



## Internal Affairs Investigations and Supervisor Inquiries

CY2021 Annual Summary (CY2020)

**Date of Summary:** February 22, 2021

**Summary Data Collection Period:** CY2020

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**Distribution:** DCS Director, DCS Personnel, DU Campus Community and CALEA

## CALEA STANDARD 25.1.5

### 25.1.5 Summary of Investigations Available to Public

*The agency complies annual statistical summaries of complaints and internal affairs investigation, which are made available to the public.*

#### OVERVIEW

All received complaints (Citizen Complaints) or Division initiated complaints (Employee Incident Reports) were fully investigated by the Division of Campus Safety. The Division take these complaints seriously. The Division's Special Support Services oversees the Internal Affairs function and ensures that all complaints against DCS personnel, or the Division as a whole, are thoroughly investigated, either as an Internal Affairs Investigation, or at the supervisor level through a Supervisor Inquiry. Complaints are reviewed and investigation as a means of checks and balances to ensure the Division's members treat the community we serve and co-workers with dignity and respect.

The number of Citizen Complaints, which are those lodged against DCS personnel from a source outside of the Division, in CY2020, totaled three (3). There was one (1) complaint that the Division received, reviewed and sent University's Office of Equal Opportunity/Title IX for further examination due to the nature of the allegations. The number of Employee Incident Reports, which are Division directed complaints lodged against DCS personnel by either a DCS supervisor, senior manager, or another DCS employee, totaled

#### STATISTICAL DATA (CY2020)

The Division of Campus Safety utilized a designated electronic software program, Guardian Tracking, for the purpose of recording the intake, review, assignment and other processing of both internal Employee Incident Reports and external Citizen Complaints against members of the Division or the Division as a whole. This software ensures accurate reporting of these types of incidents and the Division's response. Guardian Tracking is the records repository for all the Division's Internal Affairs investigations and Line Supervisor Inquiries. The software allows supervisors and those conducting the IA investigation or Supervisor Inquiry to enter details about the case, review the case and forward the case up the chain of command for case findings of fact and dispositions. Each case is reviewed by the Director of Campus Safety with conclusions and recommendations of corrective or disciplinary action, if applicable. The Director of Campus Safety determines the final outcome of the case.

The below tables contain statistical data extracted from the Division's Guardian Tracking System in reference to Citizen Complaints received and Employee Incident Reports initiated during CY2020.

	2018	2019	2020
<b>Citizen Complaint (External)</b>	<b>3</b>	<b>4</b>	<b>3*</b>
<b>Sustained</b>	<b>1</b>	<b>2</b>	<b>2</b>
<b>Not Sustained</b>	<b>1</b>	<b>0</b>	<b>1</b>
<b>Unfounded</b>	<b>1</b>	<b>0</b>	<b>1</b>
<b>Exonerated</b>	<b>0</b>	<b>2</b>	<b>0</b>
<b>Withdrawn</b>	<b>0</b>	<b>0</b>	<b>0</b>

The above chart shows that there were three (3) Citizen Complaints received by the Division during CY2020. One (1) complaint contained multiple allegations. A finding of fact is determined for each allegation against each DCS employee involved in individual incident. The chart reflects the total number of findings of fact dispositions for each of the three (3) Citizen Complaints received and assigned for investigation or an inquiry during CY2020. Additionally, one (1) of the three Citizen Complaints received during CY2020 was determined to fall under the purview of EO/Title IX. This complaint was sent to the Office of Equal Opportunity and Title IX and remains confidential under University policy. The disposition is reflected in the above table, but not detailed in subsequent tables that reflect data on Citizen Complaints.

