



**KING COUNTY  
SHERIFF'S OFFICE**

**INTERNAL INVESTIGATIONS UNIT  
2020 Annual Report**

**Report Prepared By**



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# King County Sheriff's Office Internal Investigations Unit Annual Report - 2020

## Message from Sheriff Mitzi Johanknecht

It is an honor and pleasure to serve as your elected Sheriff. When I ran for Sheriff in 2017, I promised to focus on the integrity, transparency, and accountability of the Sheriff's Office. This Internal Investigations Unit (IIU) Annual Report is the third since I took office and details our efforts to fulfill those promises.

Shortly after taking Office, we determined that the Sheriff's Office had been using inconsistent approaches, methodologies, and reliable sources of data to analyze and report on complaints and uses of force. This made it difficult to accurately identify and prioritize where we needed to improve and how to progress towards achievement of my promises.

To help us address these problems, and develop a common formula for future analysis, we engaged Police Strategies LLC to conduct an independent review of our IIU statistics. This report for uses data from years 2014 through 2020.



In analyzing these seven years of complaints, Police Strategies LLC used a consistent data set: examining cases closed in a calendar year and case status. All data came from IAPro, the complaint tracking system used by the Sheriff's Office and over eight-hundred other public safety organizations.

As you read the following report from Police Strategies LLC, you'll learn which precincts have a higher volume of complaints, how many of these complaints were sustained, and so on. As a preview, the report shows some very positive trends. After more than doubling in 2018 and 2019, allegations of excessive or unnecessary force against our commissioned members decreased by 25 percent. Allegations of misconduct or serious misconduct, which also doubled in 2018 and 2019, have also decreased in 2020. While these numbers are encouraging, I know there is still more work to do.

Interactive data dashboards, which includes our use of force and complaint data, will soon be updated with the latest information and can be found on the Sheriff's Office website for both use of force incidents and complaint investigations. These dashboards have put the Sheriff's Office on the cutting edge and have helped us to become a model agency for integrity, transparency, and accountability.

Sincerely,

A handwritten signature in black ink that reads "Mitzi Johanknecht". The signature is written in a cursive, flowing style.

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# King County Sheriff's Office Mission Statement<sup>1</sup>

## **MISSION – Why are we here?**

The King County Sheriff's Office is a trusted partner in fighting crime and improving the quality of life for our residents and guests.

## **VISION – Where are we going?**

The King County Sheriff's Office is a highly effective and respected law enforcement agency and criminal justice partner, both trusted and supported, helping King County to be the safest county in America.

## **GOALS – How will we get there?**

Through community engagement and collaboration, we will:

- Develop and sustain public trust and support while reducing crime and improving the community's sense of safety.
- Improve traffic safety by reducing impaired and unsafe driving behaviors and traffic collisions.
- Recruit, hire, train and promote the best people, reflective of the community we serve, to provide high quality, professional and responsive service.
- Provide facilities, equipment, technology, systems, and processes that support achievement of our mission.
- Provide for the safety, health, and wellness of Members of the King County Sheriff's Office.

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<sup>1</sup> KCSO's statement on its mission, vision, goals, and values was last updated on February 18, 2020, and can be found at: <https://www.kingcounty.gov/depts/sheriff/about-us/mission.aspx>

## **OUR VALUES – How do we do business?**

### **LEADERSHIP**

- We are honest, respectful, effective, and humble.
- We have clear expectations.
- Our managers model expectations and we lead by example for all levels.

### **INTEGRITY**

- We are open, transparent, and accountable to the public we serve.
- We acknowledge that public trust matters – all the time.
- Good faith performance errors are addressed through training.
- Bad faith, criminal behavior, abuse of authority, and repeated or egregious acts are not tolerated.

### **SERVICE**

- We are timely in our response and seek every opportunity to have positive impact on the people we serve.
- We are good stewards of taxpayer dollars, engage and collaborate, and strive to innovate.
- We focus on hot spot locations, high impact and repeat offenders, and visible presence when needed.

### **TEAMWORK**

- We recognize that relevant training and effective communications increase public and officer safety.
- We fight crime constitutionally.
- Our managers coach, mentor and develop a strong team culture.

## Sheriff's Philosophy on Accountability

Sheriff Johanknecht knows from personal experience that the men and women of the Sheriff's Office who serve the residents of King County are often asked to do difficult and sometimes dangerous jobs. While residents come to us for ordinary services, like concealed weapons permits, fingerprinting for employment, and other similar services, the vast majority of our calls for service and on-view activity involves unresolved conflict, behavioral health crisis, addiction, motor vehicle accidents, and other stress filled situations.

The Sheriff believes the Sheriff's Office is responsible and accountable for providing the direction, guidance and support necessary to all employees so that they can be successful in their work. That direction comes in the form of law, policy from the General Orders Manual and leadership-supervision provided by their chain of command up to and including the Sheriff. Incorporated into the General Orders Manual is our Mission, Vision, Goals and Values. Interwoven throughout is the requirement to develop and sustain public trust, value, and support.

The Sheriff also realizes that, occasionally, employee's behavior or performance will not meet the standards of the Sheriff's Office or community. The Sheriff's philosophy is to deal with well-intentioned mistakes through training, coaching and measured progressive discipline when required. Conversely, where employees know what should be done but make decisions to not follow policy, law or direction, the Sheriff's philosophy is to deal with bad faith misconduct swiftly and affirmatively. Bad faith conduct includes criminal, abuse of authority, repeated or egregious behavior or performance, which will not be tolerated.

## Internal Investigations Unit Policy Statement

### 3.00.000 PERSONNEL CONDUCT

#### 3.00.005 PURPOSE/POLICY STATEMENT: 02/20<sup>2</sup>

A law enforcement agency must maintain a high level of personal and official conduct if it is to command and deserve the respect and confidence of the public it serves. Rules and regulations governing the conduct of Members of the Sheriff's Office ensure that the high standards of the law enforcement profession are maintained. Issues of honesty and integrity are of paramount importance in the operation of the Sheriff's Office. The purpose of this section is to provide guidelines and instructions concerning employee conduct and responsibility for all Members in their official or personal activities. Members will be evaluated based on whether or not their actions assist the King County Sheriff's Office in fulfilling its stated mission as a trusted partner in fighting crime and improving quality of life, and reaching its goals of:

- Develop and sustain public trust and support while reducing crime and improving the community's sense of safety.
- Improve traffic safety by reducing impaired, unsafe driving behaviors and traffic collisions.
- Recruit, hire, train and promote the best people to provide high quality, professional and responsive service.
- Provide facilities, equipment, technology, systems, and processes that support achievement of our mission.
- Provide for the safety, health, and wellness of Members of the King County Sheriff's Office.

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<sup>2</sup> The 2019 IIU Annual Report included this Purpose/Policy Statement reflecting amendments made to Section 3.00.005 in 2020, noting that it did not appear that the policy changes impacted the 2014 – 2019 data that was updated and analyzed in the 2019 report.

Members must conduct themselves at all times in a manner that brings a level of conduct in their personal and official affairs consistent with the highest standards of the law enforcement profession. These standards are outlined in the Core Values adopted by the King County Sheriff's Office:

- Leadership.
- Integrity.
- Service.
- Teamwork.

Violations of these standards will result in corrective action or discipline up to and including dismissal from the Sheriff's Office. In general, Members shall:

- 1) Be honest.
- 2) Conduct themselves in a manner that creates and maintains respect for themselves, the Sheriff's Office and the County.
- 3) Avoid any actions which might result in adversely affecting confidence of the public in the integrity of the county government or the Sheriff's Office.
- 4) Perform all duties in a professional, courteous, competent, and efficient manner.
- 5) Comply with all Sheriff's Office rules, policies and procedures.
- 6) Obey federal, state, county and municipal laws and regulations; and
- 7) Promptly report to their immediate supervisors' knowledge or reasonable suspicion of criminal activity or violations of any provision of this chapter.
- 8) Promptly report to their Precinct/Section Commander that their driver's license has been suspended (for whatever reason) and/or if they are ordered to have an interlock device on their vehicles.

Members are responsible for learning and abiding by the rules and guidelines in this chapter. Action may be taken against an employee due to a failure of the employee to meet the requirements of this chapter or of his/her position. Such action may be either disciplinary or non-disciplinary in nature. Examples of inappropriate conduct set out in this chapter are illustrative, and not exclusive, as it is impossible to anticipate every possible act of misconduct. Violations of this chapter will be considered misconduct.

## Metropolitan King County Council - Motion 14002

In 2013, the Metropolitan King County Council passed Motion 14002, providing that the Sheriff's Office submit an annual report with data regarding its internal review of complaints and investigations of employee misconduct. The reports are to include, at a minimum, for each year and the three years prior:

1. The number of complaints and allegations received, including information on the origin of the complaint, be it either community member or internal.
2. The number of complaints, allegations, or incidents in the following areas:
  - a. Minor misconduct;
  - b. Major misconduct;
  - c. Use of force;
  - d. Criminal investigations;
3. The number of complaints, allegation and incident resolutions by classification, to include data on the types of personnel actions taken when complaints are sustained, and data on the administrative actions taken when the investigation results in recommendations for changes in Sheriff's operations, such as training or policies;
4. The number of individual employees that have accrued three or more complaints in the reporting year or eight or more complaints total in the reporting year and the three prior years. The Sheriff shall identify the outcome of the complaints and note whether any personnel or administrative action resulted from the complaints for these employees
5. Narrative information on any trends identified through its internal investigations and complaint process, and recommendations of any potential legislative changes that the Sheriff's Office has identified in its evaluation of complaint data that, if implemented, could improve public trust in the law enforcement.

