



SHOREWOOD HILLS POLICE DEPARTMENT STANDARD OPERATING PROCEDURES

Citizen Complaints and Internal Affairs

Purpose

To promote the integrity of the Shorewood Hills Police Department (SHPD) by establishing procedures that will allow citizen complaints and assure the prompt and thorough investigation of alleged or suspected employee misconduct. Such procedures will document circumstances on the date of the initial report, exonerate the innocent, establish responsibility and accountability, and facilitate prompt and just disciplinary action if appropriate.

Policy

It is the policy of the SHPD that all incidents of alleged or suspected violations of law, ordinances, or department rules, regulations, policy, or SOP must be investigated and reported in writing. The incidents include those reported to any officer by:

- Members of the department, either orally or in writing.
- Citizens (including prisoners) in person, by telephone, by correspondence, either signed or anonymous.
- Those violations observed or suspected by officers.

The department encourages citizens to bring forward any legitimate complaint regarding misconduct by employees. It also recognizes that false complaints are occasionally made against the agency or its employees. Nevertheless, all complaints must be investigated to protect the integrity of the agency and its employees and to instill public confidence in the agency. In some cases, the extent of an investigation may be limited to substantiating the falsity of a complaint.

This policy ensures that WI State Statute 66.0511(3) is adhered to by the department, which has a specific written procedure that is available for public scrutiny for processing and resolving a complaint by any person regarding the conduct of a law enforcement officer or other member employed by the department.

Definitions

Criminal investigation means the process of investigation into alleged acts of misconduct that, if substantiated, may be the basis for filing criminal charges.

Informal inquiry means a meeting between supervisory personnel and an employee who has become the subject of a procedural or misconduct complaint for the purpose of mediating the complaint or discussing the facts to determine whether a formal investigation should be initiated.

Internal affairs coordinator means the SHPD Lieutenant of Police, who shall have the authority and responsibility of coordinating the internal affairs function.

Internal investigation means the process of investigation into alleged acts of misconduct that, if substantiated, may be the basis for filing administrative charges.

Minor misconduct complaint means a complaint based on allegations of minor misconduct by employees of the department. Examples of minor misconduct include, but are not limited to, rudeness or verbal abuse by an officer, traffic infractions by an officer, minor rules and regulations violations, etc. A

determinant of minor misconduct is that the alleged infraction, if substantiated, could result in disciplinary action ranging from a counseling session to a written reprimand.

Procedural complaint means a complaint based on employee actions that, if performed properly, would be in compliance with applicable legal guidelines and department policies, e.g., complaints regarding towing of vehicles, parking, traffic enforcement, etc.

Serious misconduct complaint means a complaint based on allegations of serious misconduct by employees of the department. Examples of serious misconduct include, but are not limited to, corruption, brutality, misuse of force, breach of civil rights, criminal conduct, or repeated acts of minor misconduct. A determinant of serious misconduct is that the alleged infraction, if substantiated, could result in disciplinary action up to and including suspension, dismissal and/or criminal charges.

Responsibilities of Department Personnel

- Employees shall courteously and promptly record a complaint against a member of the department.
- Employees receiving a complaint by phone will complete a citizen complaint report form and shall forward it to the appropriate person.
- Complaints filed by mail or email shall be forwarded to the appropriate person.
- Any person who requests to register a complaint in person shall either be provided with a SHPD "Citizen Complaint Form" that he/she can fill out or the employee taking the complaint may record the information from the requesting person on the form.
- Any person requesting information regarding the process for filing a complaint shall be provided this information by a supervisor if available.
- Any person requesting information or registering a complaint shall be notified of the prohibition of filing a false complaint per WI State Statute 946.66.

Employees may attempt to resolve the complaint but shall never attempt to dissuade a citizen from lodging a complaint against a member of the department. Each employee shall perform their duties and assume the obligations of their rank in the investigation of complaints or allegations of misconduct against any member of the department.

While an investigation is being conducted, all employees shall fully cooperate with the person conducting the investigation. Employees shall truthfully answer all questions which may be asked of them specifically directed and related to the scope of employment and operations of the department. Any employee who has, or is alleged to have, knowledge of facts or circumstances surrounding an internal investigation or informal inquiry shall submit a written report on the matter upon request by the person conducting such investigation or inquiry.

