



INVESTIGATIVE REPORT

Cynthia V. Carrasco, Inspector General

OFFICE: INDIANA STATE EXCISE POLICE
TITLE: EXCISE POLICE NEPOTISM RECOMMENDATIONS
CASE ID: 2015-07-0119
DATE: April 20, 2016

Inspector General Staff Attorney Stephanie Mullaney, after a review by Special Agent Alan McElroy, reports as follows:

The Office of Inspector General (OIG) recently reviewed the Indiana State Excise Police (“Excise Police”) and found potential nepotism concerns. Specifically, the OIG found a high risk for the appearance of nepotism or potential future violations of the nepotism rule due to existing familial and personal relationships between Excise Police employees. The nepotism rule is set forth in IC 4-2-6-16 and provides, in relevant part, that an individual employed in an agency may not hire a relative and that an individual may not be placed in a relative's direct line of supervision. IC 4-2-6-16(c) and IC 4-2-6-16(f).

The Indiana General Assembly charged the OIG with addressing fraud, waste, abuse, and wrongdoing in agencies. IC 4-2-7-2(b). The OIG investigates criminal activity and ethics violations by state employees. IC 4-2-7-3(3). The OIG may recommend policies and carry out other activities designed to deter, detect, and eradicate fraud, waste, abuse, mismanagement, and misconduct in state government. IC 4-2-7-3(2). The OIG may also advise an agency on implementing policies and procedures to prevent and reduce the risk of wrongful acts within the agency. IC 4-2-7-3(2).

Based on the OIG's review, the OIG makes the following recommendations in an effort to reduce any appearance of nepotism and to prevent violations of the nepotism rule within the Excise Police:

Recommendation 1

To avoid the appearance of nepotism issues regarding various relatives (as defined in IC 4-2-6-1(a)(16)) employed at the Excise Police, the Excise Police should ensure that no relatives have office space in the same location. If any relatives currently have office space in the same location, the agency should make any necessary transfers so that the relatives are no longer in the same building.

Recommendation 2

To address potential nepotism violations or the appearance of nepotism, the Excise Police should avoid assigning relatives to work together on any special details when possible, especially where one relative could be placed under another relative's supervision in an emergency situation. The Excise Police should develop a protocol that would prevent relatives from being assigned to work on the same "team" or in the same area at events that require a large number of Excise Police personnel to avoid a situation in which a relative could potentially supervise another relative.

Recommendation 3

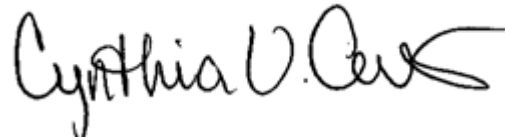
The Excise Police should adopt a specific written policy that provides guidelines to agency staff on how the agency will handle and prevent potential nepotism situations in the agency. At a minimum, this policy should include the special detail restrictions noted in Recommendation 2, along with any other restrictions necessary to avoid the appearance that a

relative is supervising another relative. This policy should be filed with the OIG in accordance with 42 IAC 1-6-1.

Recommendation 4

The Excise Police should also write and adopt a policy to ensure that the Excise Police complies with the requirements of Indiana Department of Administration's travel policies.

Respectfully submitted this 20th day of April, 2016.

A handwritten signature in black ink that reads "Cynthia V. Carrasco". The signature is written in a cursive style with a large, sweeping flourish at the end.

Cynthia V. Carrasco, Inspector General