

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



November 2017 Supervisor Note Inspection

Inspection Report# BI2017-0162

The Audits and Inspections Unit (AIU) of the Sheriff's Office Bureau of Internal Oversight (BIO) will conduct monthly inspections of Supervisory Notes to determine if Supervisor Notes are in compliance with Office Policies and promote proper supervision. To achieve this, inspectors will utilize the IAPRO System and a sample of randomly selected employees 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:

- Determine what district/division the notes originated from
- Ensure the supervisor completed two supervisor note entries per deputy each month
- Ensure the supervisor completed a minimum of one performance based entry per deputy each month
- Ensure the supervisor conducted a monthly review of body-worn camera footage
- Ensure the supervisor conducted bi-monthly reviews of EIS data
- Each Blue Team entry inspected will be counted as one inspection

Criteria:

MCSO Policy # EA-11, ARREST PROCEDURES (Section 14, Parts D, E):

“Supervisors shall take appropriate action to address all violations or deficiencies in investigatory stops or detentions, including non-disciplinary corrective action for the deputy; or referring the incident for administrative review or criminal investigation. Supervisors **shall track**, through the Early Identification System (EIS), each deputy's deficiencies or violations and the corrective action taken, in order to identify deputies who need repeated corrective action.”

“Command level personnel shall review, in writing, all supervisory reviews related to arrests that are unsupported by probable cause or are otherwise in violation of Office policy; or that indicate a need for corrective action or review of Office policy, strategy, tactics, or training. The commander's review shall be completed within 14 days of receiving the document reporting the event. The commander shall evaluate the corrective action and recommendations in the supervisor's written report and ensure that all appropriate corrective action is taken.”

MCSO Policy # GB-2, COMMAND RESPONSIBILITY (Section 7B, Parts 1, 2 & 4):

“Supervisor notes shall be of sufficient quality and frequency to facilitate the preparation of an accurate and detailed performance review, but at a minimum an entry shall be completed every month. Supervisors shall complete supervisor notes on sworn employees every two weeks at a minimum.

“Supervisors who have employees that are on an extended leave of absence shall complete a supervisor note to document the beginning date and end date of the absence.”

“Supervisors shall conduct two reviews per month of each sworn, and one per month of each non-sworn subordinates' EIS information for the purpose of identifying and responding to any conduct patterns or concerns including, but not limited to racial profiling, improper immigration enforcement, investigatory

stop violations, detentions unsupported by reasonable suspicion or otherwise in violation of policy. This review shall be documented within the Blue Team Supervisor Notes.”

MCSO Policy # GJ-35, *BODY-WORN CAMERAS* (Section 10-10B):

“On a monthly basis, patrol supervisors shall conduct two random reviews of traffic stop video footage from each subordinate’s body-worn camera recordings.”

“The methodology and checklist for consistently reviewing body-worn camera recordings can be found at the following shared drive location; U:\BIO\FORMS.”