The following data analysis addresses the requirements of Motion 14002, includes other information regarding misconduct complaint handling at the Sheriff's Office, and notes where there is a divergence in terminology used by the Motion, the Sheriff's Office, or the data analysis provided by Police Strategies.

## IIU Complaint Tracking and Reporting - Increasing Accountability and Transparency

Prior to 2018 the annual IIU reports did not use a consistent approach in tracking misconduct complaint information. In 2019 the Sheriff's Office asked Police Strategies LLC to analyze complaint data using the same set of standards for all years reviewed, in an effort to increase the reliability of data reported.<sup>3</sup> In September 2019, Police Strategies submitted its first IIU report, summarizing all misconduct complaint data from 2014 to 2018. While there were concerns about data entry inconsistencies, particularly in earlier years, the analysis in the initial and subsequent reports allow for a much closer "apples to apples" comparison between years.

The Sheriff's Office uses a software program called IAPro to record and track employee misconduct complaints.<sup>4</sup> CI Technologies created scripts for Police Strategies to extract data directly from the KCSO IAPro system. Police Strategies was then able to analyze the complaint data contained in IAPro.<sup>5</sup> Police Strategies built a relational database using the IAPro misconduct complaint information. This database was used to conduct an analysis of the information and to construct a series of interactive dashboards. This powerful data visualization system provided to the Sheriff's Office makes it easier to comprehend complex information about misconduct allegations, findings, discipline, and other matters related to the work of the IIU. Police Strategies summarized the IIU data from 2014 to 2018 in its initial report, updated the database with misconduct complaint data from 2019 in its second report, including correcting earlier information that was originally miscategorized.<sup>6</sup> The current report includes data from seven years, 2014 – 2020. Table 2 and Diagram 3 cover information on complaint sources and, as noted in the analysis for Table 2, reflect corrections made to source data that was missing and had

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<sup>3</sup> Inconsistencies likely resulted, at least in part, as different individuals assigned to IIU compiled information over time, under changing IIU Commanders and different administrations.

<sup>4</sup> IAPro is the records management software created by CI Technologies. IAPro also is used for recording and tracking commendations, section level discipline, use of force, first level discipline, vehicle collisions and pursuits, and early intervention issues. GOM 14.00.015.

<sup>5</sup> Police Strategies appreciates the collaborative relationship it has with CI Technologies and the assistance provided on this project, which allowed Police Strategies to extract raw data from IAPro's proprietary system.

<sup>6</sup> Over the last six years KCSO has changed how it categorizes different types of IIU incidents in the IAPro system. While producing the 2019 IIU report, it was discovered that some of the data from the prior report had been mischaracterized. These errors were corrected for the current report. As a result, some of the historical data from this report will be inconsistent with the data presented in the prior report.

previously been categorized as Unknown. As IIU focuses on quality control efforts and Police Strategies continues to check the information it receives, there should be increased confidence in the analysis conducted with the data.<sup>7</sup>

This report provides examples of the types of information available using the IIU relational database, identifies some apparent trends in the data, and makes recommendations for ways that the Sheriff's Office can continue to improve accountability and transparency in misconduct complaint handling. Assumptions underlying the data now are being made explicit and the data is continuously being reviewed and corrected where necessary, with the goal that analyses moving forward should continue to be more consistent.

Note that complaints tracked in IAPro can name a Sworn member or a Civilian/Professional working for the Sheriff's Office. Unless otherwise noted, the data reported includes information on all Members of the Sheriff's Office named in misconduct complaints that were closed for each year covered. However, because some in the community are particularly interested in how the Sheriff's Office is addressing issues of alleged misconduct involving Sworn Members, some of the trends highlighted below will focus only on complaints involving this group.

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<sup>7</sup> Changes over time in the Sheriff's Office's administration, policy, IIU management, data entry, and other factors all can influence the reliability of the data year to year.

## Terminology Used in Data Analysis and Report

In the IIU misconduct complaint data analysis conducted by Police Strategies and presented in this report, some terms are unique to the analytic approach that has been developed. These terms are listed below with definitions and are used throughout to promote consistency and reliability. Some terms relevant to the misconduct complaint investigation process and defined in the Sheriff's Office's General Orders Manual (GOM) also are addressed in the corresponding sections throughout the report.

- **Member/Employee:** An individual who works for the King County Sheriff's Office.
- **Incident:** An event where at least one Member/Employee receives a Complaint. One Incident can involve multiple Members/Employees who receive complaints. For example, an Incident involving three Members alleged to have engaged in misconduct amounts to one Incident and three Complaints.
- **Complaint:** A claim of misconduct filed against a single Member/Employee during one Incident. Each Complaint may include one or more Allegations.
- **Allegation:** A claim that a Member/Employee has engaged in an act in violation of a Sheriff's Office directive, rule, policy, or procedure.

Example: While making an arrest, two Members use force against a resisting subject. When the subject pushes the officers away from him, Member #1 uses profanity and strikes the subject with an open hand. Member #2 strikes the subject in the arm with a closed fist in order to handcuff the subject. The subject believes that the use of profanity was unprofessional and that the use of physical strikes was excessive force and files a complaint against two Members. The data from this incident would be entered into IAPro as follows:

- One Incident – A single event that generated two complaints.
- Two Members – Allegations were made against Member #1 and Member #2.
- Two Complaints – Each Member alleged to have engaged in misconduct is counted as having each received one Complaint.
- Three Allegations – Allegations of excessive force against two Members and an allegation for the use of profanity against one Member.

# Misconduct Complaint Intake and Investigation - Complaint Categorization, Sources, and Types of Allegations

## Changes in How the Sheriff's Office Categorizes and Processes Complaints

As Sheriff's Office supervisors or IIU become aware of misconduct or a complaint of misconduct, they enter information about the incident into the IPro system through a program called BlueTeam. Based on the nature of the allegation and other factors, a determination is made as to whether the complaint will be handled by IIU or at the section/worksite level.

In November 2019, interim changes were made to the administrative investigations policy regarding how different categories of complaints and policy infractions will be processed, with a focus on Minor Investigations and Supervisory Action Logs (SALs). Much of the purpose for the Special Order was to address areas of overlap in the formal categorization scheme and to make explicit procedures that in some instances already had been instituted. The Special Order provides that Major Investigations will continue to be handled per policy, while revising and clarifying the definitions and processing expectations for Minor Complaints and SALs as follows:

- Major Investigations: Allegations that if sustained, "likely will result in suspension, demotion, termination, or the filing of criminal charges."<sup>8</sup>
- Minor Investigations: Allegations that if sustained "would result in counseling or discipline up to and including a written reprimand."<sup>9</sup>
- Supervisory Action Logs (SALs): Allegations that if sustained, "at most the outcome would be coaching, training, or counseling."<sup>10</sup> Allegations classified as SALs cannot involve CARE violation allegations (Alleged Criminal misconduct, Abuse of authority, Repeated allegations, or allegations which are Egregious in nature).<sup>11</sup>

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<sup>8</sup> Id.

<sup>9</sup> Special Order 2019-2. Previously, a minor investigation was defined as meaning, "the alleged violations, if sustained, may be handled outside the disciplinary system." GOM 3.03.010.

<sup>10</sup> The GOM previously defined a SAL as "an entry into BlueTeam used to document a supervisor action related to observed or reported minor policy infractions." GOM 3.03.010.

<sup>11</sup> Special Order 2019-2.

Major and Minor Investigations are both categorized as an Inquiry when entered into BlueTeam in the IPro database, while SALs are treated as a separate BlueTeam categorization. In addition to the changes in definition for Minor Investigations and SALs noted above, the Special Order details how these cases will be processed, including: IIU's role in complaint classification; which investigations will be handled by IIU (Major Investigations) or by an investigator in the worksite (Minor Investigations); the investigative and review steps to be followed for Minor Investigations, including OLEO's involvement and making recommendations for findings, notice to the complainant, and handling of discipline, counseling or training; and, how SALs are to be reviewed by IIU to ensure the designation is appropriate and resolution and documentation of SALs.

Regardless of how a complaint ultimately is classified, a single complaint can involve multiple allegations and a single incident can result in multiple Sheriff's Office Members receiving complaints. However, it was not always clear in earlier IIU reports whether misconduct related statistics relied on individual complaints, considered the overall number of allegations involved, or took into account the number of Sheriff's Office Members named in a complaint. In this report that includes 2019 data, and moving forward, the analysis uses the number of overall allegations, unless otherwise specified. Also, reports prior to 2018 included data on all complaints that were open or had been resolved in the year under consideration. Police Strategies only extracted and analyzed information concerning closed cases, avoiding the problems of potentially including a complaint during more than one reporting cycle or counting cases in one category that are re-categorized before the complaint is closed.

