

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



Sworn Facility Inspection April 2018: Lake Patrol Division

Inspection Report# BI2018-0045

The Audits and Inspections Unit (AIU) of the Sheriff's Office Bureau of Internal Oversight (BIO) will conduct Sworn Facility and Property Inspections on an ongoing basis. The purpose of this inspection is to ensure compliance with Office Policies, promote proper supervision and support the requirements set forth in the Court Order. To achieve this, inspectors will select one of the MCSO sworn facilities and conduct an inspection using the *Sworn Facility and Property Inspection Matrix* developed by the AIU.

Matrix Procedures:

- Utilize Facility/ and Property Inspection Checklists.
- Use the OIM Property and Evidence System to retrieve item history report and obtain a random sample.
- Verify items from random sample are located in their designated storage location and verify the item matches the item description.

Criteria:MCSO Policies and Divisional Operations Manual:

CP-2 (Code of Conduct)

CP-6 (Blood Borne Pathogens)

CP-9 (Occupational Safety Programs)

GA-1 (Development of Written Orders)

GA-3 (Operations Manual Format)

GB-2 (Command Responsibly)

GC-9 (Personnel Records and Files)

GD-1 (General Office Procedures)

GD-4 (Use of Tobacco Products)

GD-14 (Access to Secured Office Buildings)

GD-15 (Emergency Evacuation Plans)

GE-3 (Property Management) revised; 8/23/17 (updated 10/2/17 Briefing Board # 17-43)

GF-3 (Criminal History Record Information and Public Records)

GF-5 (Office Reports)

GG-1 (Peace Officer Training Administration)

GG-2 (Detention and Civilian Training Administration)

Conditions:

For the month of April, 2018; MCSO Lake Patrol Division was selected as the Sworn Facility for inspection.

Lake Patrol headquarters is located at 7307 North Bush Hwy. Mesa, AZ and is under the responsibility of a Division Commander.

Lake Patrol consists of a total of 51 sworn personnel and one civilian office assistant.

Lake Patrol covers all of the wilderness area, waterways, and lakes of the Tonto National Forest within Maricopa County as well as Lake Pleasant.

Lake Patrol is also responsible for Search and Rescue Missions, Dive Recovery, Mounted Patrol, Concentrated Traffic Enforcement, Flood Control District Enforcement, The Sheriff's Medic Program, Mobile Field Force, and initial response to any emergencies involving the Palo Verde Nuclear Generating Station. Deputies patrol by traditional methods and with the use of off-highway vehicles, watercraft, and horses.

On 4/19/2018, a pre-inspection agenda meeting was conducted at the Lake Patrol headquarters facility location with the Deputy Commander and Administrative Sergeant. The scope of the inspection and details of the daily operation of the unit were discussed. The BIO inspection checklists and matrix were provided to them for review.

The Deputy Commander and Administrative Sergeant were prepared and provided assistance with questions concerning Division operations.

Objectives:

To determine that the Lake Patrol Division is maintained and documented in accordance with key statutes, regulations, industry best practices, Divisional Operations Manual, and MCSO policy.

Facility Inspection:

On 4/25/2018, a Sworn Facility and Property Inspection was conducted on the Lake Patrol Division based on a random selection of sworn divisions which were not yet inspected during the calendar year.

During the inspection; the Audits and Inspection Unit (AIU) personnel found the facility was secure with access limited to assigned personnel and other authorized MCSO employees.

Any other approved persons granted access to the interior working areas must check in with the receptionist. The facility is well maintained and orderly.

No evidence was discovered during the inspection indicating Office, county facilities and/or equipment were being used in a manner that discriminates or denigrates anyone on the basis of race, color, national origin, age, religious beliefs, gender, culture, sexual orientation, veteran status or disability.

Divisional and Facility Inspection Matrix:

Lake Patrol was inspected using the Divisional and Facility Inspection Matrix that contains 28 inspection items.

Of the 28 items of inspection; two were not applicable resulting in 26 items of inspection on the matrix.

The following three deficiencies were noted:

1. *“Confirm Divisional Files are purged annually of all material which is over three years old.”*

Three files were randomly selected and reviewed. One deputy’s file contained a personal data form from 2013. Another deputy’s file had a personal data form from 2013 and an Industrial

Injury form from 2012. A third deputy's file contained a personal data form from 2008. All other forms appeared to have been correctly purged annually. It was determined that the files are purged annually however; it was explained that they thought that if the personal data form contained current information; it should be retained. Employee personal data is now retained electronically. I suggested to them to purge these forms or update them if they want to retain this information in paper form.

2. *"Confirm periodic safety meetings are being conducted and were the meeting documented."*

I discussed this item with the Commander and he advised that he does conduct periodic informal safety discussions with his staff; however they have not been routinely documented. I discussed with the Commander and the Deputy Commanders the CP-9 policy and required documentation in Blue Team.

3. *"Verify supervisors are inspecting equipment and work environments within their area of command on at least a monthly basis (results of inspection shall be documented)."*

Methods to conform to this CP-9 policy were discussed and I was advised they will be implemented.

This resulted in an **88%** compliance rating on this portion of the inspection.

The administrative staff was organized and had all the required documentation in accessible locations, clearly identified, organized and secured properly.

Property and Evidence Inspection Matrix Checklist:

Lake Patrol was inspected for any unsecured items of property/evidence using the designated Property and Evidence Inspection Matrix checklist and there were no unsecured items observed.

This checklist contains the Property Room Inspection, Interior Facility Inspection, Exterior Facility Inspection, and Division assigned Vehicle Inspection for a total of 25 possible points of inspection.

