

Chapter 4 - Special Reviews, Public Complaint Process, and Personnel Investigations

• 3-04/000.00 - Personnel Investigations

Public trust is vital to our mission, and rests on Departmental responsiveness to community needs and expectations. To foster public confidence in the Department and to promote constructive communication, commendations and complaints must be received with equal professional interest and courtesy, and given appropriate supervisory attention.

• 3-04/000.05 - Assignment of Subsequent Inquiry/Investigation

A supervisor who investigated, documented, or was directly involved in any incident shall not be assigned to conduct any subsequent inquiry/investigation (e.g., Watch Commander Service Comment Report review, civil claim review, lawsuit review, force review, administrative investigation) related to the same incident.

If no other supervisor is available to conduct a subsequent inquiry/investigation, the concerned unit commander shall notify and confer with his division chief, who shall be responsible for deciding how to accomplish the inquiry/investigation. In cases where the involved supervisor is directed to complete a subsequent inquiry/investigation, the supervisor shall document the reason(s) why he/she was directed to conduct the inquiry/investigation and the name of the manager who directed it.

• 3-04/010.00 - Department Service Reviews

The Department will accept and review any comment from any member of the public concerning Departmental service or individual performance. These comments fall into three categories:

- External Commendation: an external communication of appreciation for and/or approval of service provided by Department members;
 - Service Complaint: an external communication of dissatisfaction with Department service, procedure or practice, not involving employee misconduct; and
 - Personnel Complaint: an external allegation of misconduct, either a violation of law or Department policy, against any member of the Department.
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• 3-04/010.05 - Procedures for Department Service Reviews

A Department Service Review is an externally initiated supervisory review of the Department's or individual employee's performance. Externally initiated input is defined as that which is received from any member of the public. Department service reviews shall be documented on Service Comment Report forms. The Watch Commander of the Unit shall initiate a service review by immediately interviewing any member of the public

who, whether in person or by telephone, offers a comment. It is the Watch Commander's or Supervising Lieutenant's responsibility to hear every commendation or complaint, even if another Unit's personnel are involved, and to immediately complete a Watch Commander's Service Comment Report form. In cases of public input received through the mail or electronic means, the Unit Commander shall designate a Lieutenant to complete the Service Comment Report form. If a commendation or complaint concerns an employee not under the supervision of a Lieutenant, that person's designated supervisor shall complete the Service Comment Report form.

NOTE: When a complaint or other form of service inquiry is received from a city official, county official, or member of their staff, or from a city official, county official, or staff member on behalf of a constituent, the complaint or service inquiry shall be immediately forwarded to the concerned unit commander. The concerned unit commander shall personally make the initial contact with the complaining party and personally supervise any subsequent review, inquiry, or investigation.

NOTE: The Service Comment Report process is intended to document and track public input about Department performance. It shall not be used to document internally generated supervisory observations about performance. Supervisory observations shall continue to be documented in the Unit performance log, or through commendations and discipline as appropriate. As an example, if a Lieutenant from another Unit within the Department writes a letter or memorandum commending an employee, a Service Comment Report form would not be filled out. See section 3-02/140.05 for instructions on documenting internal commendations in the Performance Recording and Monitoring System.

NOTE: Custody Division procedures apply to inmate complaints about jail incidents and conditions, etc. The Service Comment Report form shall not be used to record complaints by inmates, friends or relatives of inmates who are non-involved or a non-aggrieved party while the inmate is in a Department custody facility. These type of complaints shall be processed pursuant to Custody Division Manual policy regarding "Referred Inmate Complaints." Department members from non-custodial units who receive a referred inmate complaint shall obtain the reporting party's name, return phone number and the inmate's name, booking number and housing facility. The receiving Department member shall inform the caller they will be contacted by the custody facility Watch Commander as soon as notifications are complete. It shall be the responsibility of the receiving member to ensure that the concerned watch commander is immediately notified regarding the complaint.

Complaints received from inmates after they have been released shall be processed on an Inmate Complaint Form (not a Watch Commander Service Comment Report form) pursuant to Custody Division Manual policy regarding "Inmate Complaints." Complaints received by a Watch Commander at a Station or Custody Facility, other than the facility at which the inmate was housed, shall be documented along with the inmate's personal information for notification, and forwarded to the appropriate facility Watch Commander to process.

NOTE: Members of the public who are unable to speak and/or write in English should be encouraged to submit the information in their native language.

The Watch Commander completing the Service Comment Report form shall fill in the information provided by the person offering the comment. The Watch Commander shall not require anyone who has responded to the Unit in person, or made contact by phone, to submit a commendation or complaint in writing at a later time.

The Watch Commander shall place a mark in the appropriate box indicating the nature of the comment, and shall mark the appropriate sub-category(s) as accurately as possible. The Watch Commander shall write a brief synopsis of the commendation or complaint in the "Synopsis of Contact/Event" section. This section is transferred verbatim into the data base and therefore it must be completed, even if the member of the public has furnished a written account of the event. The synopsis shall be restricted to 2 to 3 sentences so that the information fits into the data base field. Any written account provided by the member of the public shall be securely attached to the Service Comment Report form.

If the commendation or complaint involves more employees or parties than provided for on the form, the additional names shall be listed on a continuation page for involved employees (SH-R-437B). This page shall be labeled with the Service Comment Report serial number and be securely attached to the Service Comment form. The Watch Commander shall then print and sign his name and employee number on the face page of the form.

NOTE: Watch Commander Service Comment Reports shall be completed within 30 calendar days and forwarded to Division.

If a member of the public offers a comment in person or by telephone, the Watch Commander shall inform the person that he will receive a letter in the mail from the Unit Commander acknowledging the comment. During telephonic comments or complaints, the Watch Commander shall field the call on a taped line if equipment is in place to do so, and shall provide the person with the Service Comment Report number prior to the conclusion of the telephone call. If the comment or complaint is made in person, the Watch Commander shall also do the following:

- give the complainant the green copy of the Service Comment Report form; and
- give the complainant a copy of the document "Procedures for Public Complaints" [SH-CR-596 (English or Spanish version as appropriate)].

