

**MARICOPA COUNTY SHERIFF'S OFFICE**  
**Civilian Supervisory Note Inspection**



**Bureau of Internal Oversight**  
**Audits/Inspections Report**  
**Date: May 24, 2016**  
**Inspection # 2016-0048**

# MARICOPA COUNTY SHERIFF'S OFFICE

*Memorandum*



Joseph M. Arpaio, Sheriff

**To:** Lieutenant Rick Morris #S1014  
Commander  
Bureau of Internal Oversight

**From:** Patty Huling # B3184  
Senior Auditor  
Bureau of Internal Oversight

**Subject:** Supervisory Note Inspection: Civilian  
April 2016  
#2016-0048

**Date:** May 24, 2016  
Audit Period:  
April 1-30, 2016.

## **Background:**

This Supervisory Note inspection is being conducted to determine compliance with MCSO office Policies, promote proper supervision, and support compliance with the Melendres Order. To achieve this, inspectors will utilize the "IAPro" System to make a random stratified selection of 15% of all civilian employees. Blue Team Supervisory Note and Briefing entries will be uniformly inspected utilizing a matrix developed by the Bureau of Internal Oversight. The Policies for Command Responsibility (GB-2), Preventing Racial and other Biased-Based Profiling (CP-8) and the following procedures were used to formulate the matrix.

## **Matrix Procedures:**

- Ensure the Supervisor has made at least one performance entry per Civilian employee, per month.
- Determine if the Supervisor discussed bias-based profiling
- Determine if the Supervisor discussed any MCSO policies
- Each BlueTeam entry inspected will be counted as one inspection

## **Authorities:**

MELENDRES ORDER, PARAGRAPH 22: MCSO Leadership and supervising Deputies and Detention Officers shall unequivocally reinforce to subordinates that discriminatory policing is unacceptable.

MELENDRES ORDER, PARAGRAPH 75: The EIS shall include a computerized relational database, which shall be used to collect, maintain, integrate, and retrieve supervisory observations of each employee.

MCSO Administrative Broadcast # 15-36, dated 03/24/15: "Effective immediately, as it applies to detention and civilian employees only, all Supervisors shall make Blue Team Supervisor Note entries once a month."

MCSO Policy CP-8.5, PREVENTING RACIAL AND OTHER BIAS-BASED PROFILING: 5. **Supervisor Responsibility:** Office leadership, supervising deputies and detention officers shall unequivocally and consistently reinforce to subordinates that biased-based profiling is unacceptable. All personnel shall report violations of policy. Supervisors of all ranks shall be held accountable for identifying and responding to policy or procedure violations by personnel under their command and ensuring that personnel are held accountable for policy and procedure violations.

MCSO Policy # GB-2, COMMAND RESPONSIBILITY (Section 7B, Parts 1- 3):

Supervisors shall maintain a written record of the performance of each of their employees and "the record shall reflect the employee's positive traits and accomplishments and any observed shortcomings". Supervisors shall complete two supervisory notes per month for each sworn Deputy, whereas Civilian and Detention Officers shall receive one supervisory note per month.

MCSO Policy # GB-2, COMMAND RESPONSIBILITY (Section 12D, Parts 2A - B):

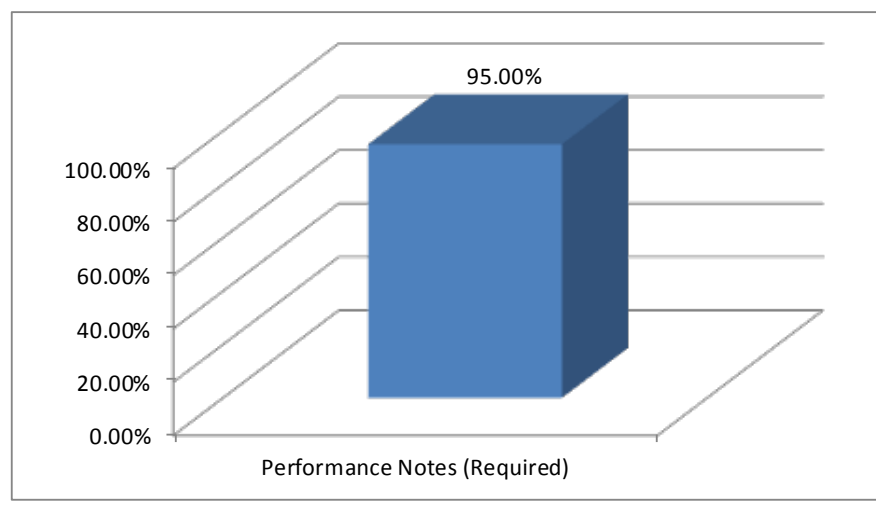
In addition, Supervisors “shall unequivocally and consistently reinforce to subordinates that discriminatory policing is unacceptable” and this message must be documented in supervisory notes on a minimum of a quarterly basis.