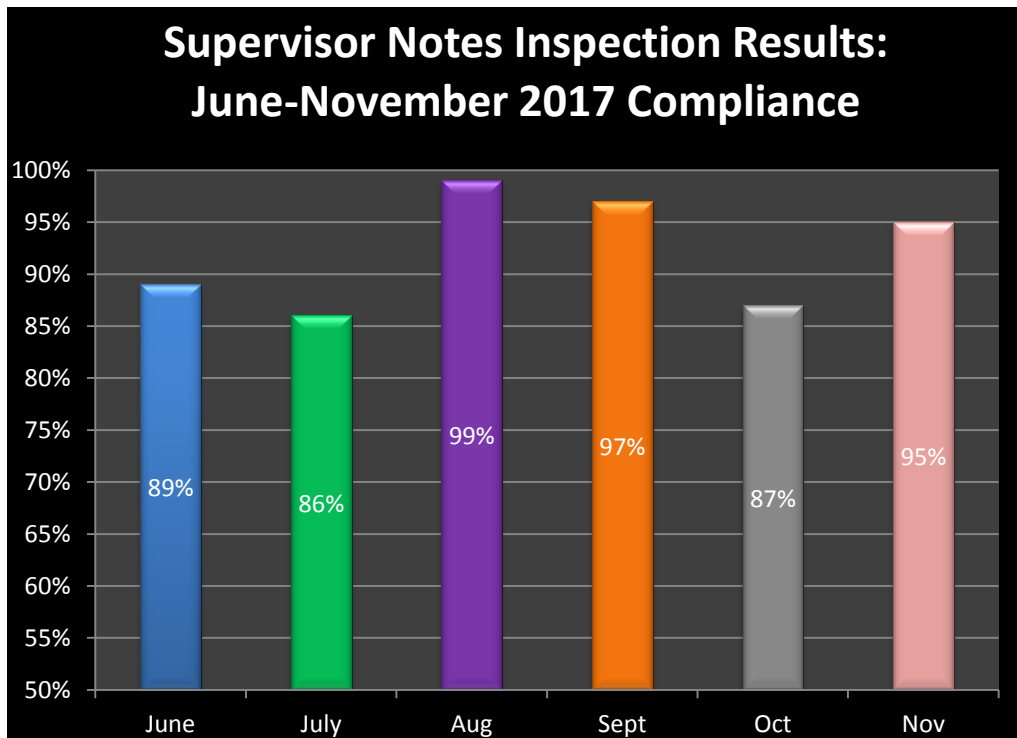
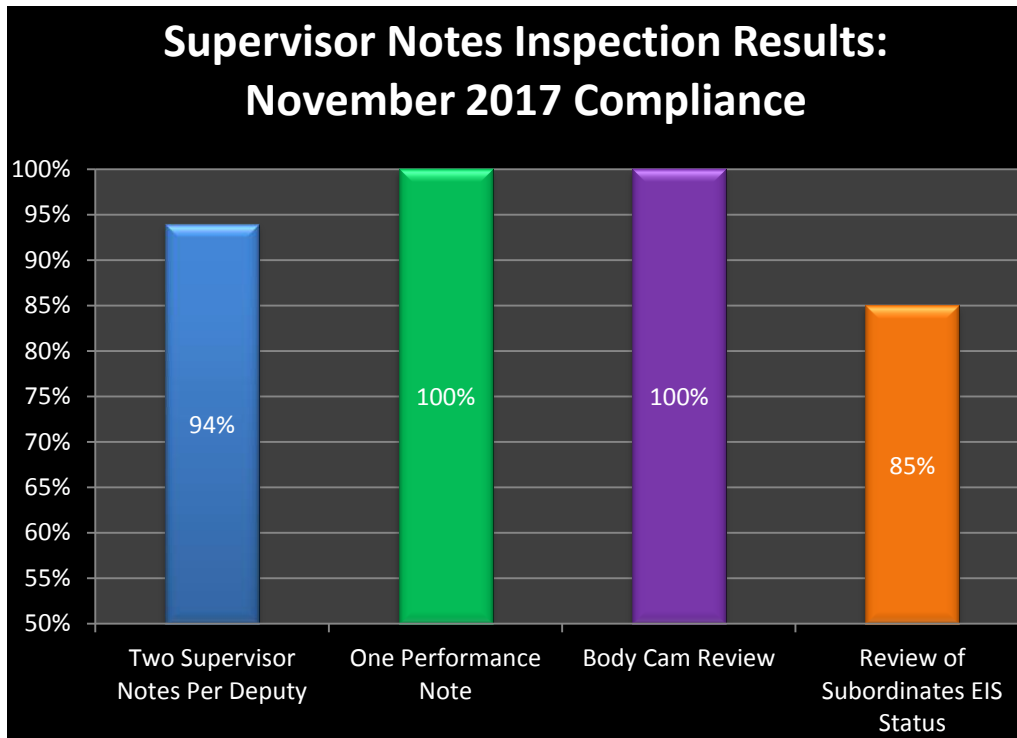
“The monthly reviews shall be documented in the EIS Blue Team Supervisor Notes application.”

MCSO Administrative Broadcast Number 16-124 (effective 12/7/2016)

“MCSO commander and Supervisor **review**, on a regular basis, but not less than bimonthly, of EIS reports regarding each officer under the commander or Supervisor’s direct command and, at least quarterly, broader, pattern-based reports”.