The IPro data analyzed and highlighted below includes all Sheriff's Office misconduct complaints classified as Inquiries (Major and Minor Investigations) and SALs that were closed in the years 2014 - 2020.<sup>12</sup>

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<sup>12</sup> IIU uses the Non-Investigative Matter (NIM) classification for complaint allegations that, even if true, would not involve a policy violation or misconduct. It is possible that in earlier years, some less serious complaints were categorized as NIMs. IPro does not capture data on NIMs and, as a result, NIMs are not included in the IIU statistics.

## Complaint Categorization, Source, and Types of Allegations

As discussed above, the Sheriff’s Office categorizes misconduct complaints and minor policy infractions into Major Investigations, Minor Investigations, and SALs. However, Metropolitan King County Council Motion 14002 requires that the Sheriff’s Office report on the number of complaints, allegations, or incidents of major and minor misconduct received, and the origin of the complaint (citizen or internal). Despite some difference in terminology, Tables 1 and 2 address the first two categories of information required by Motion 14002 (data concerning the number of complaints regarding use of force and criminal investigations is covered elsewhere).

The term “Inquiries” is used to refer to Major and Minor Investigations – misconduct complaints that, if sustained, likely would result in some level of discipline. Supervisory Action Logs (SALs) is used for minor policy violations that likely would result in coaching, training, or counseling if sustained.

**Table 1 – Complaint Classification  
Inquiries and Supervisor Action Logs (SALs)**

	Year Investigation Completed						
	2014	2015	2016	2017	2018	2019	2020
<b>Inquiries (Major Complaints per Motion 14002)<sup>13</sup></b>	437	430	337	226	357	561	614
<b>Supervisor Action Logs (Minor Complaints per Motion 14002)</b>	388	293	269	189	188	169	128
<b>Total</b>	825	723	606	415	545	730	742

<sup>13</sup> Under Special Order 2019-2, Inquiries include both Major and Minor Investigations - complaints that, if sustained, could result in some level of discipline.

Observations about complaint classification outcomes as summarized in Table 1 include:

- As noted in the 2019 IIU Annual Report, after a drop in 2017, there has been a steady increase in the number of closed Inquires, with nearly 3 times as many closed inquiries in 2020 as compared to 2017 and an approximately 8% increase compared to 2019.
- The number of complaints closed as SALs has dropped continuously since 2014, with about 25% fewer closed SALs in 2020 as compared to 2019.
- After a significant increase in the total number of complaints closed between 2018 and 2019, from 545 to 730 cases, there was only a minor increase to 742 closures in 2020, representing 12 more cases. As noted in the 2019 Annual Report, the increase in total complaints since 2017 might actually represent a higher incidence of case closure, rather than a significant increase in new complaints received. This would be consistent with ongoing efforts to correct and complete data in IAPro, which also could contribute to the increase. Another reason for the increased number of case closures is because many of the complaints that used to classify as SALs or NIMs are now Inquiries. The inquiries require a classification disposition and SALs do not.

**Table 2 – Internal and External Sources of Complaints by Percentage<sup>14</sup>  
Inquiries and Supervisory Action Logs (SALs)**

	Year Investigation Completed							7 Year Average
	2014	2015	2016	2017	2018	2019	2020	
<b>External</b>	45%	48%	53%	47%	56%	58%	67%	53%
<b>Internal</b>	55%	52%	47%	53%	44%	42%	33%	47%

Anyone external or internal to the Sheriff’s Office can file a complaint for alleged misconduct against a Member.<sup>15</sup> In IAPro, cases coming from internal sources are listed as “Departmental”

<sup>14</sup> Motion 14002 refers to complaints originating either from citizens or internally. Table 2 uses “source” instead of “origin,” and “external,” rather than “citizens.”

<sup>15</sup> “Members” are defined to include: “any person whether paid, unpaid, temporary, permanent, intern, probationary, volunteer, appointed, non-appointed, commissioned, or non-commissioned, who is employed or supervised by the King County Sheriff’s Office.” GOM 3.03.010.

and External sources include: Citizen, Inmate, King County Prosecutor, OLEO, Ombudsman, and Other Law Enforcement Agencies.

- Earlier reports included an “Unknown” classification, with the percentage of cases where the source was unknown ranging from 27% in 2014 to 8% in 2019. Over the past couple of years, IIU developed a quality control plan for data entry and worked to correct and complete missing data in IAPro. As of 2020, all complaint sources were identified and entered as either External or Internal for all 7 years analyzed, with the result that there are no Unknown sources. This means that information on complaint sources in earlier reports and the associated analysis is no longer accurate, with Table 2 above representing the most current source information available.

The percentage of Internal complaints has steadily dropped since 2017, to a low of 33% in 2020, representing a 9% decrease compared to 2019. External complaints have been increasing at a corresponding rate during the same timeframe, with a 9% rise in 2020. As mentioned above, the increase in external complaints is partly due to the fact that KCSO now classifies more external complaints as Inquiries instead of SALs or NIM. The results are more often unfounded, exonerated or non-sustained. Many of these do not need to be investigations and the new complaint investigation process will be addressing this issue.

- Though the percentage of complaints filed by Members of the Department has been decreasing since 2017, it is still relatively high overall. As noted in earlier reports, Internal complaints are primarily based on minor policy infractions documented by supervisors and classified as SALs.<sup>16</sup>

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<sup>16</sup> While the Sheriff’s Office mandates that Members promptly report any policy violations, it is not easy to determine the significance of changes in the number of Internal complaints, just as it is difficult to draw definitive conclusions about rising or falling External complaints.

**Table 3 – Complaints and Allegations by Year  
Inquiries and Supervisory Action Logs (SALs)**

	Year Investigation Completed						
	2014	2015	2016	2017	2018	2019	2020
<b>Employees Receiving at Least One Complaint</b>	454	392	350	261	336	428	418
<b>Incidents Involving at Least One Complaint</b>	679	573	477	351	426	515	530
<b>Total Complaints</b>	825	723	606	415	545	729	742
<b>Total Allegations</b>	744	862	669	480	646	1,168	952

- A single Incident can involve one or multiple Employees. An Employee alleged to have engaged in misconduct during the incident receives a Complaint. If multiple Employees in one Incident allegedly engaged in misconduct, each is separately counted in the total number of Complaints.<sup>17</sup> Each Complaint will include one or more Allegations.
  
- From 2014 to 2017, the total number of complaints declined steadily before rising significantly in 2018 and 2019 and approaching more of a leveling off in 2020.
  
- The total number of allegations within all complaints nearly doubled from 646 in 2018 to 1,168 in 2019, but then dropped approximately 19% in 2020 to 952 total allegations. There is no obvious explanation for this change, though previous reports recommended that the Sheriff’s Office consider limiting the number of policies referenced and providing written guidance on how similar types of misconduct differ. Thus, the reduced number of allegations in 2020 might reflect IIU’s effort to eliminate duplicate allegations, where similar policy violations address the same alleged misconduct.<sup>18</sup>

<sup>17</sup> Multiple employees alleged to have engaged in misconduct during one incident generally are investigated under a single complaint.

<sup>18</sup> There is now an expectation that IIU include all applicable violations. For example, if a member is alleged to have engaged in discrimination in the workplace, allegations would also be added for conduct unbecoming and possibly bigotry—that way, there is a possibility of a finding of misconduct for all applicable violations.

## Types of Misconduct Allegations

As noted in the 2014-2018 report, while extracting and analyzing IIU data, Police Strategies found that approximately 100 sections of the GOM were cited in identifying the policies at issue in processing misconduct complaints.

The following example was included in the 2014-2018 report and is still applicable:

- The subject of supervisory expectations is addressed in GOM 3.00.020(4), a subsection of Chapter 3.00.000 – Personnel Conduct. However, roles and responsibilities for supervisors also are addressed elsewhere in the Manual, e.g., 03.03.025, which outlines duties when a supervisor receives a complaint, and 03.03.055, which covers a supervisor's duties when a use of force complaint is received. One complaint potentially could result in all of these policy sections being cited, or only one or two of them.

IIU previously confirmed it has internal guidance dating back to 2014 to assure that distinctions between the policy sections are clear, though acknowledged there may be quality control issues to be addressed. Sheriff's Office policies addressing employee misconduct and IIU's Standard Operating Procedures are undergoing review, to further clarify how even conduct that occurs off duty can lead to violation of KCSO policy and discipline. .