After the reporting party green copy has been detached, the Watch Commander shall fill out the remainder of the Service Comment Report form as thoroughly as possible. The Watch Commander may also write additional narrative on a memo explaining the commendation or complaint in greater detail, if necessary, to adequately inform the Unit Commander about the service comment. This is appropriate in those cases where the reporting party has not submitted a written account and the synopsis, although sufficient for defining the commendation or complaint for data entry purposes, does not provide adequate detail to allow the Unit Commander to make an informed evaluation. The Watch Commander shall then forward the remaining copies of the Service Comment Report form to the Unit Commander. Unit Commanders shall ensure that the Service Comment Report is completed and forwarded to the Discovery Unit within 60 days of receipt of the initial complaint.

Although it is the Unit Commander's responsibility to determine the appropriate supervisory response, in some cases the Watch Commander can conduct and document much or all of the review and submit the documentation with the Service Comment Report form for the Unit Commander's approval.

NOTE: When there are allegations of criminal misconduct, the Service Comment Report form shall be forwarded to the concerned Unit Commander immediately and confidentially. If such a complaint is filed at another Unit, the person completing the Service Comment Report form shall also verbally notify the concerned Unit Commander as soon as possible.

• 3-04/010.10 - Acknowledgment of Receipt of Public Input

The Commander of the Unit to which the subject of the commendation or complaint is assigned shall ensure that a letter is sent to the member of the public acknowledging receipt of the input. The letter shall be sent regardless of whether the public comment was made in person, by telephone, by electronic means, or by mail. The letter shall be accompanied by a receipt copy of the Service Comment Report form unless it is verified that it has already been given to the member of the public who offered the comment.

• 3-04/010.15 - External Commendations

External commendations fall into two categories - professional and public. Professional commendations are those received from government entities (law enforcement agencies, county departments, State/Federal agencies, etc.) or law enforcement associations (IACP, POALAC, PORAC, etc.) expressing appreciation for professional services provided by our personnel. Examples include commendations from the aforementioned sources for:

- a presentation or speech to a group;
- providing training to fellow peace officers or government employees;
- participation in a conference or focus group;
- consulting expertise;
- testimony at a trial or hearing; and/or
- assistance in multi-agency investigations.

Public commendations include those received from individual members of the public, businesses, corporations, associations, etc. They are generally received for providing the law enforcement, investigative, custody, or judicial services that our mission entails.

Both kinds of external commendations shall be documented on a Service Comment Report form and reviewed by the Unit Commander. The Unit Commander is responsible for determining whether a commendation is more appropriately classified as a “public” or a “professional” commendation.

NOTE: Correspondence commending members of other Units shall be forwarded to the concerned Unit for completion of a Service Comment Report.

The Unit Commander shall check the appropriate box in the section of the Service Comment Report labeled “Result of Service Review/Exoneration Request.” The Unit Commander shall ensure that the face page of the report is properly and completely filled out and shall ensure that any additional involved employees are listed on the continuation sheet.

The Unit Commander shall sign the Service Comment Report form and shall:

- file the yellow copy in a Unit file;
 - send a letter to the member of the public acknowledging receipt and appreciation for the commendation;
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- provide a copy to the employee and ensure that the commendation letter is placed in the employee's personnel file; and

NOTE: Do not put a copy of the SCR in the employee's personnel file.

- distribute the remaining copies as indicated on the form.
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• **3-04/010.20 - Service Complaints**

Service complaints provide valuable feedback about the Department's effectiveness in identifying and meeting community needs. The concerned Unit Commander shall review all service complaints with this in mind.

- follow-up actions shall be documented by the assigned Watch Commander in a memorandum and forwarded to the Unit Commander, who shall ensure that the memorandum is attached to the Unit copy of the Service Comment Report form;
- when a service complaint is handled to the satisfaction of the concerned Unit Commander, he shall mark the "Result" section of the Result of Service Review/Exoneration Request form, "Review completed; no further action required" and sign it, ensuring that the face page is filled out properly and thoroughly; and
- ensure that the involved employees are listed.

The Unit Commander shall:

- file the yellow copy of the Service Comment Report form in a Unit file;
 - provide the involved employee with a copy;
 - distribute the remaining copies as indicated on the form; and
 - send a letter to the complainant summarizing the results of the service review and informing the complainant that if he is dissatisfied with the results, the complainant may contact the Unit Commander (see Manual of Policy and Procedures, section 3-04/030.00, Procedures for Responding to Complainant Dissatisfaction with Department Service Reviews and Administrative Investigations).
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• **3-04/010.25 - Personnel Complaints**

The concerned Unit Commander is responsible for evaluating each personnel complaint to determine the appropriate supervisory response. The nature and seriousness of the allegation(s), the potential for employee discipline, and the concerned employee's performance history are potential factors to consider in the evaluation. Generally, the following courses of action are options:

- request that ICIB conduct a criminal investigation if there is reason to believe a crime has been committed. The request may be sent via e-mail from the concerned Division Chief or Division Director directly to the Captain of ICIB. (Use Exchange Group, "ICIB Investigation Request.");
 - request that IAB conduct an administrative investigation. The request may be sent via e-mail from the concerned Division Chief or Division Director directly to the Captain of IAB. (Use Exchange Group, "IAB
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Investigation Request.”);

- conduct a Unit level administrative investigation; and
- initiate a service review.

The selection of a given course of action does not preclude initiation of another course of action if the subsequent uncovering of facts justifies or mandates it.

If the Unit Commander requests a criminal investigation of a personnel complaint reported on a Service Comment Report form, he shall check the box labeled "Department Investigation" in the "Result of Service Review/Exoneration Request" section of the Service Comment Report form and sign it. The Unit Commander shall use discretion in deciding whether or not to notify the involved employee. All copies of the Service Comment Report should be attached to the memo requesting an internal criminal investigation. Preliminary data entry shall not be made in this case.

When the Unit Commander's evaluation of a personnel complaint results in the opening of a Unit-level or an IAB administrative investigation, he shall check the appropriate box in the "Result of Service Review/Exoneration Request" of the Service Comment Report form (either "Unit Level Investigation" or "Department Investigation"), and shall ensure that the administrative investigation file number is included. He shall then sign the report and provide the involved employee(s) with a copy.