MCSO’s assigned Court Monitors provided a sample of one patrol squad from each Patrol Division for the November 2017 Supervisory Note Review. The supervisor notes of the personnel on the assigned patrol roster are reviewed, including everyone through their chain of command. We reviewed the completed supervisor notes of 34 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 which may be 30 or more days in arrears). Our inspection revealed:

- 94.55% of the inspected sample met the requirement of two Supervisor Notes per month, every two weeks at a minimum for sworn employees.
- 100% met the requirement to complete at least one performance based supervisor note per deputy.
- 100% of the inspected sample was in compliance with the requirement to complete monthly reviews of body camera footage in accordance with MCSO Policy # GJ-35
- 85.45% of the inspected sample met the requirement for supervisor documentation of bi-monthly EIS data review.



Note: The overall compliance rate (**95%**) is an average of the four measures (Minimum of two notes per deputy, Minimum Performance Notes, bi-monthly reviews of EIS data and Body Camera Review).

The following potential deficiencies were observed during the inspection period:

<i>District/Division</i>	<i>Supervisor Note Recipient</i>	<i>Supervisor</i>	<i>Commander</i>	<i>Potential Deficiency</i>
District 2	Deputy	Sergeant	Captain	Supervisor Notes lacked documentation of bi-monthly EIS review.
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<i>District/Division</i>	<i>Supervisor Note Recipient</i>	<i>Supervisor</i>	<i>Commander</i>	<i>Potential Deficiency</i>
Lake Patrol	Deputy	Sergeant	Captain	Supervisor only completed one Supervisor Note during the month.
Lake Patrol	Deputy	Sergeant	Captain	Supervisor only completed one Supervisor Note during the month.

<i>District/Division</i>	<i>Supervisor Note Recipient</i>	<i>Supervisor/Commander</i>		<i>Potential Deficiency</i>
District 6	Lieutenant	*Retired Captain		-Supervisor only completed one Supervisor Note during the month. -Supervisor Notes lacked documentation of bi-monthly EIS review.

District/Division	Supervisor Note Recipient	Supervisor	Commander	Potential Deficiency
District 7	Deputy	Sergeant	Captain	Supervisor Notes lacked documentation of bi-monthly EIS status review
District 7	Deputy	Sergeant	Captain	Supervisor Notes lacked documentation of bi-monthly EIS status review
District 7	Deputy	Sergeant	Captain	Supervisor Notes lacked documentation of bi-monthly EIS status review

A total of **3** BIO Action Forms are requested from the affected divisions. A BIO Action Form will not be required for the deficiency for District 6, as the employee who was the subject of the deficiency has since retired from employment with the MCSO. **The form shall be completed utilizing Blue Team.** It is permissible to complete one BIO Action Form for a supervisor covering multiple potential deficiencies identified in this inspection.

Recommendations:

It is recommended that Supervisory Note Inspections continue at the Division level to provide assurance that the compliance rates continue to show improvement and remain constant over time. To accomplish this goal, the following criteria must be met:

1. ***On a monthly basis***, a minimum of (2) Supervisory Notes shall be completed per Deputy at least one entry every two weeks at a minimum to specifically document the following requirements:
 - a. The Deputy's work performance.
 - b. The review of 2 randomly selected traffic stop video footage (If only 1 traffic stop then only 1 reviewed).
 - c. The bi-monthly review of subordinates EIS Data
 - i. Documented in two supervisor notes with the "Notes – Reviewed employees EIS Information" allegation

Or
 - ii. One supervisor note with the two dates the review took place in addition to the "Notes – Reviewed employees EIS Information" allegation. The two dates will serve as evidence that the reviews were bi-monthly.
2. The AIU recommended that the Policy Section revise an area of policy GB-2, *Command Responsibility*, as it relates to requiring supervisors to complete at least one Supervisor Note every two weeks at minimum. Two Supervisor Notes per month is currently the standard, which is already identified GB-2.

Date Inspection Started: 01/17/2018
Date Completed: 01/23/2018
Timeframe Inspected: November 1st 2017 – November 30st, 2017
Assigned Inspector(s): Sgt. D. Gardner S1608

I have reviewed this inspection report.

Larry Kratzer S1520
Lieutenant Larry Kratzer S1520
Commander, Audits & Inspections Unit
Bureau of Internal Oversight

01/24/18
Date

Captain G. Lugo #1480
Captain Gregory Lugo S1480
Division Commander
Bureau of Internal Oversight

01/25/2018
Date