**Table 4 – Misconduct Allegation Types by Year with GOM Reference  
Inquiries and Supervisory Action Logs (SALs)**

	Year Investigation Completed						
	2014	2015	2016	2017	2018	2019	2020
<b>03.00.020(1) – Performance Standards</b>	269	286	131	76	105	228	260
<b>03.00.015(2)(i) – Courtesy</b>	94	120	86	60	80	146	133
<b>03.00.015(1) – Serious Misconduct</b>	56	97	65	51	98	188	127
<b>03.00.015(2) – Misconduct</b>	46	71	78	50	79	156	80
<b>03.00.015(d) – Excessive or Unnecessary Force</b>	15	51	93	52	72	160	122
<b>02.00 – Punctuality, Absence &amp; Leave</b>	38	48	66	42	45	50	24
<b>03.00.015(2)(k) – Conduct Unbecoming</b>	37	41	20	34	51	69	43
<b>03.00.020(3) – Use of Authority</b>	25	29	63	26	24	81	95
<b>03.00.020(2) – Obedience to Laws and Orders</b>	40	49	34	32	30	43	44
<b>03.03.055 – Investigation of Misconduct/Supervisory UOF Duties</b>	41	37	12	24	35	14	0
<b>Other Violations</b>	23	5	1	20	15	17	10
<b>02.17.005 &amp; 3.00.020(6) – Training</b>	43	8	5	2	5	5	8
<b>03.00.025 – Ethics and Conflicts</b>	10	5	10	7	3	6	2
<b>03.00.020(4) – Supervision</b>	7	15	5	4	4	5	4

- In 2019 there were increases for almost all of the Allegation types listed in Table 4, while in 2020, only a few of the Allegation types showed an increase. For example:
  - Allegations involving Performance Standards more than doubled from 105 to 228 in 2019 and continued to increase in 2020, though not as significantly.
  - Allegations related to Use of Authority more than tripled from 24 to 81 between 2018 and 2019, and the 95 Use of Authority allegations in 2020 represent another 14% increase.
- After more than doubling in numbers between 2018 and 2019, allegations of Excessive or Unnecessary Use of Force dropped by about 25% in 2020.

- Courtesy, Serious Misconduct, and Misconduct related Allegations nearly doubled from 2018 to 2019, while all three Allegation types decreased in 2020.
- Allegations related to Investigation of Misconduct/Supervisory UOF Duties decreased by over half from 2018 to 2019, with no complaints closed with this allegation in 2020.
- Allegations implicating the Ethics and Conflicts policy remain relatively low, dropping down to 2 in 2020.

Among other mandates, Metropolitan King County Council Motion 14002 directs the Sheriff's Office to report on the number of complaints, allegations, or incidents of use of force and criminal investigations. While the number of allegations of use of force by year are noted in Table 4, IAPro does not record a criminal investigation as a separate specific allegation, though 3.02.000 addresses incidents of domestic violence involving Sheriff's Office Members and 3.03.020 addresses notice and investigative responsibilities when there is information or reason to suspect a member has committed a crime. Conduct of a criminal nature also may be included under serious misconduct in 3.00.015(1). It is recommended that IIU separately track criminal investigations, if any, in IAPro, which could facilitate the risk management analytic process and allow for such information to be included in public reports.

## Investigation Findings, Discipline, and Other Outcomes

When a major Investigation is complete, Sheriff's Office policy sets out the steps to be taken to ensure that no further inquiry is necessary, and includes review by the IIU Commander, the Precinct/Section Commander, Division Commander, and others, depending on the nature of the allegations involved.<sup>19</sup> Following these steps, the case is sent to the Undersheriff for review and to recommend discipline when appropriate. Finally, the Sheriff receives the investigation, findings, and recommended discipline and, if requested, conducts a due process hearing (called a "*Loudermill* hearing") for the named employee.<sup>20</sup> The Sheriff can change the discipline recommendation made by the Undersheriff.<sup>21</sup> As reported previously, KCSO policies provided details regarding the revised review and discipline process for complaints categorized as Minor Investigations or SALs.

After a complaint has been through the investigation and review process, one of five potential findings is made for each allegation raised:

1. Unfounded: The allegation is not factual and/or the incident did not occur as described.
2. Exonerated: The alleged incident occurred but was lawful and proper.
3. Non-Sustained: There is insufficient factual evidence either to prove or disprove the allegation.
4. Sustained: The allegation is supported by sufficient factual evidence and was a violation of policy.
5. Undetermined: The completed investigation does not meet the criteria of classifications 1 through 4. This may involve the following: The complainant withdraws the complaint; the complainant cannot be located; the complainant is uncooperative; the accused member separates from the Sheriff's Office before the conclusion of the investigation and the investigator cannot reach another classification.<sup>22</sup>

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<sup>19</sup> GOM 3.03.190.

<sup>20</sup> The Supreme Court's decision in *Loudermill v. Cleveland Board of Education*, 470 U.S. 532 (1985), and subsequent cases established that Fourteenth Amendment due process rights mandate that a public employee be given the opportunity to be heard and to review evidence supporting the outcome prior to termination or the imposition of other significant discipline, such as demotion or suspension without pay.

<sup>21</sup> GOM 3.03.200.

<sup>22</sup> GOM 3.03.185. The policy notes that, notwithstanding the criteria that might make a finding of Undetermined appropriate, "if enough information has been collected to close the investigation with a classification of 1 through 4, an undetermined classification will not be used."

**Table 5 – Findings and Other Determinations  
Inquiries Only – Allegations**

	Year Investigation Completed						
	2014	2015	2016	2017	2018	2019	2020
<b>Exonerated</b>	65	96	95	82	181	415	424
<b>Sustained</b>	89	169	93	97	99	222	127
<b>Unfounded</b>	96	184	147	58	85	172	140
<b>Non-Sustained</b>	81	95	48	52	58	100	87
<b>Info Only/Unknown</b>	11	9	10	13	19	41	25
<b>No Finding/180-day Deadline Missed</b>	4	4	4	1	27	33	12
<b>Undetermined</b>	12	7	12	4	2	11	24
<b>Annual Total Allegations</b>	358	564	409	307	471	994	839

	Year Investigation Completed						
	2014	2015	2016	2017	2018	2019	2020
<b>Exonerated</b>	18%	17%	23%	27%	38%	42%	51%
<b>Sustained</b>	25%	30%	23%	32%	21%	22%	15%
<b>Unfounded</b>	27%	33%	36%	19%	18%	17%	17%
<b>Non-Sustained</b>	23%	17%	12%	17%	12%	10%	10%
<b>Info Only/Unknown</b>	3.1%	1.6%	2.4%	4.2%	4.0%	4.1%	3.0%
<b>No Finding/180-day Deadline Missed</b>	1.1%	0.7%	1.0%	0.3%	5.7%	3.3%	1.4%
<b>Undetermined</b>	3.4%	1.2%	2.9%	1.3%	0.4%	1.1%	2.9%
<b>Annual Total Allegations</b>	100%	100%	100%	100%	100%	100%	100%

While the total number of Allegation findings for each type of investigation outcome increased significantly between 2018 and 2019, only with Allegations determined to be Exonerated or Undetermined was there even a small increase in 2020. It is useful to look at the findings by percentages instead of raw numbers, to more easily appreciate any evident patterns. For example:

- The percentage of Allegations resulting in a finding of Exonerated has steadily increased over the years, from a low of 18% in 2014 to 51% of all findings in 2020.<sup>23</sup>

<sup>23</sup> This is because these allegations used to be handled as SALs or NIMs instead of Inquiries.

- 15% of Allegations in 2020 were Sustained, the lowest proportion of Sustained cases over the past five years.<sup>24</sup>

The “No Finding” determination refers to an instance where the requirement that investigations be completed within 180 days was not met and there was no extension of the deadline by agreement.<sup>25</sup>

- The number of cases in which the 180-day deadline was missed was relatively low until 2018 and 2019. In 2020, the number of such cases dropped by almost two-thirds, but it is still significantly higher than in 2014 – 2017.
- Beginning in 2018, the Sheriff’s Office determined that if it was clear that the investigation of alleged misconduct exceeded 180 days (which is set by policy and collective bargaining agreements), investigations would be closed with a “No Finding” classification, along with notation of what the finding would have been had the investigation been finished in time.<sup>26</sup> As previously noted, it would be useful to analyze these cases for any patterns that help explain why the deadline was missed and how to avoid similar problems in the future.

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<sup>24</sup> The lower sustained rate is likely due more SALs and NIMs being categorized as inquiries. Many of these types of complaints will result in an unfounded or exonerated disposition.

<sup>25</sup> The 180-day investigation requirement may be extended because the complaint involves alleged criminal conduct or because there were other extenuating circumstances impacting the investigation process. GOM 3.03.150.

<sup>26</sup> Because the data analyzed in this report is extracted from the IAPro tracking system, information on anticipated findings had the deadline not been missed is not available.