When discipline is not an issue, and the complaint can be handled by a service review, the Unit Commander shall direct a Watch Commander or Supervising Lieutenant to gather the additional information necessary for a review and take appropriate steps to handle the complaint. The Watch Commander is encouraged to consider utilizing Department approved conflict resolution techniques. Conflict resolution techniques may be appropriate in certain situations wherein the complainant and the employee dispute the facts of the complaint and no other objective independent means for resolving the dispute exists. After the complaint is handled, the Watch Commander shall document his activities in handling the complaint in a memorandum to the Unit Commander. The documentation need only be sufficient to summarize the actions taken by the Watch Commander and the results of the review.

The Watch Commander shall also check the fact page of the Service Comment form and ensure that it is filled out completely and correctly. He shall confirm that the proper categories are marked reflecting the nature of the complaint and shall ensure that the "involved employee" information section is filled out and the additional involved employees are listed on the continuation sheet.

When a service review of a personnel complaint is completed to the satisfaction of the concerned Unit Commander, and a formal administrative investigation is deemed unnecessary, the Unit Commander shall complete the "Result of Service Review/Exoneration Request" section of the Service Comment Report. The box labeled "Exonerated" shall only be used in the following situations when it is established by clear and convincing evidence that:

- the employee was not personally involved or in any other way connected with the incident or incidents or allegation in question;
- the allegation giving rise to the investigation was demonstrably false and brought in demonstrable bad faith or by virtue of an obvious and demonstrable mental disease or defect; and
- the allegation in question, broadly construed and even if true, would not in any circumstance constitute a

violation of law or Department policies, rules, or procedures and is not otherwise censurable.

The Unit Commander shall designate the specific category of exoneration by marking the appropriate box.

Any disposition of exonerated must be fully documented in writing and the complete reasoning and rationale set forth. In addition, the Unit Commander shall complete and sign a "Result of Service Review/Exoneration Request" form, briefly summarizing the justification for exoneration. In all other circumstances, the Unit Commander shall check the appropriate disposition.

The Unit Commander shall sign the form and shall then:

- file the yellow copy of the Service Comment Report form in a Unit file;
- provide the employee with a copy of the completed Service Comment Report form;
- distribute the remaining copies as indicated on the form, accompanied by any lists of additional names that did not fit on the fact page; and

NOTE: For all service reviews which result in a finding of "Exonerated," intact SCR shall be routed to the concerned Division headquarters accompanied by the "Result of Service Review/Exoneration Request" for review, and signature at the bottom, by the concerned Division Chief or Division Director.

- send a letter to the complainant summarizing the results of the service review and informing the complainant that if he is dissatisfied with the results, the complainant may contact the Unit Commander or County Ombudsman (see Manual of Policy and Procedures Section 3-04/030.00, Procedures for Responding to Complainant Dissatisfaction with Department Service Reviews and Administrative Investigations).

NOTE: The Chief of the Professional Standards Division is responsible for reviewing all Service Comment Reports with an "Exonerated" result. This ensures Department-wide consistency in the interpretation of policy governing use of the "exonerated" result.

• 3-04/010.30 - Retention of Service Comment Reports

The retention period for Service Comment Reports is five years. The attendant documentation (original letter of complaint, reference paperwork, audio/video tapes) shall be filed with the final Service Comment Report at Professional Standards Division.

NOTE: The retention period at Stations and Bureaus is two years.

• 3-04/010.35 - Public Accessibility to Information About the Complaint Process

Each Bureau, Station and facility shall maintain a supply of the Department forms SH-CR-596 and SH-CR-596A (Spanish version). These forms, entitled "Procedures For Public Complaints," explain how the Department conducts complaint inquiries. The forms also inform the public of their recourse in the event of

dissatisfaction after a complaint is handled. The forms shall be kept with the Watch Commanders, not at the public counter, and are to be issued only at the discretion of the Watch Commander.

Additionally, the Professional Standards Division is responsible for furnishing the County Chief Administrative Officer with a supply of pre-addressed "business reply mail" public complaint forms for distribution to non-Sheriff's County facilities. The forms may also be maintained at contract city offices at the discretion of the contract city. Each mail-in form has a copy of "Procedures For Public Complaints" attached to it. These forms facilitate the public's ability to lodge complaints by enabling a person who is hesitant to visit a Sheriff's facility to mail his complaint.

These forms are not to be used or provided to complainants in lieu of the Watch Commander's completing the Service Comment Report. The forms shall not be maintained at public counters at Station, jails, etc., except at Station area store front sites, which have no on-site Watch Commander.

Watch Commanders are authorized to keep a supply of these forms for their personal issuance to the occasional complainant who insists on having a form to fill out and refuses to cooperate with the Service Comment Report procedures.

• **3-04/020.00 - Administrative Investigations**

[Title Only]

• **3-04/020.05 - Initiation of Administrative Investigations**

Upon receipt of a personnel complaint or upon notification that a personnel incident involving possible misconduct has occurred, a Unit Commander or higher ranking executive may order an administrative investigation.

Administrative investigations may be conducted by the concerned Unit, at the direction of the Unit Commander, or may be conducted by the Internal Affairs Bureau.

Only a Division Chief or Division Director or above may request an administrative investigation by the Internal Affairs Bureau. A Division Chief's or Division Director's decision to request an investigation by Internal Affairs Bureau shall be based upon the severity, complexity, and/or the far-reaching effect that the incident may have or may produce. All requests for Internal Affairs Bureau to conduct an administrative investigation shall be initiated by written memorandum (SH-AD-32A) from the concerned Division Chief or Division Director to Captain of Internal Affairs Bureau. The memo may be sent via e-mail (Use Exchange Group, "IAB Investigation Request").

When an administrative investigation is the result of a complaint from the public, the sequential number of the Watch Commander's Service Comment Report shall be referred to in the memorandum requesting the investigation.

NOTE: Upon receipt of a citizen's complaint or an internally initiated complaint of employee

misconduct, the concerned Unit Commander shall review the incident for the purpose of determining if it involves criminal culpability on the part of the accused Department member(s). If the Unit Commander determines that criminal culpability may exist, he shall, through channels, discuss the matter with his Division Chief or Division Director. If the Division Chief or Division Director feels that criminal culpability may exist, he will direct that an investigation be conducted by the Internal Criminal Investigations Bureau. Requests for an ICIB investigation shall be initiated by written memorandum (SH-AD-32A) from the concerned Division Chief or Division Director to the Captain of ICIB. The memo may be sent via e-mail (Use Exchange Group, "ICIB Investigation Request").