	2018	2019	2020**
<b>Employee Incident Report (Division Directed)</b>	<b>4</b>	<b>1</b>	<b>11</b>
<b>Sustained</b>	<b>1</b>	<b>2</b>	<b>15</b>
<b>Not Sustained</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Unfounded</b>	<b>0</b>	<b>0</b>	<b>2</b>
<b>Exonerated</b>	<b>0</b>	<b>0</b>	<b>3</b>
<b>Other</b>	<b>0</b>	<b>0</b>	<b>0</b>

The above chart shows that there were 11 Employee Incident Reports created associated with a Division directed complaint. Several of the Employee Incidents Reports contain allegations against multiple DCS employees associated with the same incident. A finding of fact is determined for each allegation against each DCS employee involved in individual incident. The chart reflects the total number of findings of fact for each of the 11 Employee Incident Reports initiated during CY2020.

CATEGORY	(CY 2018)	(CY2019)	(CY2020)
<b>Harassment Allegations</b>	2	1	1
<b>Discrimination Allegations</b>	0	0	0
<b>Bias Based Profiling</b>	0	0	1

The below data is collected from the University's Office of Equal Opportunity and Title IX. These cases are handled by this Department and the specific content of the investigations are considered confidential. The below data reflects the number of allegations received by this office during CY2020.

## EMPLOYEE INCIDENT REPORTS (DIVISION DIRECTED COMPLAINTS)

# of Employee Incidents (Internal)	EIR Number	DCS Personnel Involved	Directive/SOP Allegation	Findings	Action
1	ARMS 2000117	1	Improper Conduct - Use of Force	Sustained	Resigned prior to Termination
	EIR-2020-001	2	Use and Care of Division/University Vehicles	Sustained	Coaching
	EIR-2020-002	3	Job Performance, Competency, and Proficiency	Sustained	Coaching
	EIR-2020-003	4	Job Performance, Competency, and Proficiency	Sustained	Coaching
2	EIR-2020-004	1	Job Knowledge and Compliance	Sustained	Coaching
	EIR-2020-005	2	Job Knowledge and Compliance	Sustained	Coaching
3	EIR-2020-006	1	#1 Improper Conduct - Use of Force, #2 Improper Conduct - Detention and/or Arrest	#1 Exonerated #2 Sustained	Coaching
	EIR-2020-007	2	#1 Improper Conduct - Use of Force, #2 Improper Conduct - Detention and/or Arrest	#1 Exonerated #2 Sustained	Coaching
4	EIR-2020-008	1	Job Knowledge and Compliance	Sustained	Counseling, Remedial Training
5	EIR-2020-009	1	Job Performance, Competency, and Proficiency	Sustained	Coaching
6	EIR-2020-010	1	Job Performance, Competency, and Proficiency, Job Knowledge and Compliance	Sustained	Counseling
7	EIR-2020-011	1	Job Knowledge and Compliance	Sustained	Coaching
	EIR-2020-012	2	Job Knowledge and Compliance	Exonerated	N/A
	EIR-2020-013	3	Job Knowledge and Compliance	Unfounded	N/A
	EIR-2020-014	4	Job Knowledge and Compliance	Unfounded	N/A
9	EIR-2020-015	1	Job Knowledge and Compliance, General Conduct - Neglect of Duty, General Conduct - Conduct Towards Co-Workers,	Sustained	Written Warning
10	EIR-2020-016	1	Job Knowledge and Compliance, Compliance of Orders/Direction and Insubordination	Sustained	Suspension
11	EIR-2020-017	1	General Conduct - Reporting for Duty	Sustained	Written Warning

## CITIZEN COMPLAINTS

# of Citizen (External) Complaints	Complaint Number	DCS Personnel Involved	Directive/SOP Allegation	Findings	Action
1	COM-2020-001	1	#1 Job Knowledge and Compliance #2 General Conduct - Conduct Towards the Community	#1 Sustained #2 Not Sustained	Written Warning
1	COM-2020-003	1	Job Knowledge and Compliance, Compliance of Orders/Direction and Insubordination	Sustained	Suspension*

## INTERNAL AFFAIRS INVESTIGATIONS AND SUPERVISOR INQUIRES (CY2020)

### **Line Supervision Inquires (Supervisor Inquiries):**

The cases assigned directly to the affected DCS employee's supervisor are generated from allegations of employee misconduct and/or violations of Division directives or University policies which are minor in nature. These are termed Supervisor Inquiries and are initiated and assigned from either an external source (Citizen Complaints) or internally from within the Division internally (Employee Incident Reports). Supervisor Inquiries normally do not require an extensive investigation into the allegations.