**Diagram 1 – Sustained Allegations by Year  
Sworn and Professional Employees  
Inquiries Only**

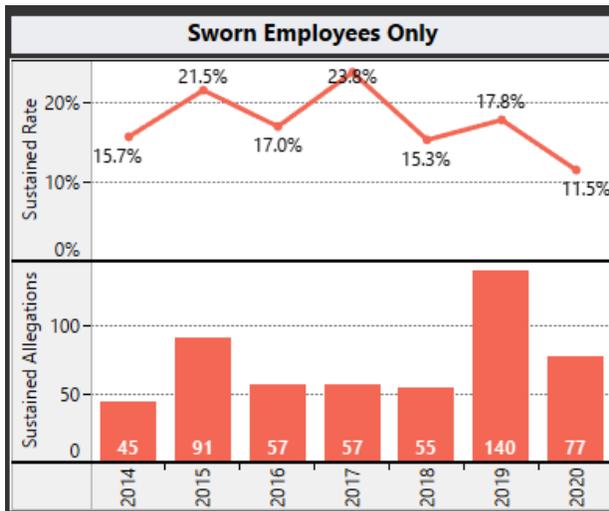
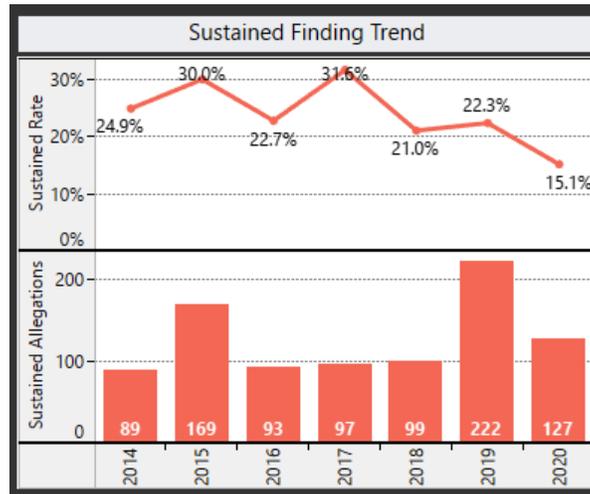


Diagram 1 provides data on the Sustained rate for completed cases involving both Professional and Sworn employees in the years 2014 to 2020. It can be difficult to interpret the significance of an increase or decrease in Sustained rates, particularly in isolation from other data on findings.<sup>27</sup> An increase or decrease in Sustained findings could be indicative of more or less misconduct among employees; result from enhanced training for investigators; could be

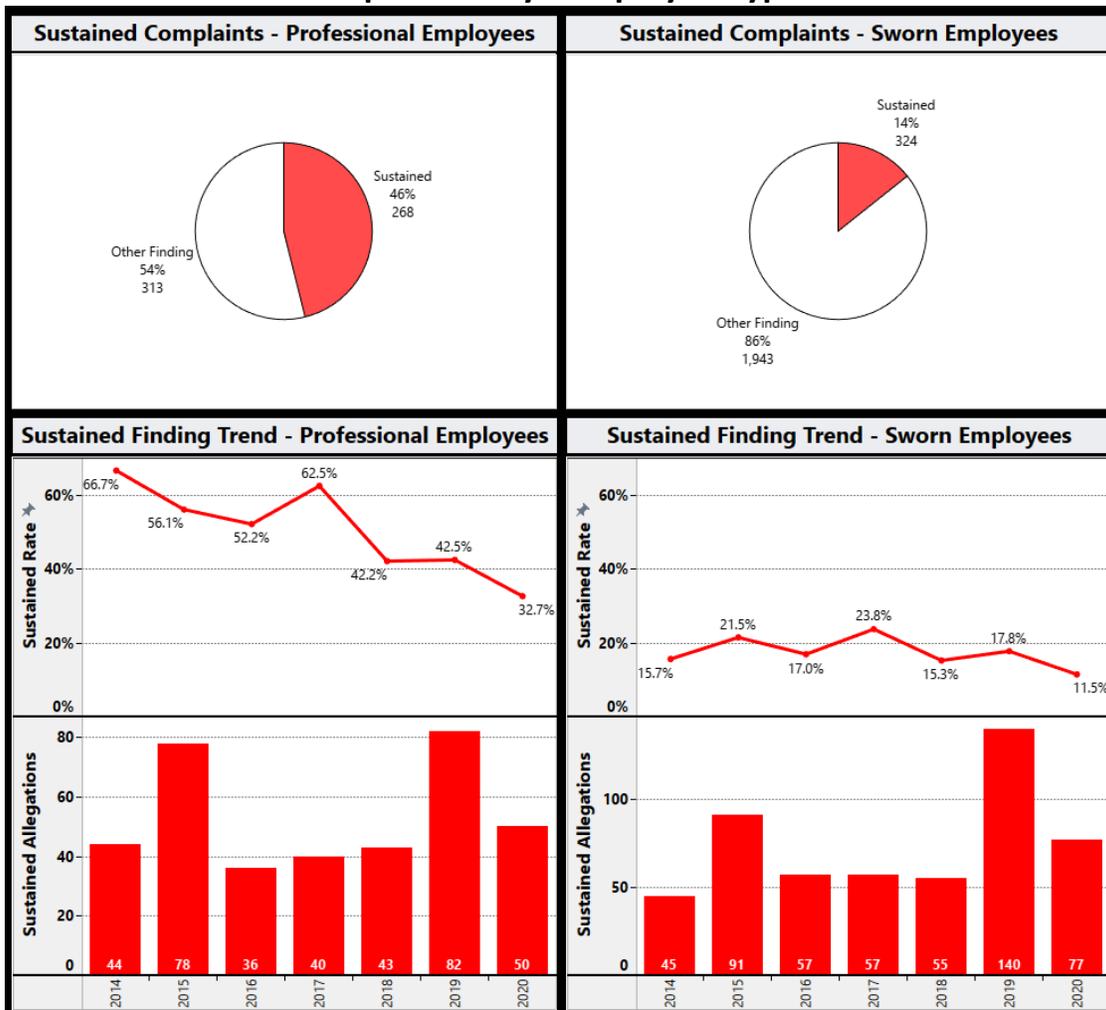
<sup>27</sup> As noted previously, KCSO has turned more complaints into Inquiries that previously were categorized as SALs or NIMs. This is both a policy issue as well as an interpretation of how complaints should be handled.

explained by the overall caseload, Unit priorities, and the time available for investigations; or the rate of Sustained findings could be influenced by a combination of these contributors or a variety of other factors.

- Despite the difficulty in attributing meaning to this data, it is noted that there was a small percentage change (21% to 22.3%) in the number of Sustained Allegations between 2018 and 2019, while both the number (127) and percentage (15.1%) of Sustained allegations dropped in 2020.
- In 2020 the sustained rates for both sworn (11.5%) and professional (32.7%) employees were at the lowest levels in the last seven years

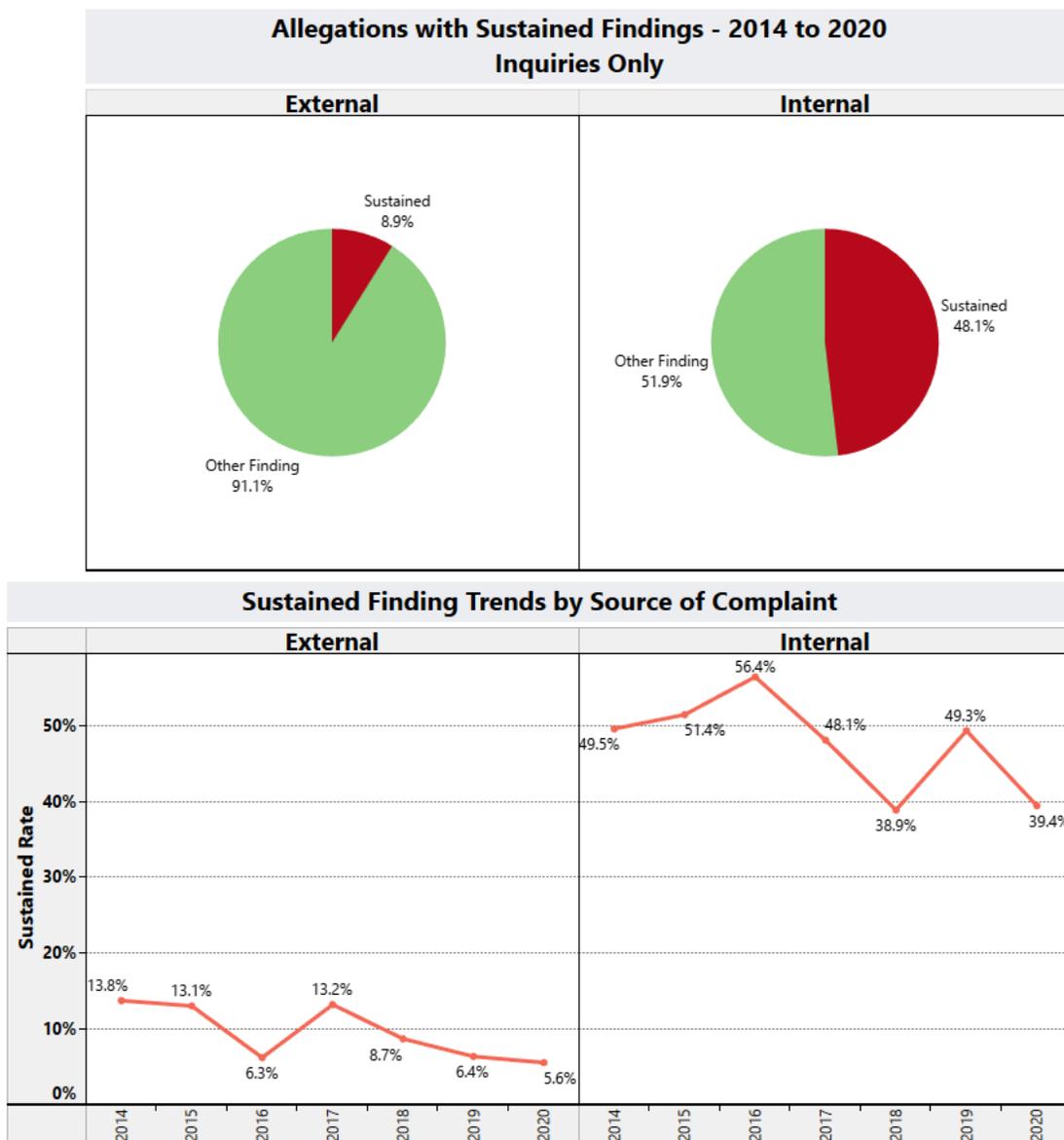
Diagram 1 above presents Sustained finding data for all allegations involving Sworn and Professional Employees combined over the six years reviewed. However, the IAPro data on Sustained rates can be broken down in a number of other ways. For example, see the two diagrams below.