If a criminal investigation is conducted and there appears to be no basis for filing or insufficient evidence for prosecution, the Internal Criminal Investigations Bureau will close the case and will notify the concerned Unit Commander and Division Chief or Division Director of the reasons for the closure. It is the responsibility of the Unit Commander to assess the case and to determine whether or not an administrative investigation is warranted. If so, the administrative investigation can be completed at the Unit level or by Internal Affairs Bureau if the case meets the criteria for investigation by IAB.

NOTE: A request for Internal Affairs Bureau to conduct the investigation shall be initiated by written memorandum from the Division Chief or Division Director to the Captain of Internal Affairs Bureau.

NOTE: Criminal prosecution of a complainant charged with Resisting Arrest, Interfering with a Peace Officer or Assaulting a Peace Officer may be cause for delaying the commencement of an administrative investigation. Depending on the circumstances of the case, the concerned Division Chief or Division Director will determine whether to proceed with the administrative investigation or to postpone it until adjudication of the criminal proceedings. In the event an administrative investigation is delayed, the complainant shall be notified that the investigation will commence at the close of criminal proceedings.

• 3-04/020.06 - Administrative Investigations - Constitutional Policing Advisors

Constitutional policing advisors (CPAs) shall be afforded the opportunity to review investigative, disciplinary, and other documents generated or received by this Department.

CPAs shall be afforded access to internal or external investigation, communication, and/or memorandum including, but not limited to, personnel investigations (whether conducted by an individual bureau, station, unit, detail, the Internal Affairs Bureau, or the Internal Criminal Investigations Bureau); Homicide Bureau investigations into any deputy-involved shooting or inmate death; any use of force investigation or investigation into a non-hit deputy-involved shooting; any civil claim or lawsuit information; any Watch Commander's Service Comment Report and attendant documentation; and/or any other similar document as necessary.

If a CPA determines a case requires additional investigation, the concerned unit commander shall discuss the case with the CPA to determine the level of additional investigation proposed. Any dispute regarding the need for and/or scope of additional investigation shall be addressed by the CPA through the concerned unit commander's chain of command.

The case shall then be forwarded to the concerned area commander and division chief or division director, irrespective of the disposition, for review. If a CPA did not concur with the findings and/or discipline, no disposition shall be made until after the CPA has had the opportunity to address the case through the Department's chain of command. No proposed disposition shall be communicated to the involved employee(s) until after the CPA has been provided the opportunity to address the case through the concerned unit commander's chain of command.

If an employee appeals the findings or discipline after the letter of imposition has been served, the concerned division chief or division director shall consult the CPA prior to offering the employee a settlement agreement changing the findings or discipline.

Before making a final determination to inactivate a case, the division chief or division director shall consult the CPA.

• **3-04/020.10 - Employee Relieved of Duty for Disciplinary Reasons**

An employee may be relieved of duty by the unit commander or their designated representative at the direction of the unit commander (or higher) with the concurrence of the unit commander's division chief or division director, or by representatives from the Internal Affairs Bureau (IAB) when acting on behalf of the division chief, division director, or higher. The member relieving an employee of duty must make immediate notification to the employee's chief or division director and respective assistant sheriff.

Criteria for Relieving Personnel of Duty

- Allegation(s) could result in demotion or discharge;
- Off-duty, alcohol-related incident accompanied by an aggravating factor (e.g., traffic collision, criminal misconduct, or the employee was belligerent, disrespectful, and/or uncooperative with representatives from the arresting agency);
- Driving under the influence (DUI) arrest of a sworn employee;
- Felony arrest;
- Felony charges filed;
- Workplace violence incident that justifies confiscating the employee's duty weapon and/or removing the employee from the workplace;
- Firearms seized as a result of a temporary restraining order (usually in connection with an arrest for domestic violence); and/or
- Probationary employee (allegation(s) are serious such that the employee's probationary period may need to be extended pending resolution of the investigation).

NOTE: The extension of the employee's probationary period requires written notification to Personnel Administration Bureau and the employee, who must be personally served.

If the Case Review Committee has met and concurred with a chief's recommendation to demote or discharge an employee as a result of a founded administrative investigation, the unit commander is responsible for ensuring that the employee is relieved of duty if the employee had not already been relieved of duty. In this situation, the employee shall be assigned to their residence.

Service of Letters of Intent or Imposition shall take into account if an employee is on medical leave or has a pre-approved vacation, and/or other authorized leave. If so, then that leave shall not be interrupted. However, the employee can also be relieved of duty at the same time.

See Manual of Policy and Procedures (MPP) section 3-01/040.20, regarding relieving an employee of duty in connection with a disciplinary suspension, and MPP section 5-07/270.20 regarding mandatory subpoena compliance by personnel on suspension.

Assign to Home or to a Relieved of Duty Position

The decision to assign the employee to their residence or to a relieved of duty position should take into consideration the need to completely remove the employee from the workplace. The following may justify assigning the employee to their residence:

- The employee is under investigation for theft from the workplace;
- The employee poses a threat to co-workers;
- The employee could be discharged;
- The Department has knowledge the employee is involved in a criminal investigation by another law enforcement agency;
- To prevent the employee from having/retaining access to law enforcement databases; and/or
- There is a legitimate concern about witness intimidation or retaliation.

NOTE: If a division chief or division director wants to subsequently reassign a relieved of duty employee from their residence to a relieved of duty position, the division chief or division director shall first obtain the authorization from the concerned assistant sheriff.

An employee reassignment to a relieved of duty position shall not include duties working in the capacity of executive aide, unit/division operations, or coveted positions.

Concerned Unit's Responsibilities

IAB is responsible for monitoring the investigations of all Department employees who have been relieved of duty for disciplinary reasons.

IAB shall be promptly notified in all cases when an employee has been relieved of duty for disciplinary reasons. The employee's unit shall contact IAB telephonically as well as complete the IAB Mandatory Notification form and email it to the IAB Mandatory Notification email group.