Responsibilities of SHPD Supervisory Personnel

When misconduct is observed or complaints of misconduct are received by a supervisor, that person shall immediately initiate a preliminary investigation into the matter in accordance with this SOP. The supervisor shall also take any action that may be immediately required, e.g., take steps to prevent further misconduct from occurring. Each supervising officer shall perform the duties and assume the obligations of their rank in the investigation of complaints against department personnel. They shall continually examine all areas of law enforcement action under their purview in an effort to discover misconduct at its earliest stages.

Supervisors shall not look to higher authority to initiate investigations when subjects complained of are within the scope of their own authority and responsibility, except when the complexity of the case justifies

assistance from the Internal Affairs Coordinator or the Chief of Police. For any investigation that proceeds beyond an informal inquiry, the investigating supervisor shall notify the Internal Affairs Coordinator as soon as practicable. Supervisory personnel shall complete a thorough investigation when directed to do so by the Internal Affairs Coordinator.

Supervisory personnel shall complete a thorough investigation of procedural and minor misconduct complaints. Investigation results and/or the recommendations for discipline shall be forwarded to the Internal Affairs Coordinator. The Chief shall make the final determination of discipline.

Supervisors shall maintain the confidentiality and security of internal affairs investigations and records. Upon completion of an investigation, the supervisor shall forward all records and reports to the Internal Affairs Coordinator and shall make a recommendation regarding final disposition of the matter. The Internal Affairs Coordinator shall review the investigation and shall make a final recommendation to the Chief as to the resolution of the investigation.

Responsibilities of the Internal Affairs Coordinator

The Internal Affairs Coordinator shall be responsible for the coordination of all investigations regarding allegations of serious misconduct by department employees, monitoring the investigation of procedural and minor misconduct complaints, and maintaining records of all complaints against the department and its employees.

The Internal Affairs Coordinator shall maintain the confidentiality and security of internal investigations and internal affairs records. These records shall be kept in a secure file in the employment file of involved personnel.

The Internal Affairs Coordinator shall conduct investigations of alleged or suspected misconduct within the department, assign the investigation to another supervisor, or request another law enforcement agency to conduct the investigation. When assigned to another supervisor/agency, the Internal Affairs Coordinator shall supervise and control the investigation.

The Internal Affairs Coordinator shall also consider whether the alleged misconduct should result in a criminal investigation. In the event a criminal investigation is deemed appropriate, an investigation shall be conducted by another investigator, or, with the approval of the Chief of Police, the assistance of an outside investigative agency shall be utilized. The Internal Affairs Coordinator shall ensure that liaison is maintained with the District Attorney's Office in investigations involving alleged criminal conduct on the part of an employee.

The Internal Affairs Coordinator shall apprise the Chief of the existence, progress, and outcome of each internal investigation.

In all cases involving a complaint of misconduct against the Chief, the management and authority for the investigation is with the Village Administrator.

Responsibilities of the Chief of Police

The Chief of Police shall review recommendations for disciplinary action and shall take such action as deemed appropriate; refer to the SOP titled "Disciplinary Procedures."

Nothing in this policy diminishes the authority of the Chief to order suspensions, terminate temporary or probationary employees, or to pursue other disciplinary actions, irrespective of recommendations made by subordinates.

If an internal investigation involves the Internal Affairs Coordinator, the Chief of Police shall investigate, or the Chief may designate an outside agency to investigate.

Citizen Complaint Report

SHPD Supervisors shall complete a citizen complaint report for each complaint against the department or its employees and shall forward copies to the Internal Affairs Coordinator. The Internal Affairs Coordinator shall use the Citizen Complaint Report to determine further action regarding the complaint. In situations where the complaint can be immediately resolved through an informal inquiry, the report shall serve as the only record of the complaint. The citizen complaint report shall include the following:

- Name and contact information of the person making the complaint, if known.
- Name of the employee(s) involved, if known, and the action, policy, or procedure in question.
- Date, time, and location of the incident, and when the incident is being reported.
- Specific details of the complaint, including any related incident numbers.
- Supervisor's actions taken, if any, upon receiving the complaint.
- Receiving supervisor's recommendations on subsequent actions, if any.
- Final disposition (to be completed upon conclusion of the informal inquiry or internal investigation).