**Diagram 2 – Sustained Allegations 2014 - 2020  
Inquiries Only - Employee Type**



There is a trend of a relatively higher rate of Sustained allegation findings with Professional employees, as compared to Sworn employees, evident whether looking at individual years or across the full data set. This is likely explained by more internally generated complaints against Professional employees filed by supervisors who had documented an employee’s performance problems leading to a misconduct complaint with sufficient evidence to result in a Sustained finding. The 11.5% rate of Sustain findings for Sworn employees is the lowest it has been in the seven years of data analyzed.

**Diagram 3 - Sustained Allegations 2014 - 2020  
Inquiries Only - Source of the Complaint**



Similar to the explanation in Diagram 2, misconduct complaints filed by internal sources are sustained at higher rates because they more often represent underlying performance problems documented over time, as opposed to complaints filed by external sources, which usually derive from a single enforcement incident. The overall percentage of complaints from external sources increased by 9% in 2020, as seen in Table 2, while the sustained rate for complaints filed by external sources dropped to 5.6% in 2020. There is no obvious explanation as to why the sustained rate for external complaints has dropped from 13.2% in 2017 to 5.6% in 2020.

**Table 6 – Discipline by Year  
Based on Sustained Complaints  
Inquiry Only**

	Year Investigation Completed							Total
	2014	2015	2016	2017	2018	2019	2020	
<b>Reprimand</b>	13	14	12	14	18	23	34	128
<b>Corrective Counseling</b>	7	13	10	5	3	15	30	83
<b>Suspension</b>	5	16	12	13	10	6	8	70
<b>Unknown</b>	2	2	--	8	3	8	8	31
<b>Resign &amp; Terminate</b>	3	10	4	2	1	4	3	27
<b>Training &amp; PIP</b>	--	3	1	--	6	7	9	26
<b>Demotion &amp; Transfer</b>	--	--	1	--	--	--	3	4
<b>Annual Total</b>	30	58	40	42	41	63	95	369

	Year Investigation Completed							Total
	2014	2015	2016	2017	2018	2019	2020	
<b>Reprimand</b>	43%	24%	30%	33%	44%	37%	36%	35%
<b>Corrective Counseling</b>	23%	22%	25%	12%	7%	24%	32%	22%
<b>Suspension</b>	17%	28%	30%	31%	24%	10%	8%	19%
<b>Unknown</b>	7%	3%	--	19%	7%	13%	8%	8%
<b>Resign &amp; Terminate</b>	10%	17%	10%	5%	2%	6%	3%	7%
<b>Training &amp; PIP</b>	--	5%	3%	--	15%	11%	9%	7%
<b>Demotion &amp; Transfer</b>	--	--	3%	--	--	--	3%	1%
<b>Annual Total</b>	100%	100%	100%	100%	100%	100%	100%	100%

Table 6 provides a snapshot of the types of discipline or other corrective action that can result when a complaint is Sustained. A complaint can involve multiple allegations, though only one form of discipline will result for any Member named in a complaint, regardless of the number of allegations that ultimately are Sustained. Thus, complaints are considered instead of allegations when analyzing discipline data.

- In 2019 and 2020, a Reprimand (37% and 36%) or Corrective Counseling (24% and 32%) were the two most common forms of discipline or action taken.<sup>28</sup>
- Between 2018 and 2019 the number of Suspensions dropped by nearly half between 2018 and 2019 or, considering Suspensions relative to other forms of discipline, there was a drop from 24% to 10%, close to the proportion seen in 2020, which was 8%.
- The discipline categories of Resignations & Terminations and Demotions & Transfers each represented 3% of the total discipline determined in 2020, a relatively small percentage of all discipline types.
- The use of Corrective Counseling as an outcome has been seen more often in recent years, moving from 7% of all discipline types in 2018 to 24% in 2019 and 32% in 2020.

While the Sheriff's Office tracks information on individuals who receive training as a complaint outcome, broader training or policy changes resulting from misconduct investigations are not recorded in the IAPro system. While the KCSO already evaluates the need for policy changes with respect to serious force incidents when it conducts Critical Incident Review Boards, it should consider also tracking policy changes related to other forms of misconduct. This will allow for such information to be included in annual reports and be responsive to Motion 14002.

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<sup>28</sup> As noted in earlier reports, Corrective Counseling is often a lesser-included outcome and not considered discipline; e.g., an Inquiry founded as Exonerated but where a minor training issue was identified might result in a Corrective Counseling Memo documenting the follow-up action.

## Sample Characteristics of Sworn Employees Named in Complaints

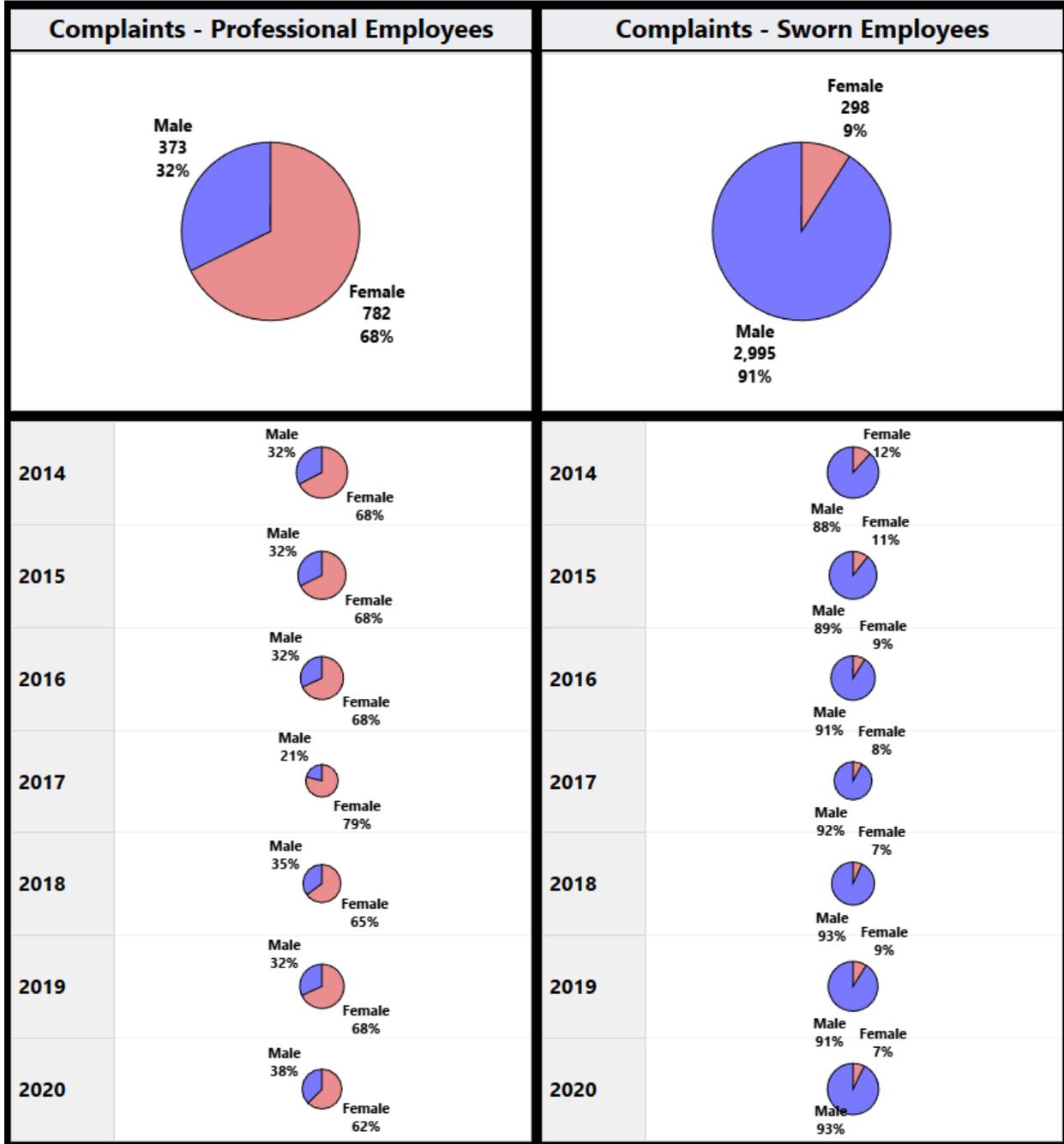
Many stakeholders interested in learning more about the misconduct investigation process and outcomes are primarily concerned with Sworn employees. The following tables and diagrams provide data regarding sample characteristics of Sworn employees named in misconduct complaints.

