USED _____	
NAME (LAST, FIRST)	RANK	UNIT #	RACE/SEX	ETHNIC	DATE HIRED	LOC
INJURY	TREATMENT	HOSPITAL	LEVEL OF FORCE _____	TYPE OF FORCE _____	HOW TO USED _____	
NAME (LAST, FIRST)	RANK	UNIT #	RACE/SEX	ETHNIC	DATE HIRED	LOC
INJURY	TREATMENT	HOSPITAL	LEVEL OF FORCE _____	TYPE OF FORCE _____	HOW TO USED _____	

**WITNESS(ES)**

NAME (LAST, FIRST)	ADDRESS	PHONE
NAME (LAST, FIRST)	ADDRESS	PHONE
NAME (LAST, FIRST)	ADDRESS	PHONE

**ADMINISTRATIVE INFORMATION**

IF NOTIFIED ( ) YES ( ) NO	UNIT #	TIME	RESPONDED ( ) YES ( ) NO	PHOTOGRAPHS OFFICER(S) ( ) YES ( ) NO	TAKEN BY
TRANSPORTING OFFICER(S)	UNIT #	FROM	TO	TIME	
TRANSPORTING OFFICER(S)	UNIT #	FROM	TO	TIME	

- |  |  |   |   |  |   |   |   |
|--|--|---|---|--|---|---|---|
| <p><b>RACE</b></p> <ul style="list-style-type: none"> <li>W - White</li> <li>B - Black</li> <li>I - Indian</li> <li>O - Oriental/Asian</li> <li>U - Unknown</li> </ul> <p><b>ETHNIC</b></p> <ul style="list-style-type: none"> <li>A - Columbian</li> <li>B - Puerto Rican</li> <li>C - Cuban</li> <li>D - Other Hispanic</li> <li>E - Japanese</li> <li>F - French Canadian</li> <li>G - Chinese</li> <li>H - Haitian</li> <li>I - Jamaican</li> <li>J - Mexican</li> <li>K - Nicaraguan</li> <li>L - Nigerian</li> <li>All Others</li> </ul> | <p><b>DISEASES</b></p> <ul style="list-style-type: none"> <li>01 - None/Unknown</li> <li>02 - TB(tuberculosis)</li> <li>03 - AIDS</li> <li>04 - Skin Diseases (open sores)</li> <li>05 - Sexually Transmitted Diseases</li> <li>06 - Body Parasites</li> <li>07 - Hepatitis</li> <li>08 - Other</li> </ul> <p><b>TREATMENT</b></p> <ul style="list-style-type: none"> <li>20 - None</li> <li>21 - Refused</li> <li>22 - First Aid</li> <li>23 - Fire Rescue</li> <li>24 - Hospital</li> <li>25 - Personal Physician</li> </ul> | <p><b>INJURY</b></p> <ul style="list-style-type: none"> <li>09 - Injury not related to Use of Force</li> <li>10 - No Injury</li> <li>11 - Bruise/Abrasion</li> <li>12 - Sprain/Strain</li> <li>13 - Laceration</li> <li>14 - Bite</li> <li>15 - Puncture</li> <li>16 - Broken Bone</li> <li>17 - Internal Injury</li> <li>18 - Gunshot</li> <li>19 - Other</li> </ul> | <p><b>IMPAIRMENT</b></p> <ul style="list-style-type: none"> <li>30 - Alcohol</li> <li>31 - Marijuana</li> <li>32 - Cocaine</li> <li>33 - Unknown</li> <li>34 - Other</li> </ul> <p><b>OBSERVED BEHAVIOR</b></p> <ul style="list-style-type: none"> <li>40 - Calm</li> <li>41 - Visibly Upset</li> <li>42 - Erratic</li> <li>43 - Highly Agitated</li> <li>44 - Baker Act/Exparte</li> </ul> <p><b>RESISTANCE LEVEL</b></p> <ul style="list-style-type: none"> <li>50 - No Resistance</li> <li>51 - Passive Resistance</li> <li>52 - Attempted to flee/escape</li> <li>53 - Actively resisted</li> <li>54 - Actively resisted &amp; incited bystanders</li> <li>55 - Assaulted Officers</li> </ul> | <p><b>LEVEL OF FORCE</b></p> <ul style="list-style-type: none"> <li>60 - No force used but officer injured</li> <li>61 - No force used but subject complained of injury</li> <li>62 - Minimum physical contact officers(s) injured</li> <li>63 - Minimum force used to guide/control subject</li> <li>64 - Subject resisted arrest and was forcibly subdued (hands only)</li> <li>65 - Subject resisted arrest and force other than hands were used to subdue the subject</li> </ul> | <p><b>WEAPON USED (Subject)</b></p> <ul style="list-style-type: none"> <li>70 - None</li> <li>71 - Hands/Arm</li> <li>72 - Fist</li> <li>73 - Feet/Leg</li> <li>74 - Teeth</li> <li>75 - Blunt Inst.</li> <li>76 - Cutting Inst.</li> <li>77 - Rock/Bottle</li> <li>78 - Handgun</li> <li>79 - Rifle</li> <li>80 - Shotgun</li> <li>81 - Vehicle</li> <li>82 - Other</li> </ul> | <p><b>TYPE OF FORCE (Officer)</b></p> <ul style="list-style-type: none"> <li>90 - None</li> <li>91 - Hands/Arm</li> <li>92 - Fist</li> <li>93 - Feet/Leg</li> <li>94 - Radio</li> <li>95 - Flashlight</li> <li>96 - Baton</li> <li>97 - K-9</li> <li>98 - Handgun</li> <li>99 - Shotgun</li> <li>100 - Chem. Agent</li> <li>101 - Spec Weapon</li> <li>102 - Other</li> </ul> | <p><b>HOW USED</b></p> <ul style="list-style-type: none"> <li>110 - Threatened</li> <li>111 - Grab/Hold</li> <li>112 - Push/Pull</li> <li>113 - Strike/Hit</li> <li>114 - Bite</li> <li>115 - Throw</li> <li>116 - Slash</li> <li>117 - Stab</li> <li>118 - Discharge</li> <li>119 - Other</li> </ul> |
|--|--|---|---|--|---|---|---|