In relieving an employee of duty, the supervisor or manager acting on behalf of the Department shall:

- Complete a Relieved of Duty Admonition and Receipt (SH-AD-392S or SH-AD-392C) in duplicate with one copy issued to the employee and one copy entered into the investigative file;
- Obtain the current home address and phone number(s) from the employee;
- Take custody of any Department identification and County firearm. They shall be distributed as follows:
 - County firearm returned to the Logistics section, Sheriff's Training and Regional Services Center and a receipt obtained;
 - Uniform badge, flat badge, cap piece, and identification card returned to Personnel Administration Bureau and a receipt obtained; and
 - Portable radio returned to Communications and Fleet Management Bureau – Logistics Unit and a receipt obtained.
- Telephone IAB and provide the employee's name and unit of assignment. If a sworn employee is to be reassigned to a relieved of duty position, IAB will facilitate the issuance of a County employee identification card; and
- Advise the employee that participating in any California Police Athletic Federation sanctioned event, Department sanctioned individual or team activity or sporting event, or engaging in physical conditioning or training at any Department facility is prohibited while on relieved of duty status.

NOTE: Personnel Administration Bureau's Time Accounting Unit shall maintain all relieved of duty (ROD) employees time until an employee returns to duty or is discharged.

The employee's unit of assignment's scheduling staff or unit time accountant shall send the employee's daily/weekly time card, indicating that the employee was placed on ROD status to Personnel Administration Bureau's Time Accounting Unit. ROD employees shall be placed on a 5/40, Monday through Friday work schedule.

ROD employees may elect to use vacation/sick leave while on ROD status, with prior approval from their unit commander. Once approved, the Absence Request form shall be attached to the employee's daily/weekly time card that is sent to Personnel Administration Bureau's ROD coordinator. The elected variance shall be deducted from the employee's leave balance for that pay period.

Procedure for Returning Relieved of Duty Personnel to Full Duty During an Open Investigation

The return of a relieved of duty employee to full duty during the course of an ongoing investigation requires the concurrence of the concerned assistant sheriff or the Sheriff in the following manner:

- If a division chief or division director wants to return an employee to full duty, they shall contact the concerned assistant sheriff, explain the reason(s) for the change in status, and obtain the assistant sheriff's concurrence, via memorandum; and
- IAB and the Personnel Administration Bureau's Time Accounting Unit shall be notified by the relieved of duty employee's unit commander when the relieved of duty employee has been returned to full duty. The signed concurrence memorandum from the assistant sheriff shall be forwarded to IAB.

NOTE: Employees who are relieved of duty in connection with a criminal investigation shall not be returned to full duty until the resolution of both the criminal investigation and associated administrative investigation. Any exceptions shall be approved by the concerned assistant sheriff.

Unit Commander's Responsibility for Returning Relieved of Duty Personnel to Full Duty

The items below shall be accomplished within three months, absent extenuating circumstances. The employee shall be kept on restricted duty pending the completion of these items.

When an employee is to be returned to full duty from ROD status, the unit commander is responsible for accomplishing the following:

- Completing a check of the Performance Recording and Monitoring System (PRMS) to determine if there are any pending cases;

- Ensuring all certifications are up-to-date, e.g., motorcycle qualification, continued professional training (CPT), and other Department training that may be applicable;

NOTE: Sworn Department members must obtain their firearms qualification

with immediacy upon return to full duty.

- Ensuring the employee attends patrol school if they are returning to a patrol assignment and the ROD status has exceeded five years;
- Assessing the advisability and any potential risks of returning the employee to the unit of assignment from which they were placed on ROD status, and then making a recommendation to the division chief;
- Ensuring any overdue performance evaluations are prepared for service to the employee upon their return to work, as well as verifying the status of the employee's driver's license, personal information (residence, phone numbers, vehicle information, emergency contact, beneficiary, and outside employment) and;
- Ensuring any outstanding letter of intent or imposition is timely served on the employee.

The unit commander shall personally meet with the returning employee and welcome them back to work.

The unit commander, or their designee, shall notify the employee of any pending investigations and evaluations, and shall notify the employee of their work assignment, shift, and regular days off (RDOs). When appropriate, the services of Psychological Services Bureau shall be offered.

To ensure a more comfortable transition into the field or respective unit of assignment, the unit commander shall designate a supervisor as a mentor for the returning employee for a period of six weeks to three months. The mentor/supervisor should be in a position long enough to assist the employee's transition. The mentor/supervisor shall provide copies of any changes which have taken effect during the employee's ROD status to the MPP, Field Operations Directives, Custody Division Manual, and any changes or updates to station/unit orders.

ATTACHMENTS

[Sworn Relieved of Standard Duty Admonition and Receipt SH-AD-392S](#)

[Civilian Relieved of Standard of Duty Admonition and Receipt SH-AD-392C](#)

• 3-04/020.12 - Supervisors' and Managers' Responsibility for Ensuring the Timely Completion and Adjudication of Administrative Investigations

Department supervisors are responsible for completing administrative investigations in a timely manner (within 120 calendar days before the expiration of the statute date for cases involving sworn personnel and, absent good cause, shall be completed within 240 calendar days of the initiation of the administrative investigation for cases involving non-sworn personnel).

Department managers are responsible for adjudicating administrative investigations in a timely manner (within 30 calendar days after completion of the investigation and no later than 90 calendar days before the statute date for cases involving sworn personnel and within 30-90 calendar days after completion of the investigation for cases involving non-sworn personnel).

With respect to sworn Department members, California state law requires that the letter of intent to discipline be served prior to the expiration of the one-year statute date, which generally is one year from the date the Department became aware of the incident that gave rise to the intended discipline.

Department supervisors shall be held accountable if the delay in completing an administrative investigation results in the letter of intent not being served prior to the expiration of the one-year statute date.

Department managers shall be held accountable if the delay in adjudicating an administrative investigation results in the letter of intent not being served prior to the expiration of the one-year statute date.

Division chiefs/directors shall track and monitor the status of all open administrative investigations of personnel within their command to ensure that the provisions of this section are fulfilled.

• **3-04/020.15 - Administrative Investigation Procedures**

Refer to the Administrative Investigations Handbook, published by Internal Affairs Bureau, for current procedural information.