**Table 7 – Sworn vs. Professional Employees Named in Complaints  
(Excluding Unknown Employee Type)  
Inquiry & SAL**

	Year Investigation Completed							6-Year Average
	2014	2015	2016	2017	2018	2019	2020	
Sworn	73%	74%	74%	78%	79%	78%	80%	77%
Professional	27%	26%	26%	22%	21%	22%	20%	23%

Sworn employees consistently have been named in misconduct complaints more often than Professional employees, with complaints against Sworn employees comprising an average of 77% of all complaints filed against Members of the Sheriff’s Office.

**Diagram 4 - Complaints Filed Against KCSO Members 2014 - 2020  
Employee Gender**



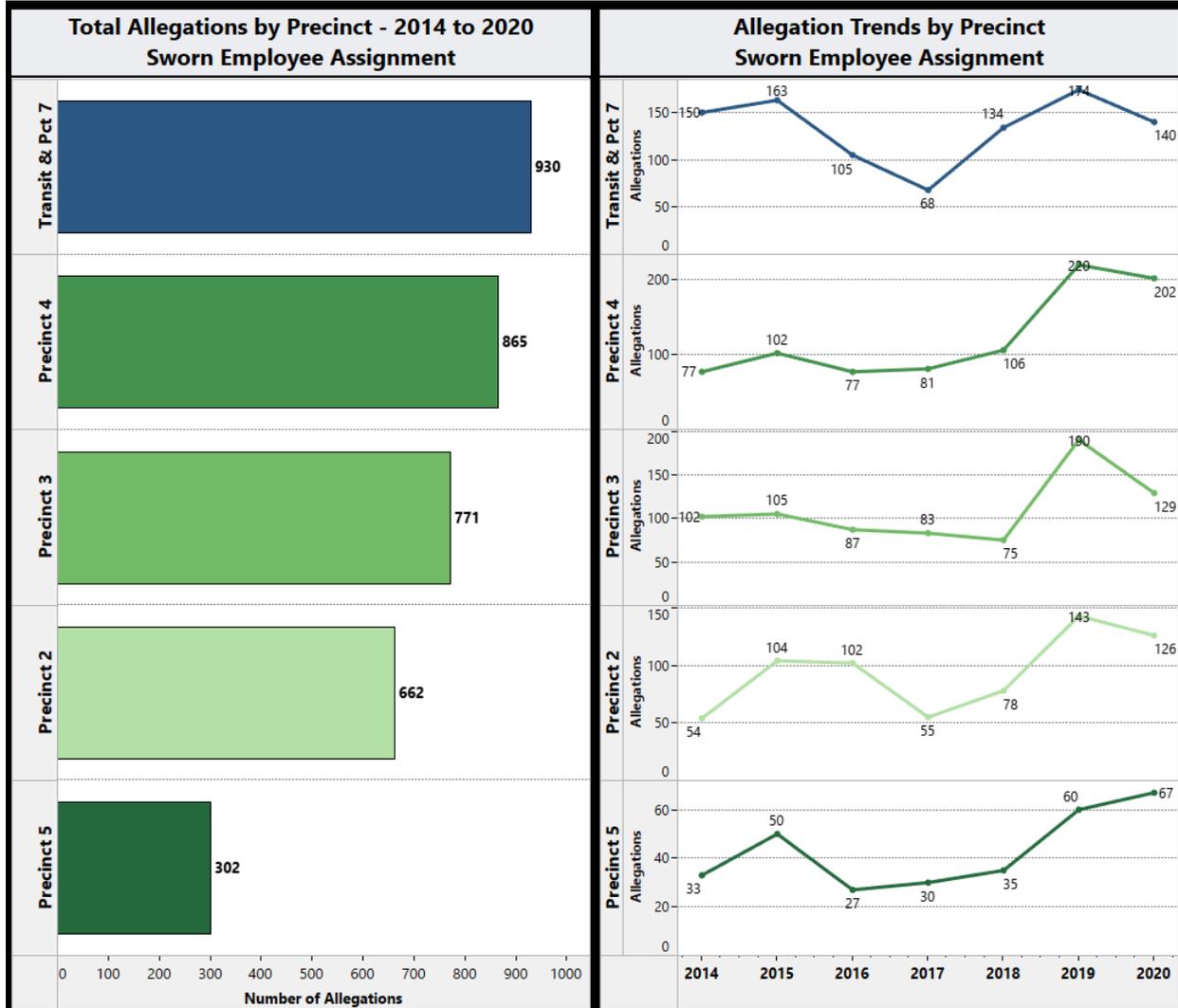
As seen in Diagram 4, approximately 91% of all allegations against Sworn Members of the Sheriff’s Office from 2014 to 2020 involve males, with only 9% involving female Sworn Members. This likely reflects, at least in part, the lower percentage of all Sworn Members who are female. In contrast, 75% of complaints against Professional Employees involve females.

**Table 8 – Rank of Sworn Employees Named in Misconduct Complaints  
Inquiries and Supervisor Action Logs (SALs)**

<b>Rank</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>
<b>Deputy</b>	436	370	330	241	295	390	390
<b>Sergeant</b>	90	65	40	27	44	59	59
<b>MPO</b>	16	25	28	25	27	41	53
<b>Marshal</b>	14	19	17	6	10	14	17
<b>Captain</b>	17	18	8	9	14	13	0
<b>Detective</b>	2	4	9	9	11	18	31
<b>Sheriff, Chief &amp; Major</b>	10	13	3	1	12	11	11
<b>Reserve Deputy</b>	4	1	4	1	1	4	4

- The majority of Sheriff’s Office Sworn Members named in complaints are Deputies, which is to be expected as they represent the largest segment of employees in the Department. Deputies also have the majority of law enforcement interactions with the public that often underlie complaints of misconduct.
- The number of complaints against Deputies increased by approximately a third in 2019, as compared to 2018, with the same number of complaints in 2020 (390) involving Deputies as had been seen in 2019. This increase, at least in part, likely reflects IIU’s effort to close cases and to improve data entry by correcting and completing IIU information in general.
- In both 2019 and 2020, 59 Sergeants were named in misconduct complaints.
- An increase in complaints naming MPOs and Marshals is seen in 2019 and 2020.

**Diagram 5 – Allegations by Sworn Employee Assignment<sup>29</sup> – 2014 to 2020  
Inquiries and Supervisor Action Logs (SALs)**



- Between 2019 and 2020 the number of allegations in closed complaints against sworn employees fell in every precinct except for Precinct 5 which rose from 60 to 67 allegations.
- Between 2019 and 2020 the number of allegations against sworn employees dropped by 32% in Precinct 3, 20% in Precinct 7/Transit, 12% in Precinct 2 and 8% in Precinct 4 while climbing 12% in Precinct 5.

<sup>29</sup> The Precincts are named as follows: Precinct 2 – Northeast, Precinct 3 – Southeast, Precinct 4 – Southwest, Precinct 5 – Shoreline, Precinct 7 – Metro, Transit – Sound Transit.

## Diagram 6 – Allegations by Sworn Employee Assignment – 2014 to 2020 Inquiries and Supervisor Action Logs (SALs)

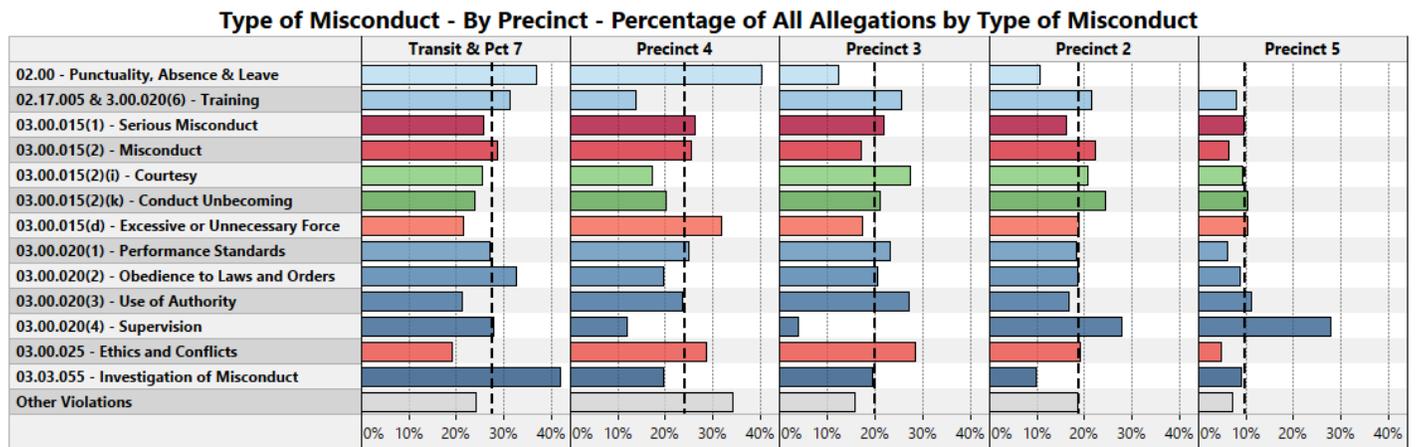


Diagram 6 examines how different types of misconduct allegations against sworn employees are distributed by precinct.

