

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



TraCS Review Inspection Report January 2019

Inspection Report# BI2019-0009

The Audits and Inspections Unit (AIU) of the Sheriff's Office Bureau of Internal Oversight (BIO) will conduct monthly inspections of the TraCS Review of traffic stops to ensure compliance with Office Policies, promote proper supervision and support the requirements set forth in the Court Order. Inspectors will utilize the TraCS System and a sample of randomly selected employees from each district/division for review. The TraCS Traffic Stop Review will be uniformly inspected utilizing a matrix developed by the AIU, in accordance with the procedures outlined in policies EA-11, EB-1, GB-2 and MCSO Administrative Broadcast Number 16-56.

Matrix Procedures:

- Determine what district/division the traffic stop data originated from
- Determine if the supervisor reviewed all completed traffic stop documentation within 72 hours
- Each Traffic Stop inspected will be counted as one inspection

Criteria:MCSO Policy EA-11, ARREST PROCEDURES (Section 14, Parts B & E):

B. Deputies shall submit documentation of all stops and investigatory detentions to their supervisors by the end of the shift in which the action occurred. Absent exceptional circumstances, within 72 hours of receiving such documentation, supervisors shall independently review the reports. If the incident did not include an arrest or detention, the supervisor shall review the IR within seven calendar days, absent exigent circumstances.

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.

MCSO Policy EB-1, TRAFFIC ENFORCEMENT, VIOLATOR CONTACTS, AND CITATION ISSUANCE (Section 17, Part A and B):

A. Deputies shall submit documentation of all stops and investigatory detentions to their supervisors by the end of the shift in which the actions occurred. Absent exceptional circumstances, within 72 hours of receiving such documentation, supervisors shall independently review the reports. If the incident did not include an arrest or detention, the supervisor shall review the reports within seven calendar days, absent exigent circumstances.

B. Supervisors are responsible for reviewing the VSCF to ensure accuracy and proper documentation.

MCSO Policy GB-2, Command Responsibility (Section 13, Part B.2.a)

Supervisors shall review all VSCF and NTCFs made by each deputy under their supervision within the TraCS software. Absent exceptional circumstances, supervisors shall review all VSCF and NTCFs involving a detention/Terry stop within 72 hours of receiving such documentation.

MCSO Administrative Broadcast # 16-56 Discussed with Deputy Indicator and Supervisory Review Process:

Additionally, effective June 1, 2016, a "**Supervisory Review Process**" shall be used by all sworn supervisory personnel. Sworn supervisors are responsible for reviewing any form that is in pending review status, which shall now include the "Vehicle Stop Contact Form." Once a review is completed and the form is signed off, that form can no longer be modified or voided due to data being pulled for analysis.

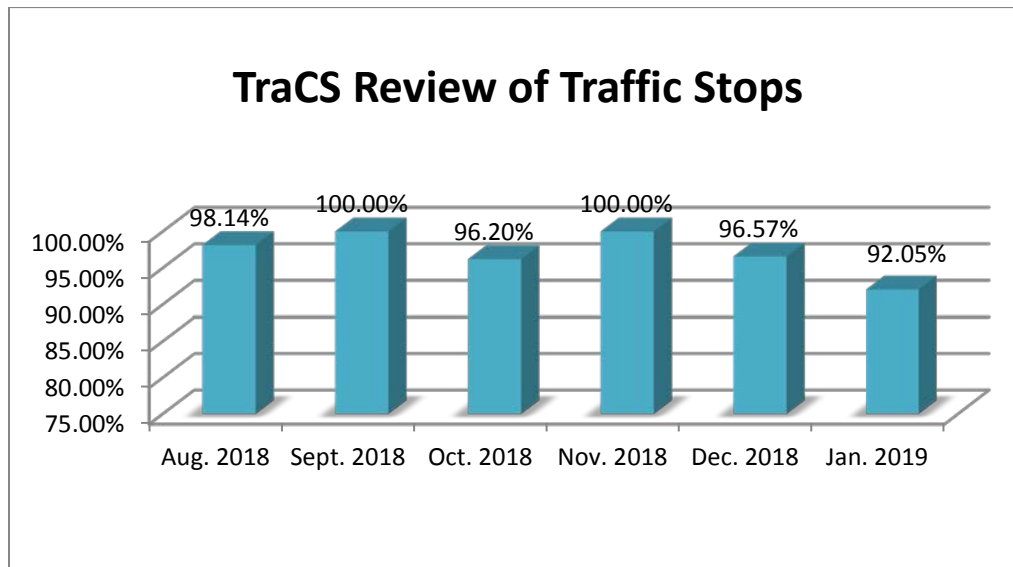
Conditions:

MCSO’s assigned Court Monitors provided a sample of 32 Deputies from all Patrol Districts/Divisions for the January Traffic Stop Review Inspection. The sample of 32 Deputies provided a total of 151 traffic stops available for inspection; 151 (or 100%) of the traffic stops were inspected. The compliance rate of each division is illustrated in the table below:

| <u>District</u> | <u>Stops In Compliance:</u> | <u>Total Stops Reviewed:</u> | <u># of Deficiencies:</u> | <u>Compliance Rate:</u> |
|-----------------|-----------------------------|------------------------------|---------------------------|-------------------------|
| 1 | 22 | 34 | 12 | 64.71% |
| 2 | 9 | 9 | 0 | 100.00% |
| 3 | 21 | 21 | 0 | 100.00% |
| 4 | 38 | 38 | 0 | 100.00% |
| 5 | 38 | 38 | 0 | 100.00% |
| 6 | 9 | 9 | 0 | 100.00% |
| 7 | 2 | 2 | 0 | 100.00% |
| Total: | 139 | 151 | 12 | 92.05% |

It should be noted that the completion of a Traffic Stop Review Inspection is dependent on when AIU receives the sample from the Court Monitors.

MCSO achieved an overall compliance rate of **92.05%** in the TraCS Review of Traffic Stops within 72 hours for the month of January 2019, as illustrated in the graph below:



Note – The compliance rate is the overall percentage of all traffic stops inspected for the month of January 2019 (139 of 151 = 92.05% compliance rate).

There were 12 deficiencies identified during this inspection period. They were as follows:

| <u>District</u> | <u>MC#</u> | <u>Employee:</u> | <u>Commander:</u> | <u>Comment</u> |
|-----------------|------------|------------------|-------------------|---|
| 1 | MC19003016 | Sergeant | Captain | Supervisor did not review Vehicle Stop Contact Form within 72 hours; Supervisor reviewed in 4 days |
| 1 | MC19003017 | Sergeant | Captain | Supervisor did not review Vehicle Stop Contact Form within 72 hours; Supervisor reviewed in 4 days |
| 1 | MC19012445 | Sergeant | Captain | Supervisor did not review Vehicle Stop Contact Form within 72 hours; Supervisor reviewed in 10 days |
| 1 | MC19013551 | Sergeant | Captain | Supervisor did not review Vehicle Stop Contact Form within 72 hours; Supervisor reviewed in 5 days |
| 1 | MC19014368 | Sergeant | Captain | Supervisor did not review Vehicle Stop Contact Form within 72 hours; Supervisor reviewed in 7 days |
| 1 | MC19014377 | Sergeant | Captain | Supervisor did not review Vehicle Stop Contact Form within 72 hours; Supervisor reviewed in 7 days |
| 1 | MC19014414 | Sergeant | Captain | Supervisor did not review Vehicle Stop Contact Form within 72 hours; Supervisor reviewed in 7 days |
| 1 | MC19014445 | Sergeant | Captain | Supervisor did not review Vehicle Stop Contact Form within 72 hours; Supervisor reviewed in 7 days |
| 1 | MC19014520 | Sergeant | Captain | Supervisor did not review Vehicle Stop Contact Form within 72 hours; Supervisor reviewed in 7 days |
| 1 | MC19014540 | Sergeant | Captain | Supervisor did not review Vehicle Stop Contact Form within 72 hours; Supervisor reviewed in 7 days |
| 1 | MC19014562 | Sergeant | Captain | Supervisor did not review Vehicle Stop Contact Form within 72 hours; Supervisor reviewed in 7 days |
| 1 | MC19014582 | Sergeant | Captain | Supervisor did not review Vehicle Stop Contact Form within 72 hours; Supervisor reviewed in 7 days |

A total of 1 BIO Action Form is required from the affected division(s). **The form(s) shall be completed utilizing Blue Team.** It is permissible to complete one BIO Action Form for a supervisor covering multiple potential deficiencies for the same employee identified in this inspection.

Recommendation:

It is recommended the inspection of the review of traffic stops and vehicle stop contact forms 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. ***Within 72 hours of completion***, supervisors are responsible for reviewing any form in TraCS that is in pending review status, which shall now include the “Vehicle Stop Contact Form.”

It is also recommended that each division utilize the TraCS system to monitor the review status of traffic stops. This can be accomplished by conducting a search of the following fields (1) Location (Lower Org), (2) Form (Contact & Incidental Contact Forms) and (3) Date Range (Example: December 1-31, 2016). The search results will display a list of the contact forms and note “Reviewed” under the Status column for those with completed reviews. By also completing the User ID search field supervisors can view the same data for the deputies under their direct supervision by selecting their serial numbers.

Date Inspection Started: February 21st, 2019
Date Completed: February 21st, 2019
Timeframe Inspected: January 1st through 31st, 2019
Assigned Inspector(s): Patty Huling, Auditor # B3184

I have reviewed this inspection report.

Connie J. Phillips 3/11/2019
Connie J. Phillips Date
Acting Commander, Audits & Inspections Unit
Bureau of Internal Oversight