Of the 25 points of inspection, 6 items were not applicable resulting in 19 items inspected. There were two issues resulting in one deficiency for this matrix inspection. This resulted in a **95%** compliance rating for this portion of the inspection.

The following deficiencies were noted:

1. *“Was evidence requiring analysis packaged correctly and separately?”*

All submitted property was removed by the property custodian to be processed at the main Property Facility prior to the inspection.

During this portion of the inspection; there were two items located in the evidence refrigerator. The first item was a metal can with a biohazard sticker and labeled “not evidence”. The Lake Patrol administrative supervisor provided further documentation reference the item (memos, departmental report-IR2016-016419, OSHA claim form) and it was determined to be a needle/catheter from an incident involving a volunteer (Posse) industrial injury from 2016. The Lake Patrol administrative supervisor advised that the issue would be corrected.

This item should have been properly disposed of or kept for safekeeping and processed in a timely manner, per Policy GE-3.3.B and/or 6.C.D.E; Property Management.

The second item was a vial of blood labeled “16-025027”. The Lake Patrol administrative supervisor provided follow up information (the departmental report) and advised the issue was being corrected and the deputy responsible would properly process the item.

This item should have been properly processed in a timely manner per Policy GE-3.3.B and/or 6.C.D.E; Property Management.

All areas were accessible for inspection or made accessible by staff during the inspection on 4/25/2018 with the exception of the following:

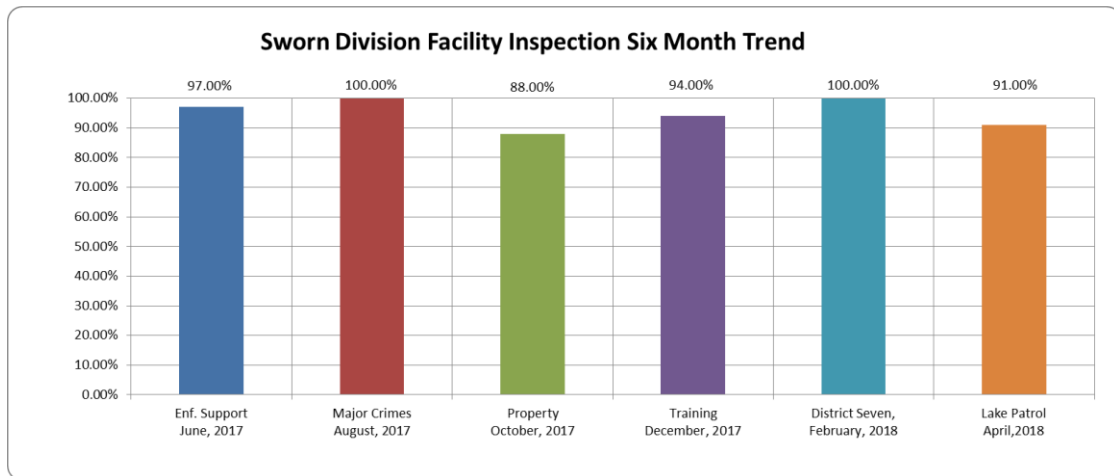
1. Locked desk cabinet
2. Locked medical cabinet
3. Locked employee locker

These areas were later opened after the inspection date and the Deputy Commander attested via email that the areas were checked and no items of contraband or any other items considered a violation of the Melendres Order was present.

The total compliance rate is calculated using both matrix applicable checklist items (19+26= 45 total; with 4 deficiencies) for a calculated total compliance percentage rate of **91%**.

Below is a historical comparison of Sworn Facility and Property Inspection compliance rates for the past six months.

Overall Compliance Rate Sworn Facility and Property Inspections 2017-2018



Results:

There were four deficiencies noted in the inspection on 4/25/2018, which resulted in an overall compliance rate of **91%**.

Recommendations:

Suggested recommendations to ensure continued compliance with policy and best practices;

Conduct periodic safety meetings/talks at the various command levels. Division Commanders shall meet at least quarterly with (Deputy) Commanders under their supervision and (Deputy) Commander's at least once every two months with supervisors under their command. These safety meetings/talks shall be recorded in Blue Team (CP-9.D).

Work environments within supervisors' area of command shall be inspected on at least a monthly basis and the inspections recorded. Suggested each room in the building has a placard listing the responsible supervisor and the date the monthly inspection of the work environment/equipment was inspected with the results/corrective action. An entry shall be completed in Blue Team as a Line Level Inspection.

Ensure any temporary storage of seized or recovered property and evidence, items of evidence, found, or safekeeping, shall be properly secured and documented prior to the end of shift in which it was seized or recovered.

Purge division files annually of all material which is over three years old. Employee personal data is now retained electronically. I suggested to them to purge these forms or update them if they want to retain this information in paper form.

A total of (1) BIO Action Form is requested from the affected Division for the (4) listed deficiencies. The form shall be completed utilizing Blue Team.

Date Inspection Started: April 25th, 2018

Date Completed: May, 1st, 2018

Timeframe Inspected: April, 2018

Assigned Inspector(s):	Sgt. Travis Glenn	S1626
Assisting Inspector:	Sgt. Blaine Allmon	S1036
Assisting Inspector:	Sgt. Dave Gardner	S1608
Assisting Inspector:	Sgt. Kelly Bocardo	S1775
Assisting Inspector:	Sgt. Mario Rodriguez	A9047

I have reviewed this inspection report.

Lt. Larry Kratzer S1520

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

05/01/2018

Date