In CY2020, 20 allegations against DCS members, which were a combination of Citizen Complaints and Employee Incident Reports, were assigned to a supervisor as a Supervisor Inquiry. It is noted that some of these cases contained multiple allegations against multiple DCS member per incident. This is an increase from CY2019, in which thirteen (13) were assigned. This increase is attributed to the Division's launching of the Guardian Tracking System, which provided more accuracy in reporting and the ability to count each separate allegation lodged within an incident. This ensures that each aspect of the complaint is reviewed and addressed. The review determined that the slight increase is not a significant concern as five (5) allegations were determined to not reflect any violation of directives or did not occur after a thorough investigation (Exonerated or Unfounded). The sustained violations resulted mainly in lower level corrective action, such as coaching and/or remedial training.

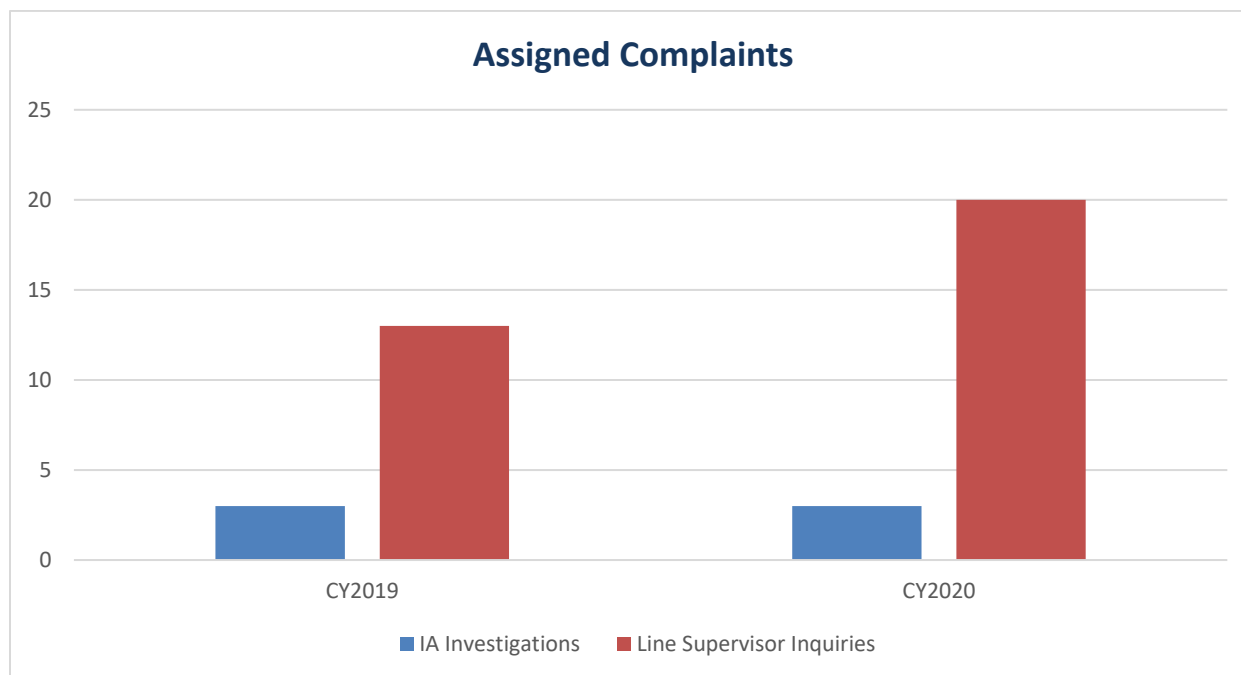
### **Internal Affairs Investigations:**

Cases assigned as an Internal Affairs investigation are handled by trained members of the DCS Special Support Services. These investigations are generated from allegations of employee misconduct and/or violations of Division directives or University policies which are minor in nature. Internal Affairs investigations are initiated and assigned from either an external source (Citizen Complaints) or internally from within the Division internally (Employee Incident Reports). Supervisor Inquiries normally are more serious in nature or require an extensive investigation, to include those that may cross between several components of the Division.