**Observations:**

MCSO Auditors conducted a review of Civilian Supervisory Note documentation for the month of April, 2016. The population consisted of **15%** (or 60/400) Civilians through the period ending April 30th, 2016. *NOTE: The original sample of 60 randomly selected employees was reduced to 40 due to attrition (i.e., the lack of data currently available on 19 staff released from employment, and 1 new hire).*

Documentation indicates that **95%** (or 38/40) of the employees had the required monthly performance entry and are in compliance with MCSO Administrative Broadcast # 15-36.

**Compliance Rates: Civilian Blue Team Documentation, April 2016**



**Note:** April 2016 is the first month to exclude the monthly review of Anti-Racial Profiling Conversations between Supervisors and Staff. This measure will transition to a quarterly review process, effective this month (i.e., the 2<sup>nd</sup> Quarter review will include the inspection of April, May and June Supervisory Notes).

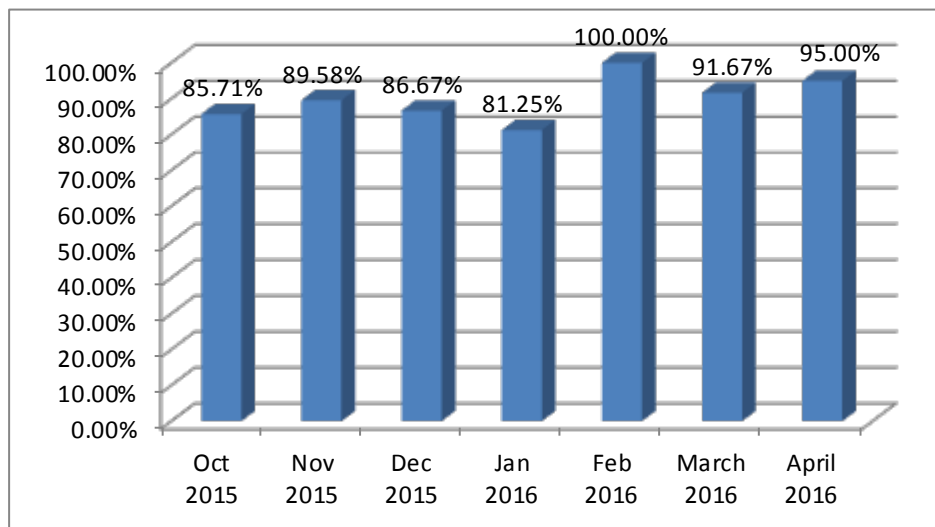
**Civilian Employees Lacking Single Supervisory Note Entry this Month:**

<u>Civillian Name:</u>	<u>Commander:</u>	<u>District/Division:</u>	<u>Deficiency:</u>
Ofc Asst SP	Captain	5052-Court Security	SN entries of 04/04 & 04/14 did not document employee performance, as per GB-2, Command Responsibility.
<u>Civillian Name:</u>	<u>Commander:</u>	<u>District/Division:</u>	<u>District/Division:</u>
INM Cls Spec	INM Cls Mgr	5144-Inmate Classification	No SN entries on performance this month, only OTB and a Briefing.

**Findings:**

This is the seventh month that Civilian Supervisory Note Inspections have been conducted independent of the Detention Division. As illustrated in the chart below, the Supervisory Note compliance score is showing improvement and has reached the 95 percentile range. The goal for all MCSO Divisions is to achieve and maintain 100% Compliance with Supervisory Note requirements.

**Supervisory Note Compliance Scores, To-date:**

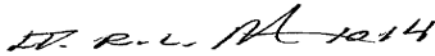


**Recommendations:**

Supervisory Note Inspections will continue in the Civilian Division to provide assurance that the MCSO goal of 100% compliance is achieved. In addition, it should be stressed that Supervisory Notes are to be utilized to document a specific employee’s performance and therefore the quality of the note itself is also critical. Consequently, all onsite mentoring should be documented in Supervisory Notes.

**Date Inspection Started:** May 23, 2016  
**Date Completed:** May 24, 2016  
**Timeframe Inspected:** April 1<sup>st</sup> through 30th, 2016  
**Assigned Inspector(s):** Senior Auditor Patty Huling #B3184

I have reviewed this inspection report.



---

Lieutenant Rick Morris  
Division Commander  
Audits and Inspections

05/25/2016  
Date



---

Deputy Chief Bill Knight  
Bureau Commander  
Bureau of Internal Oversight

05/25/2016  
Date