Citizens found to have filed false reports of police misconduct may be arrested by the Internal Affairs Coordinator and referred to the District Attorney's Office for charges under State Statute 946.66. This action will only be taken under the most egregious of circumstances, with the approval of the Chief of Police.

Complaint Investigation

All complaints against the department or its employees, including those received anonymously, will be courteously received, and thoroughly investigated. A known complainant shall be notified of the receipt of their complaint and the complaint's impending investigation.

During the preliminary investigation, the receiving supervisor shall determine whether the complaint is based on procedure, minor misconduct, or serious misconduct and whether the complaint would be best resolved through an informal inquiry, internal investigation, or criminal investigation. Procedural and minor misconduct complaints will generally be handled through the chain of command. If the supervisor demonstrates a need to have such a matter handled by someone outside the normal chain of command, they may request the assistance of the Internal Affairs Coordinator. These types of complaints may be addressed through either informal inquiry or internal investigation. Internal investigation shall be pursued if it appears that the allegations, if substantiated, could result in discipline greater than a letter of reprimand.

Upon completion of an investigation, the supervisor shall forward a copy of the citizen complaint report containing the final recommendation to the Internal Affairs Coordinator. This report shall be included in the investigative reports.

Serious misconduct complaints shall require notification of the Internal Affairs Coordinator as soon as such notification is practicable. Upon reviewing the complaint, the Internal Affairs Coordinator shall either conduct the internal investigation or assign the investigation to another supervisor. In the event a criminal investigation is deemed appropriate, an investigation shall be conducted by another investigator, or with the approval of the Chief, the assistance of an outside investigative agency shall be utilized. When assigned to another supervisor the Internal Affairs Coordinator shall supervise completion of the investigation.

Absent exceptional circumstances, e.g., the investigation of ongoing acts of misconduct, internal investigations shall be completed in a timely manner, or as soon as practicable from the receipt of the

complaint. At the Internal Affairs Coordinator's discretion, all investigated complaints shall be completed whether or not the complainant follows through with the investigation. Upon conclusion of an investigation, the Internal Affairs Coordinator shall make a recommendation to the Chief regarding final disposition of the matter. Upon conclusion of an investigation, the Internal Affairs Coordinator shall ensure that the complainant and the employee are advised in writing of the outcome of the internal investigation. For lengthy investigations, an effort shall be made to communicate the status of the investigation to the complainant on a periodic basis.

Investigative Tools and Resources

Medical and Laboratory Examinations

Any supervisor may, based upon their observation, require a department employee to submit to a test for alcohol or drug use while on duty, in accordance with the Village's personnel policies. Alcohol tests shall not be given arbitrarily. The basis for the test is a suspected violation of a law, rule, policy, or SOP.

When ordered by the Chief of Police, employees shall be required to submit to any additional medical and laboratory examinations that are specifically directed and narrowly related to an internal investigation.

If at any time the investigator determines an investigation is likely to result in criminal charges being brought against an employee under investigation, the investigator shall confer with the Village Attorney or the department's legal advisor before proceeding under this section.

Any medical, psychological, or other examination required of an employee under this section will be at no cost to the employee.

Release of Medical Records

In investigating all incidents involving injury, a supervisor shall obtain a signed release of the person's medical records.

Photograph and Lineup Identification Procedures

If ordered by the Chief, an employee shall submit to being photographed for the purpose of creating a photographic line-up when such a lineup is needed to identify an employee accused of misconduct. If ordered by the Chief, an employee shall be required to stand in a line-up for the purpose of identifying an employee accused of misconduct.

Financial Disclosure Statements

If ordered by the Chief of Police, an employee shall be required to make financial disclosure statements when such statements are directly and narrowly related to an internal investigation.

Physical Evidence

Proper chain of evidence management and control shall be maintained for all physical evidence collected during an internal investigation.

