

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



Sworn Supervisor Note Inspection May 2019

Inspection Report# BI2019-0067

The Audits and Inspections Unit (AIU) of the Sheriff’s Office Bureau of Internal Oversight (BIO) will conduct monthly inspections of Supervisory Note entries to determine if these entries are in compliance with Office policies and to help promote proper supervision. To achieve this, inspectors will utilize the IAPro System and a sample of employees selected by the monitors from each district/division for review. These entries will be uniformly inspected utilizing a matrix developed by the Audits and Inspections Unit in accordance with the procedures outlined in policies, EA-11, GB-2, GJ-35 and Administrative Broadcast #16-124.

Matrix Procedures:

Utilize the Supervisor Note inspection matrix for each selected employee reviewed all entries made in May 2019 in IAPro.

- Ensure the supervisor completed a minimum of two Supervisor Note entries
- Ensure the supervisor completed one performance-based entry
- Ensure the supervisor conducted a monthly review of Body-Worn Camera footage of two traffic stops, if officer made any stops during review period
- Ensure the supervisor conducted two reviews of EIS data

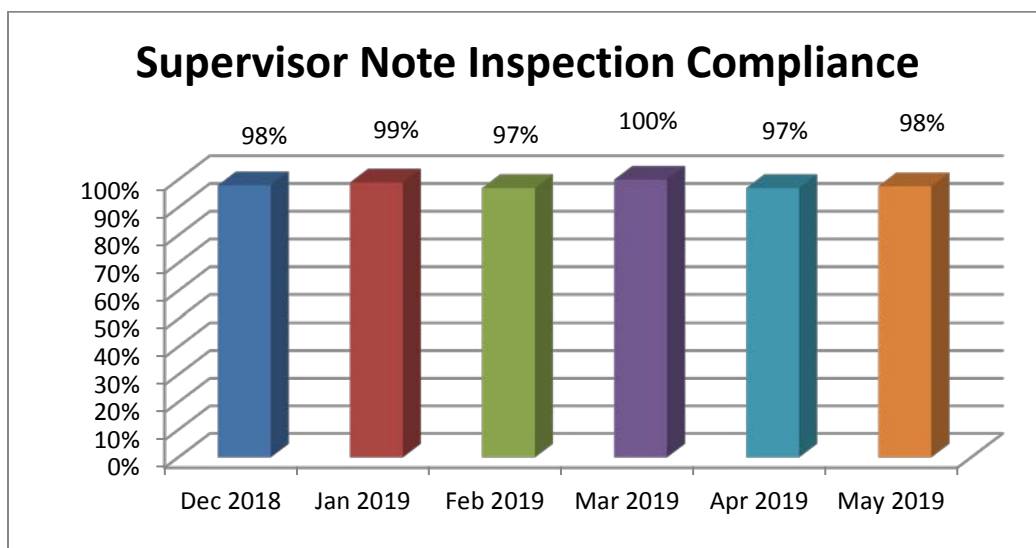
Criteria:

- MCSO Policy EA-11, *Arrest Procedures*
- MCSO Policy GB-2, *Command Responsibility*
- MCSO Policy GH-5, *Early Identification System*
- MCSO Policy GJ-35, *Body-Worn Cameras*

Conditions:

MCSO’s assigned Court Monitors provided a sample of one patrol squad from each Patrol Division for the May 2019 Supervisory Note Review. The Supervisor Notes of the assigned patrol roster are reviewed, including the selected employee’s chain of command. AIU reviewed the completed Supervisor Notes of 29 deputies, 7 sergeants, 7 lieutenants and 7 captains. (Note: completion of a Supervisory Note inspection is dependent on when the AIU receives the sample from the Court Monitors.) A review of the IAPro records revealed that, of the 50 officers’ records reviewed for Supervisor Note entries submitted during the month of May, 49 officers received entries in full compliance with MCSO Policies.

Below is the six-month historical comparison of compliance rates for Sworn employee Supervisory entries.



Results of the Review of the Supervisor Note entries:

Inspection Element	Not In Compliance	In Compliance	Compliance Rate
Sworn Employee received at least two Supervisor Note during the month	1	49	98.00%
At least One Supervisor Note entry is of sufficient quality to facilitate the preparation of an accurate and detailed performance review and reflects the employee's positive traits and accomplishments and any observed shortcomings	1	49	98.00%
Twice per month, supervisors review Sworn subordinates' EIS information for the purpose of identifying and responding to any conduct patterns or concerns	1	49	98.00%
Supervisor Note lacks documentation of review to two Body-Cam videos (<i>NOTE: Not all sworn officers will make traffic stops during review period</i>)	1	18	94.74%
Overall Compliance with inspection requirements	4	165	97.63%

The following perceived deficiencies were identified during the inspection process and required that a BIO Action Form be completed.

Notes Recipient	Supervisor	District	District Commander	Perceived Deficiency
Deputy	Sergeant	District 6	Captain	-Two Supervisor Notes on sworn employees per month at a minimum -One Supervisor Note documenting sworn employee's performance -Supervisor Notes lacked documentation of bi-monthly EIS review -Supervisor Notes lacked documentation of review of two Body Cam videos

* **Inspector Note:** Records reviewed for this inspection appear to indicate that the supervisor did not complete an entry in May; this error was identified at the division and the two required Supervisor Notes were entered on the first day of the following month; however, no Supervisor Notes documenting the required reviews were entered during the month of May.

Recommendations:

It is recommended that Management continue to provide on-site mentorship to supervisors regarding the importance of ensuring Supervisory Note entries are used to document a specific employee's performance and should be of sufficient quality as to give a true assessment of the employee's performance during a particular period, as required by MCSO Policy EB-11, *Arrest Procedures*, GB-2, *Command Responsibility*, GH-5, *Early Identification System*, and GJ-35, *Body-Worn Cameras*. To accomplish this goal, the Supervisory Note entries need to specifically document the following requirements:

- The Employee's work performance during the last 30-day period.

- Conduct two reviews per month of each sworn subordinates' EIS information for the purpose of identifying and responding to any conduct patterns or concerns.
- Maintain a written record of the performance of each employee in the EIS Blue Team Supervisor Notes application. The record shall reflect the employee's positive traits and accomplishments and any observed shortcomings.
- On a monthly basis, Patrol supervisors shall conduct two random reviews of traffic stop video footage from each subordinate's body-worn camera recordings.
- Supervisor Note entries shall be of sufficient quality and frequency to facilitate the preparation of an accurate and detailed performance review, but at a minimum, one entry shall be completed every month. ***Supervisors shall complete two supervisor notes per month on sworn employees at a minimum.***

Action Required:

With the resulting **98%** compliance for *Inspection BI2019-0067*, a total of **1** BIO Action Form is requested from the affected District addressing the perceived deficiencies. **The form shall be completed utilizing Blue Team.**

Notes:

All supporting documentation (working papers are included in the inspection file number BI2019-0067 and contained within IAPro.

Date Inspection Started: June 11, 2019
Date Completed: June 24, 2019
Timeframe Inspected: May 01-31, 2019
Assigned Inspector: Ronda Jamieson B3178

I have reviewed this inspection report.

Lt. D. Reaulo S1678

7/3/2019

Lt. D. Reaulo S1678
Commander, Audits & Inspections Unit
Bureau of Internal Oversight

Date