• **3-04/020.18 - Use of Commemorative Book Photographs**

The Sheriff's Department's Commemorative Book photographs exclusively contained therein and/or accessible via other means, including any electronic medium, SHALL NOT BE USED in any investigative identity search concerning Sheriff's Department employees for alleged administrative policy violations and/or criminal misconduct in any investigation conducted by Los Angeles County Sheriff's Department personnel at the unit level, or by representatives assigned to Internal Affairs Bureau (IAB), or Internal Criminal Investigations Bureau (ICIB).

• **3-04/020.20 - Inactivation of Administrative Investigations**

Inactivation of administrative investigations requires the approval of the concerned Division Chief or Division Director. Inactivation shall not occur merely because a complainant withdraws the complaint. There must also be independent reasoning that indicates that the alleged misconduct did not occur or that all investigative

leads have been exhausted. All complainants who withdraw their complaint prior to the completion of an administrative investigation shall be queried as to the reason for the withdrawal. The investigator shall ask each such complainant if any Department member, or anyone else, has discouraged or intimidated the complainant in any way.

A request to inactivate an administrative investigation shall be in the form of a memo from the concerned Division Chief or Division Director to the Captain of Internal Affairs Bureau, detailing the reasons for the inactivation.

• **3-04/020.25 - Administrative Investigation Terminology**

- Exonerated – a complaint shall be classified as exonerated when the investigation establishes by clear and convincing evidence either (1) that the employee was not personally involved or in any other way connected with the incident or incidents or allegation in question or (2) that the allegation giving rise to the investigation was demonstrably false and brought in demonstrable bad faith or by virtue of an obvious and demonstrable mental disease or defect or (3) that the allegation in question, broadly construed and even if true, would not, in any circumstance, constitute violation of law or Department policies, rules, or procedures and is not otherwise censurable. Any disposition of exonerated must be fully documented in writing and the complete reasoning and rationale set forth;
- Founded – when the investigation that the allegation is true, and when the action on the part of the Department members is prohibited by law or Department policy;
- Unfounded – when the investigation establishes by a preponderance of the evidence that the allegation is not true; and
- Unresolved – when the investigation fails to resolve the conflict between the complainant's allegation and the Department member's version of the incident; when there is no preponderance of the evidence to support either version of the incident.

These terms shall be applied individually to each allegation contained within an incident or complaint.

• **3-04/020.28 - Effective Date of Revisions to Findings**

The revisions to the definitions of categories of findings shall take effect upon approval of this manual subsection but shall not be applied retroactively, in order to preserve the consistency of historical records.

• **3-04/020.30 - Internal Administrative and Criminal Investigations**

All administrative investigations, whether investigated by the unit or the Internal Affairs Bureau (IAB), shall be completed 120 calendar days before the expiration of the statute date for cases involving sworn personnel and, absent good cause, shall be completed within 240 calendar days from the date of Department knowledge for cases involving non-sworn personnel.

When an administrative investigation is completed at the unit level, the unit commander shall adjudicate the case and determine an appropriate disposition. The case shall then be forwarded to the concerned area

commander, division chief, or division director for review. The case shall be forwarded to the constitutional policing advisor (CPA), if the case is being monitored by the CPA, for review.

When an administrative investigation is completed by IAB, the completed case file shall be sent to the unit commander of the unit that the subject(s) was assigned to at the time the incident occurred, or to the unit where the subject was working overtime, CARPing, or loaned at the time the incident occurred, and to the CPA, if the case is being monitored by the CPA, within five business days. The unit commander shall adjudicate the case and determine an appropriate disposition. The case shall then be forwarded to the concerned area commander and division chief or division director, for review.

NOTE: Department managers shall consult with a CPA on cases being monitored by the CPA and should consult with the Advocacy Unit when adjudicating an investigation.

The disposition sheet shall be prepared by the unit that adjudicates the case and processed through the concerned division. It shall be forwarded to IAB (along with the completed investigation) according to the following time frames:

- Within 30 calendar days after completion of the investigation and no later than 90 calendar days before the statute date for cases involving sworn personnel; or
- Within 30 to 90 calendar days after completion of the investigation for cases involving non-sworn personnel.

The area commander and division chief or division director shall review all adjudicated investigations. The concerned unit commander may impose a written reprimand or a suspension of up to 15 days for violations of the Department's Manual of Policy and Procedures.

The concerned division chief or division director may impose a suspension of 16 to 30 days.

NOTE: Division chiefs and division directors may, without further review, remove an employee from bonus status ("Bonus removal") for a violation(s) of the Manual of Policy and Procedures.

When a division chief or division director determines that the discipline is to be a demotion or discharge, the case shall be presented to the Department's Case Review Committee no later than 45 calendar days prior to the expiration of the statute for cases involving sworn personnel. The committee will assess the factors pertaining to the findings and discipline.

Criminal investigations of employees are monitored by IAB:

- When an internal criminal investigation is completed (which is the date the Internal Criminal Investigations Bureau (ICIB) Captain signed the ICIB case cover), ICIB shall advise the employee's unit, IAB, and the CPA within five business days of the completion. ICIB shall also provide IAB with a copy of the criminal investigation within five business days. IAB will close the criminal monitor and forward the investigation to the unit within ten business days. The unit must review the criminal investigation and make a recommendation regarding the disposition to the concerned area commander and division chief or director within ten business days. The recommendations include inactivation, referral for administrative investigation by IAB, or initiation of a unit-level administrative investigation; or
- When IAB receives a completed outside agency criminal investigation, IAB shall advise the CPA within five business days of receipt of the criminal investigation, and shall close the criminal monitor and forward the criminal investigation to the employee's unit within ten business days. The unit must review the investigation and make a recommendation regarding the disposition to the concerned area

commander and division chief or division director within ten business days. The recommendations include inactivation, request for an administrative investigation by IAB, or initiation of a unit-level administrative investigation.

• **3-04/020.35 - Notification to Complainant**

Within 30 days of the completion of the investigation, the investigating Unit is responsible for notifying the complainant, in writing, of the results.

• **3-04/020.40 - Discipline**

Refer to the Administrative Investigations Handbook and the Guidelines for Discipline for procedural information on administering discipline.

