

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



Sworn Supervisor Note Inspection July 2019

Inspection Report# BI2019-0100

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 IPro 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, GH-5, and GJ-35.

Compliance Objectives:

Utilizing the Supervisor Note Inspection Matrix, review each selected employee's EIS information to ensure they received the following during July 2019:

- 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 Deputy 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*

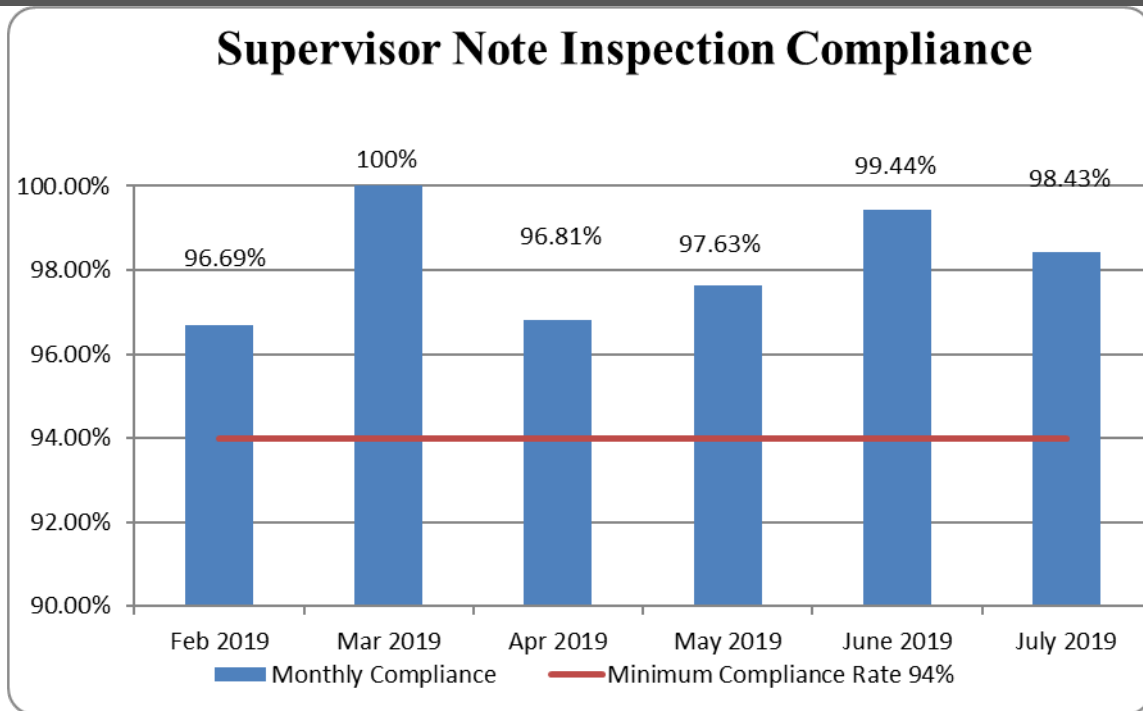
Conditions:

MCSO's assigned Court Monitors provided a sample of one patrol squad from each Patrol Division for the month of July 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 34 deputies, 7 sergeants, 8 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 IPro records revealed that, of the 56 employees' records reviewed for Supervisor Note entries submitted during the month of July, 53 deputies received entries in full compliance with MCSO Policies.

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 Notes during the month	1	55	98.21%
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	0	56	100%
Twice per month, supervisors review Sworn subordinates' EIS information for the purpose of identifying and responding to any conduct patterns or concerns	2	54	96.43%
Supervisor Note lacks documentation of review to two Body-Cam videos (<i>NOTE: Not all sworn employees will make traffic stops during review period</i>)	0	23	100%
Overall Compliance with inspection requirements	3	188	98.43%

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



The following perceived deficiencies were identified during the inspection process.

District 1 (1 BAF)

District	Employee	District Commander	Bureau Commander
District 1	Lieutenant	Captain	Chief
Perceived Deficiency			
-Two Supervisor Notes on sworn employees per month at a minimum GB-2.7.B.1 -Supervisor Notes lacked documentation of bi-monthly EIS review GB-2.7.B.4 -2 prior BIO Action Forms: BAF2017-0051 for Supervisor Note inspection in March 2017 and BAF2017-0114 for Supervisor Note inspection for April 2017			

District 2 (1 BAF)

District	Employee	Current Supervisor	District Commander
District 2	Sergeant	Lieutenant	Lieutenant
Prior Actions			
-Supervisor Notes lacked documentation of bi-monthly EIS review GB-2.7.B.4 -1 prior BIO Action Form: BAF2019-0169 for Supervisor Note inspection in June 2019			

Action Required:

With the resulting **98.43%** compliance for *Inspection BI2019-0100*, a total of **2** BIO Action Forms are requested from the affected Districts addressing the perceived deficiency. **The forms shall be completed utilizing Blue Team.**

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, two entries shall be completed every month.*

Notes:

All supporting documentation (working papers) are included in the inspection file number BI2019-0100 and contained within IAPro.

Date Inspection Started:	August 12, 2019
Date Completed:	September 03, 2019
Timeframe Inspected:	July 01-31, 2019
Assigned Inspector:	Ronda Jamieson B3178

I have reviewed this inspection report.

Lt. D. Reaulo S1678

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

9/19/2019

Date