- Precinct 4 had the highest percentage of allegations regarding punctuality (40%) while no sworn employees in Precinct 5 have had any complaints about punctuality in the last 7 years.
- Allegations about courtesy are more commonly seen in Precinct 3 (27%) and are seen less frequently in Precinct 4 (17%).
- 28% of all complaints about supervision were made in Precinct 5 despite the fact that this precinct receives only 10% of all allegations against sworn officers.
- Allegations regarding investigations of misconduct were most commonly found in Precinct 7/Transit (42%) while Precincts 2 and 5 had less than 10% of this type of allegation each.
- Allegations about excessive or unnecessary force were most likely found in Precinct 4 (32%).

## Employees with Multiple Complaints

King County Council Motion 14002 calls for reporting on the number of individual employees who have accrued three or more complaints in the reporting year or eight or more complaints total in the reporting year and the prior three years.

**Table 9 – Number of Employees with Three or More Closed Complaints During the Reporting Year  
Inquiries and Supervisor Action Logs (SALs)**

	Year Investigation Completed						
	2014	2015	2016	2017	2018	2019	2020
<b>Professional</b>	24	26	15	12	16	15	19
<b>Sworn</b>	57	47	41	25	33	55	41
<b>Total</b>	81	73	56	37	49	70	60

**Table 10 – Number of Employees with Eight or More Closed Complaints During the Reporting Year and Prior Three Years  
Inquiries and Supervisor Action Logs (SALs)**

	Year Investigation Completed			
	2014 - 2017	2015 - 2018	2016 - 2019	2017-2020
<b>Professional</b>	22	20	21	17
<b>Sworn</b>	44	35	31	41
<b>Total</b>	66	55	52	58

It is difficult to determine the significance of considering the total number of employees, Sworn or Professional, who receive multiple complaints within a single year or over a number of years, as is required by Motion 14002. Many contextual factors can contribute to the likelihood of whether a Member/ Employee is named in a misconduct complaint, including factors such as whether the employee is Sworn or Professional, specific job assignment, shift assignment, and work location. Sworn Employees comprise a much larger percentage of the overall workforce in the Sheriff's Office, so it would be expected that this group would draw more complaints by total

number. Most Sworn Members hold the rank of Deputy and Deputies engaged in patrol functions are regularly interfacing with the public, with more opportunities for complaints to arise. Further, law enforcement activity is higher in certain parts of King County, which might result in a higher incidence of use of force and more complaints related to force drawn from those areas. The data analysis underlying Tables 10 and 11 and throughout this report provide an opportunity to look at the number of employees who accrue complaints within a year or over time to determine how the numbers are impacted by these and other factors.

## Trends and Recommendations

Changes over time in the Sheriff's Office administration, policy, and procedures, IIU management, data entry quality control, and other factors can impact the reliability of data reported for misconduct complaints closed during the years 2014 to 2020. IIU has tried over the past two years to add data that was missing in IAPro and emphasize the importance of accurate data entry. By continuing with these quality control measures, making explicit the assumptions underlying the data analysis, and recognizing unusual factors that might impact case processing in a particular year, it is hoped that data reliability will continue to improve moving forward.

Trends and recommendations noted below are divided by the corresponding report sections, though are consecutively numbered for ease in reference.

### Misconduct Complaint Intake and Investigation

- 1) Similar to 2019, there was an increase in the number of inquiries closed in 2020 and a drop in the number of SALs closed during the same period.
- 2) IIU should be commended on correcting missing data concerning the source of complaints, with the result that all complaints are categorized as being either from an Internal or External source. In previous reports, a concern had been noted about the number of "Unknown" sources, but it appears IIU's quality control plan to address data entry problems on this front has been successful.
- 3) Previous reports recommended that the Sheriff's Office consider limiting the number of policies referenced for the same type of misconduct and that written guidance be provided on how similar types of misconduct differ. There was an 18.5% decrease in the number of allegations raised in 2020 complaints, likely reflecting IIU's effort to eliminate duplicate allegations, where similar policy violations address the same alleged misconduct.
- 4) Allegations involving Performance Standards more than doubled in 2019 and continued to increase in 2020.

- 5) Allegations related to Use of Authority more than tripled between 2018 and 2019, and there was another 14% increase in Use of Authority allegations in 2020.
- 6) After more than doubling between 2018 and 2019, allegations of Excessive or Unnecessary Use of Force dropped by about 25% in 2020.
- 7) Allegations involving criminal investigations are not separately tracked in IAPro. As previously noted, it is recommended that IIU implement a means to identify and track allegations of criminal misconduct, to facilitate the risk management analytic process and allow for such information to be included in public reports.

### Investigation Findings, Discipline and Other Outcomes

- 8) The percentage of Allegations resulting in a finding of Exonerated has steadily increased over the years analyzed and represented 51% of all findings in 2020.
- 9) 15% of Allegations in 2020 were Sustained, the lowest proportion of Sustained cases over the past five years.
- 10) The number of cases in which the 180-day deadline was missed is relatively low, dropping from 33 in 2019 to 12 in 2020. Beginning in 2018, the Sheriff's Office determined that if it were clear that the investigation of alleged misconduct exceeded 180 days (which is set by policy and collective bargaining agreements), investigations would be closed with a "No Finding" classification, along with notation of what the finding would have been had the investigation been finished in time. As noted previously, it is recommended that these cases be analyzed for any patterns that may help explain why the deadline was missed and how to avoid the problem in the future.
- 11) Over the past seven years the percentage of Sustained allegations has varied for Sworn and Professional Employees combined, with a high of 31.5% in 2017 to a low of 15.1% in 2020.
- 12) Sustained rates for Professional Employees are consistently higher over the years than for Sworn Members. The trend of there being a relatively higher rate of Sustained allegation findings with Professional Employees, as compared to Sworn Employees, is seen whether looking at individual years or across the full data set. The higher sustained rate with

Professional Employees is likely at least partially explained by the tendency for supervisors to document performance deficiencies prior to filing a complaint, providing ready evidence to support a sustained finding.

- 13) The percentage of allegations resulting in a Non-Sustained finding dropped to 10% for both 2019 and 2020. The decrease in the percentage of Non-Sustained findings may indicate a greater willingness of the Sheriff's Office to make a clear finding on whether or not a complaint has merit, even if it entails making difficult credibility determinations and resolving differences where there is conflicting evidence.
- 14) In 2019 and 2020, a Reprimand or Corrective Counseling were the two most common forms of discipline or action taken on Sustained complaints.
- 15) Considering Suspensions relative to other forms of discipline, the drop to 8% in 2020 was similar in proportion to the 10% rate observed in 2019 .
- 16) Corrective Counseling as a discipline outcome is being used much more frequently, increasing from 7% in 2018 to 32% of total discipline in 2020.
- 17) As has been suggested previously, it is recommended that the Sheriff's Office devise a means to record training and policy changes growing out of investigations where they impact Members beyond the originally involved Employee. This will allow for such information to be included in annual reports and responsive to Motion 14002.

### Sample Characteristics of Sworn Employees Named in Complaints

- 18) Sworn Employees are consistently named in misconduct complaints more often than Professional Employees, with Sworn Members named on average in 77% of all complaints over the past seven years.
- 19) Female employees are named in 68% of complaints involving Professional Members, while females only constitute 9% of complaints against Sworn Members, likely reflecting the lower percentage of Sworn Employees who are female.
- 20) The majority of Sheriff's Office Sworn Members named in complaints are Deputies, though they also represent the largest segment of Sheriff's Office employees.
- 21) Precinct 4 received the largest total number of Allegations in 2020 .

## Conclusion

Since the Sheriff's Office was concerned that different administrations and IIU Commanders did not use a consistent approach in tracking, reviewing, and reporting on misconduct complaint data, Police Strategies was asked to use a new methodology to analyze the IIU data contained within IPro, beginning with data for 2014. Over time, data has been corrected where necessary as new information was discovered. The current report provides updated data for complaint sources, External or Internal, based on efforts made by IIU to provide data that had been missing earlier. Using the same set of standards for the years 2014 - 2020, data has been extracted directly from the Sheriff's Office IPro system, analyzed, and summarized during each reporting period. These same standards will be used moving forward, allowing for increased reliability and more meaningful interpretation of the information gleaned from IIU misconduct complaint data.