It is the responsibility of the unit commander to ensure that all letters of intent to impose discipline and letters of imposition are personally served on the subject(s) of an administrative investigation in a timely manner. Any requests made for time off by an employee with an open administrative investigation must be approved by the unit commander. The unit commander shall ensure that subordinate personnel (or the subject's current unit commander if the subject has transferred to another unit) do not grant the subject time off in any manner that may prevent timely personal service of a letter of intent to impose discipline. Granting a subject time off in any manner that results in the failure of timely personal service of a letter of intent to discipline constitutes a violation of this policy.

• **3-04/020.45 - Retention of Investigative Records and Documents**

All records, correspondence, documents or other materials relating to an administrative investigation, not otherwise entered electronically into the Performance Recording and Monitoring System, shall be forwarded to Internal Affairs Bureau for filing. No administrative investigation copies shall be retained at the Unit level.

NOTE: This procedure shall also be followed when discipline, including a written reprimand, is to be imposed for preventable traffic accidents. However, adherence to the above procedure does not exempt the Unit from compliance with the distribution requirements outlined in Volume 3, chapter 9.

NOTE: Previously, Internal Affairs Bureau investigative files were purged after five (5) years. All investigative files maintained at Internal Affairs Bureau shall now be retained indefinitely.

• **3-04/020.50 - Grievance Procedures**

Employees are entitled to grieve intended discipline. Refer to the appropriate MOU and MPP section 3-02/150.00 for procedural information.

- **3-04/020.60 - Delegation of Disciplinary Matters**

Unit commanders may impose a written reprimand or suspension of up to 15 days for violations of the Department's Manual of Policy and Procedures.

Division chiefs and division directors may recommend a suspension of 16 or more days, a demotion, or discharge. Those cases shall be presented to the Department's Case Review Committee for approval.

NOTE: Division chiefs and division directors may, without further review, remove an employee from bonus status ("Bonus Removal") for a violation(s) of the Manual of Policy and Procedure.

- **3-04/020.80 - Modify Findings And/Or Discipline**

If a division chief or division director is considering changing the findings and/or discipline after conducting a Skelly or grievance hearing in an investigation for which a determination has already been made and approved by the Case Review Committee, then the division chief or division director shall present the reason(s) to the Case Review Committee at a re-hearing. A re-hearing is not required if authorization for a modification was given by the Case Review Committee at the time of the original hearing.

There must be sound justification for changing findings and/or discipline. When considering making a change, the division chief or division director shall confer with the chair of the Executive Force Review Committee (EFRC), Executive Traffic Risk Review Committee (ETRRC), and/or Equity Oversight Panel (EOP) if the case was heard by one of those panels. In the event the chair opposes the suggested change, then the division chief or division director shall obtain concurrence of the assistant sheriff to request a re-hearing by the Case Review Committee.

If discipline has been imposed and the discipline is being appealed to the Civil Service Commission and there are discussions about settling the case, the division chief or division director shall consult with a constitutional policing advisor and then obtain concurrence from the Undersheriff prior to entering into a settlement agreement.

- **3-04/030.00 - Procedures for Responding to Complainant Dissatisfaction with Department Service Reviews and Administrative Investigations**

The Department provides recourse for public complainants who are dissatisfied with the outcome of a service

review or an administrative investigation of their complaint. The options available to the complainant for an additional review of the complaint, and the Department's handling of and response to it, depend on how the complaint was originally processed.

• **3-04/030.05 - Department Procedures for Responding to Complainant Dissatisfaction -- Department Service Reviews**

Every public complainant whose complaint is handled by means of a service review shall be sent a letter, signed by the concerned unit commander, providing feedback on the outcome of the review. The letter will inform the complainant that if he/she is dissatisfied with the results of the review, the complainant may contact the unit commander within 10 business days of the date of the letter.

If the complainant chooses to discuss his dissatisfaction with the unit commander, the unit commander shall evaluate the complainant's explanation for his/her dissatisfaction with the review. In response, the unit commander shall determine whether or not the review already conducted has been thorough and fair and do one of the following:

- Discuss the review with the dissatisfied complainant in an effort to alleviate their concerns;
 - Personally conduct a conflict resolution session with the dissatisfied complainant and the concerned employee;
 - Order additional steps to be taken to complete the review process;
 - Initiate an administrative investigation, if appropriate.
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• **3-04/030.10 - Department Procedures for Responding to Complainant Dissatisfaction -- Administrative Investigations**

Every public complainant whose complaint is investigated by means of an administrative investigation shall be sent a letter, signed by the concerned unit commander, providing feedback on the outcome of the investigation. The letter will inform the complainant that if he/she is dissatisfied following completion of an unfounded or unresolved investigation, the complainant has an option to call the unit commander within 10 business days of the date of the letter.

If the complainant chooses to discuss his dissatisfaction with the unit commander, the unit commander shall carefully listen to the complainant's explanation and determine whether any avenues yet remain, at the unit-level, for satisfying the complainant. The unit commander should explain to the complainant any significant factors that influenced his decision to classify the investigation as either unfounded or unresolved. The unit commander may consider utilizing the conflict resolution process, if the circumstances indicate that such an option might facilitate satisfaction, or enhance communication or understanding between the respective parties.

• **3-04/040.00 - Audit and Accountability Bureau**

The mission of the Audit and Accountability Bureau (AAB) is to provide an independent, objective, thorough analyses designed to assess and improve our policies, procedures, and practices. AAB supports the Department in accomplishing its objectives by undertaking systematic disciplined audits and non-audit functions in the effectiveness of the Department's risk management, internal controls, and governing processes. In doing so, AAB assists in bringing transparency and accountability to the Department's operations and management.

• **3-04/040.10 - Audit and Accountability Bureau Purpose and Authorization**

Audit and Accountability Bureau (AAB) is granted Departmental internal oversight authority by the Sheriff, and reports directly to the Undersheriff. With certain exceptions for in-progress criminal investigations, AAB is granted complete access to all Department records (manual or electronic), Department facilities, physical properties, and personnel relevant to audits and non-audit functions, including but not limited to all search warrants, confidential informant packages, arrest and incident reports, complaint inquiries, criminal investigations, administrative investigations, use of force investigations, electronic communications, personnel records, and any documents deemed necessary. All documents and information provided to internal auditors during an audit will be handled with confidentiality and due consideration.