Rights of Employees Under Investigation

When an employee is notified that they are the subject of an internal investigation, the employee shall be provided a written statement of the allegations and their rights and responsibilities related to the investigation. The rights of an employee under investigation shall be determined by the nature of the investigation. Rights associated with an administrative investigation shall differ from those associated with a criminal investigation. In a situation where the investigation may result in criminal charges being brought against an employee under investigation, the employee shall be afforded rights consistent with a criminal investigation.

Employee rights and procedural safeguards under WI State Statutes, Chapter 164: Law Enforcement Officer's Bill of Rights shall be adhered to.

- The law enforcement officer under investigation shall be informed of the nature of the investigation prior to any interrogation.
- At the request of any law enforcement officer under interrogation, he or she may be represented by a representative of his or her choice who, at the discretion of the officer, may be present at all times during the interrogation.

During an internal investigation an employee may be compelled to answer questions directly related to their official duties. Answers received in such a manner may not be used in a criminal proceeding involving the employee. The following guidelines shall apply to an interview during an investigation for strictly administrative purposes:

- The purpose of the investigation is to obtain information to determine whether disciplinary action is warranted. The answers obtained may be used in disciplinary proceedings up to and including reprimand, demotion, suspension, or dismissal.
- All questions asked of an employee under investigation that are specifically related to employment must be fully and truthfully answered. Refusal to answer may result in disciplinary action.
- No reading of Miranda rights is required.
- As determined by Garrity v. New Jersey, 385 U.S. 483, 87 S. Ct. 616 (1967), an employee has no Sixth Amendment right to counsel as the interview does not serve a criminal prosecution.

During a criminal investigation involving an employee, an investigator shall do the following prior to the interview with the accused employee, as applicable:

- Advise the employee of his or her Miranda rights, including obtaining a written waiver of those rights, if the employee elects to do so.
- Advise the employee that if he or she asserts their right not to answer questions, no adverse administrative action will be taken based upon such refusal, as the decision in Gardner v. Broderick, 392 U.S. 273, 88 S. Ct. 1913, 1916 (1968) indicates that a public employee may not be fired for asserting their Fifth Amendment privilege not to incriminate themselves.

If an employee elects to answer questions, their responses may be used in both criminal and administrative proceedings.

Status of Employees Under Investigation

When an allegation is substantiated or when an investigation is to be continued (not completed), the Chief of Police or the Chief's designee shall take one of the following actions in reference to the duty status of the accused employee:

- Continue the employee on duty in their usual assignment.
- Continue the employee on duty in some other assignment in which the employee's presence will not be objectionable to citizens involved in the incident, or where the employee may be kept under close supervision, such as in-station tasks.
- When an accused employee is under the influence of alcoholic beverages, they shall be relieved from duty until further notice.
- When an act complained of is a crime and the evidence is such that had the action been committed by a private person it would have resulted in their arrest, the supervisory officer shall explain the circumstances to the Chief of Police and request a decision whether:
 - The accused employee should be arrested forthwith.
 - A warrant for the employee's arrest should be obtained.
 - Criminal proceedings should be deferred pending further investigation.

When the alleged improper conduct of any employee is of such a nature that immediate or emergency disciplinary action is required, and it appears to be in the best interest of the Village or the department, the employee may be relieved from duty by a supervisor.

Complaint Adjudication

The Internal Affairs Coordinator shall classify completed internal investigations of complaints using the following guidelines:

- Unfounded: Investigation indicates that the allegations are false.
- Not substantiated: Insufficient evidence has been obtained to either prove or disprove the allegations.
- Substantiated: The allegations are supported by sufficient evidence to reasonably conclude that the allegations are true.
- Exonerated: Investigation indicates that the incident occurred, but the employee's actions were justified, lawful or appropriate under the circumstances.
- Policy failure: Investigation indicates that the allegations are true; however, the employee was acting in accordance with established department policy.

Record Retention

Pursuant to WI Act 82, all files relating to a person's employment, including performance reviews, files related to job performance, internal affairs investigative files, administrative files, previous personnel applications, personnel-related claims, disciplinary actions, and all substantiated complaints and commendations will be maintained in the person's "employment file."

Annual Review

At least once every year the Chief or designee shall review all citizen complaints/internal affairs reports to determine any patterns, policy issues, training, or disciplinary matters that require attention or any type of future action.

End.

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