In CY2020, there were three (3) Internal Affairs investigations that contained allegations against DCS members, which were a combination of Citizen Complaints and Employee Incident Reports. It is noted that some of these cases contained multiple allegations against multiple DCS member per incident. In comparison to CY2019, the total amount of cases assigned as an Internal Affairs investigation in CY2020 remained the same. The sustained violations resulted in a "written warning" in one case and a suspension from duty without pay in one case.

### ASSIGNED COMPLAINTS – Internal Affairs Investigations vs Line Supervisor Inquiries

	IA Investigations	Supervisor Inquiry
CY2019	3	13
CY2020	3	20



### FINAL DISCIPLINARY OR CORRECTIVE ACTIONS CY2020

The below listed tables provide the type of discipline or corrective action associated with the above investigated directive allegations. Some sustained investigations or inquiries included multiple allegations and were combined into one final action.

Additionally, it is noted that the Guardian Tracking software is associated with the Division's Personnel Early Intervention Program, which is designed to collect, retain and analyze Division personnel complaint data for the purpose of identifying patterns or trends that could reveal problematic employee behavior, training needs, equipment upgrades or modifications to the Division's written directives. The Personnel Early Intervention Program allows the Division to intervene and address in these matters by way of designated intervention methods and corrective actions before they become disciplinary in nature. These include, but are not limited to, verbal coaching, remedial training and the availability of the University's Employee Assistance Program in situations where there is an indication of internal or external stressors involved. The Division began tracking these types of dispositions when the Guardian Tracking system was launched in CY2020 as reflected in the below tables.

CY2020	Termination	Demotion	Suspension	Written Warning	Written Counseling	Verbal Coaching
ESS&T	0	0	0	0	0	0
Patrol Operations	0	0	0	0	0	0
Day Shift	0	0	1	1	0	9
Night Shift	0	0	0	1	2	7
Senior Management/ Administrative Staff	0	0	0	0	0	0

Personnel Actions	2018	2019	2020
Termination	0	2	0
Resigned in Lieu of Termination	1	1	1
Suspension	0	0	1
Demotion	3	4	0
Written Warning	6	8	2
Written Counseling	20	11	2
Verbal Coaching	-	-	16

## REVIEW OF DIVISION OF CAMPUS SAFETY WRITTEN DIRECTIVE

The Internal Affairs written directive is reviewed annually by the Associate Director (Commander) of the Division's Special Support Services in collaboration with the DCS Senior Management to identify trends, training and written directive needs for revisions or updates. It was determined that the assignment of complaints to either an Internal Affairs Investigation or Supervisor Inquiry is not clearly defined in the associated directive. The directive mainly addresses the process for conducting Internal Affairs investigations. A revision of this directive to outline the process of determining how Citizen Complaints and Employee Incident Reports are assigned and conducted is scheduled for CY2021.

## CONCLUSIONS AND RECOMMENDATIONS

A review of the reported incidents revealed that the reporting avenue for filing complaints and generating the appropriate level of investigation and review of recommended findings and actions is working. The implementation of the Guardian Tracking software for CY2020 has increased the Division's accountability and transparency by documenting, tracking and securing complaints in one place as well as identifying DCS personnel who are need of additional training and monitoring. Additionally, the revised process and application of the new software system has resulted in better record keeping, increased engagement from the Division's supervisors and senior leaders in the work performance management of DCS personnel and alerts to any intervention needs for both individual employees and the Division as a whole. There are no recommendations at this time other than continuous review of this process and associated written directives.