In the furtherance of the Department's commitment to both transparency and its cooperation with oversight agencies, the AAB is designated by the Sheriff as the primary organization within the Department to record and maintain document requests received from the Office of Inspector General (OIG) and the Civilian Oversight Commission (COC).

To ensure all oversight agency requests are tracked and fulfilled in a timely manner, Department personnel under the rank of chief are required to direct all oversight agency requests for records or other information to AAB. Department personnel holding the rank of chief or higher may, if deemed appropriate, provide information and or records directly to a requesting oversight agency; however, a copy of the oversight agency's original request as well as any documents or records provided to the agency shall be promptly forwarded to AAB so that the request can be formally logged and tracked.

All oversight agency requests for documents shall be directly forwarded to AAB for tracking.

Additionally, AAB shall receive and record any requests by oversight agencies to access any Department maintained electronic records management systems and log the granting or denial of access.

NOTE: Notwithstanding the above, this policy does not prohibit Department personnel from communicating with oversight agencies to clarify what information is being requested in order to determine whether the Department possesses the information and is the appropriate entity to provide it to the requestor.

• **3-04/040.20 - Organizational Independence**

The Captain of AAB reports directly to the Sheriff. All audits and non-audit functions shall be authorized by the Sheriff or his designee.

In order to maintain the objectivity and independence of its staff, AAB personnel shall not have direct responsibility or authority over any of the activities or operations they audit. AAB is prohibited from developing and installing Department policies and procedures pertaining to audits.

AAB staff may assist the Department in an advisory capacity to evaluate existing or planned operating systems, controls, policies, and related procedures. AAB may also assist in making recommendations for modifications and improvements.

• **3-04/040.30 - Audit and Accountability Bureau Responsibilities**

The Audit and Accountability Bureau shall, at the direction of the Sheriff or his designee:

- Conduct Law Enforcement Performance Audits;
 - Develop an annual audit plan;
 - Be guided by Generally Accepted Government Auditing Standards;
 - Conduct non-audit functions, examinations, reviews, agreed upon procedures, and special projects;
 - Serve as a resource to other Department units in conducting audits;
 - Review established systems, policies, and procedures to evaluate compliance with laws and regulations;
 - Evaluate plans and actions taken to correct reported issues and concerns;
 - Convene Shooting Analysis Committee meetings and assess employee involved shootings and critical incidents when called upon by policy and/or the Critical Incident Review Panel;
 - Serve as the liaison to the Office of the Inspector General, and Civilian Oversight Commission regarding requests for Department records;
 - Serve as the liaison to oversight agencies regarding requests for either one time or ongoing access to any Department maintained electronic data processing and or records management systems; and
 - Maintain a copy of all documents/records provided to oversight agencies along with a tracker for such requests, dispositions and related information.
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• **3-04/040.40 - Audit and Accountability Bureau Reporting Procedures**

Following each audit and non-audit functions, the Audit and Accountability Bureau (AAB) Captain will be responsible to prepare and issue reports to the Sheriff and, upon approval, distributed as directed to affected command(s), and the Office of Inspector General (OIG) of Los Angeles County. Audit recommendations will be tracked and status updates will be reported to the Sheriff by AAB.

Following the receipt of a records requests from the OIG or the Civilian Oversight Commission (COC), AAB will expeditiously process such requests in accordance with documented business processes. The business process shall include but not be limited to the following actions:

- Identify which division, bureau, and/or unit has responsibility/custody of the requested records;
- Forward request to the unit responsible for maintaining information so they may determine if the requesting agency is entitled to receive the requested information;
- Determine if the requested records exist and are held by the Department;
- Coordinate with the division, bureau, and/or unit that has custody of the records and request that the records be provided to AAB if deemed authorized for release;
- Use good faith efforts to work with the division, bureau, and/or unit to ensure they provide a complete and accurate response;
- Inform any unit of its responsibility to provide AAB with information or documents only after proper/necessary redactions have been made in conformance with state and federal statutes, Department policies, or other regulations;
- Create any required disclosures and/or disclaimers applicable to the records to be provided;
- Establish and maintain an electronic records request tracking system which shall at a minimum record:
 - Date of the request;
 - Date the request was received by the Department;
 - Requesting party (including contact information);
 - Details of the request;
 - Details of the records provided;
 - Date the records were provided to the requesting party (or, if no responsive records were located and/or provided, log a detailed explanation why; and
 - A unique tracking number for each request.

• **3-04/050.00 - Corrective Action Plans**

Pursuant to protocols established by the Los Angeles County Board of Supervisors, in lawsuits where the liability settlement or judgment exceeds \$100,000, a Corrective Action Plan (CAP) (confidential document) and a Summary Corrective Action Plan (SCAP) (a public record) must be produced. The Summary Corrective Action Plan (SCAP) mirrors the Corrective Action Plan, but removes all confidential information and is intended as a public document that will be posted on the Board of Supervisors agenda.

Corrective Action Plans will be produced and developed by the concerned division chief, area commanders, and unit commanders. The premise behind this process is that those units closest to the issues at hand can best rectify any remedial action needed and emphasize the importance of risk management to line level personnel. Risk Management Bureau will assist the divisions and units by providing guidance as well as managing and coordinating the Corrective Action Plan process.

- **3-04/050.20 - Corrective Action Plan Process, Review, and Approval**

When Risk Management Bureau receives a request for a Corrective Action Plan (CAP) and a Summary Corrective Action Plan (SCAP), it will be forwarded to the concerned division chief and unit commander. The division and/or unit needs to assess and evaluate the incident and then complete a CAP and SCAP. Once approved by the concerned division chief and unit commander, the CAP and SCAP shall be forwarded to Risk Management Bureau within 30 days of the request. Risk Management Bureau will process the final document and then forward it to the Chief Executive Office for final distribution.

Since the Los Angeles County Board of Supervisors and Chief Executive Office have imposed strict deadlines on the submission of Corrective Action Plans, immediate attention to these documents is imperative. After the documents are submitted to the County, the approval process begins.

A concerned division executive will be responsible for attending the Claims Board and Public Safety Cluster Agenda Review (CAR) meetings to present and justify the actions in the CAP. The CAP will then be forwarded to the Los Angeles County Board of Supervisors for final approval.
