

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



January 2020 Misconduct Investigations Inspection Report

Inspection # BI2020-0023

The Bureau of Internal Oversight's (BIO) Audits and Inspections Unit (AIU) will conduct Misconduct Investigations inspections monthly. The purpose of the inspection is to ensure compliance with Office policies and to promote proper supervision. To achieve this, inspectors will select for review all Misconduct Investigations that were initiated after November 1, 2017 and completed during the month being analyzed. To ensure consistent inspections, the *Misconduct Investigation Matrix* developed by the AIU will be utilized.

Compliance Objectives:

The compliance objectives for this inspection are contained within each of the included tables.

Criteria:

MCSO Policy GC-4, *Employee Performance Appraisals*
 MCSO Policy GC-12, *Hiring, and Promotional Procedures*
 MCSO Policy GC-17, *Employee Disciplinary Procedures*
 MCSO Policy GH-2, *Internal Investigations*
 MCSO Policy GH-4, *Bureau of Internal Oversight*
 MCSO Policy GI-4, *Calls for Service*

Conditions:

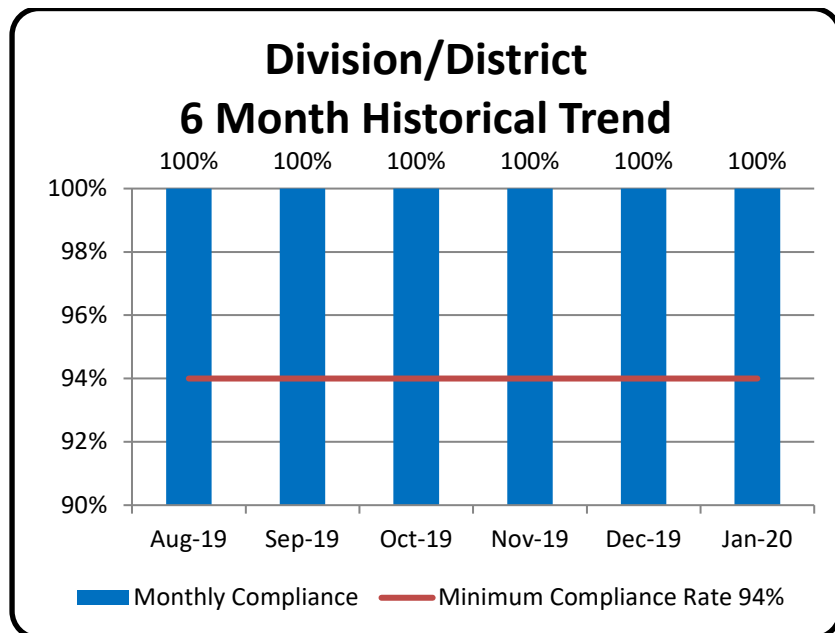
A review of the IAPro records revealed that a total of 17 administrative misconduct investigations that were started on or after November 1, 2017 and were closed during the month of January 2020. A list of these investigations was provided to the Monitor team. A randomly selected proportionate sample, consisting of 10 investigations, was provided. Of the sample provided, 1 investigation was completed by *Sworn Supervisors* assigned to the Divisions/Districts, 5 investigations were completed by *Sworn Supervisors* assigned to the Professional Standards Bureau (PSB), and 4 investigations were completed by *Detention Supervisors* assigned to the PSB.

Inspection results for the 1 Misconduct Investigation conducted by Sworn Supervisors at the Division/District

Compliance Objectives	Not In Compliance	In Compliance	Compliance Rate
Determine if complaint notification procedures were followed	0	1	100%
Verify complaint was assigned a unique identifier	0	1	100%
Verify investigation assignment protocols were followed, such as serious or criminal misconduct being investigated outside of the Professional Standards Bureau	0	1	100%
Verify deadlines were met	0	1	100%
Verify investigator who conducted the investigation received required misconduct investigation training	0	1	100%
Determine if an investigation was conducted by an employee with a history of multiple sustained misconduct allegations, or one sustained allegation of a Category 6 offense from the MCSO's disciplinary matrices	0	1	100%

Determine if an investigation was conducted by an employee who was named as a principal or witness in any investigation of the underlying incident	0	1	100%
Determine if an investigation was conducted of a superior Officer within the internal affairs investigators' chain of command.	0	1	100%
Determine if interviews were audio and video recorded	0	1	100%
Determine if the investigative report was reviewed by the appropriate personnel	0	1	100%
Determine if an employee was promoted or received a salary increase while named as a principal in an ongoing misconduct investigation absent the required written justification	0	1	100%
Determine if a final finding was reached on a misconduct allegation	0	1	100%
Determine if an employee's disciplinary history was documented	0	1	100%
Determine if an explanation was provided for any discipline imposed inconsistently with the disciplinary matrix	0	1	100%
Overall Compliance for Misconduct Investigations conducted at the Division/District	0	14	100%

Below is the historical comparison of compliance for Misconduct Investigations conducted by sworn supervisors at the Districts/Divisions:

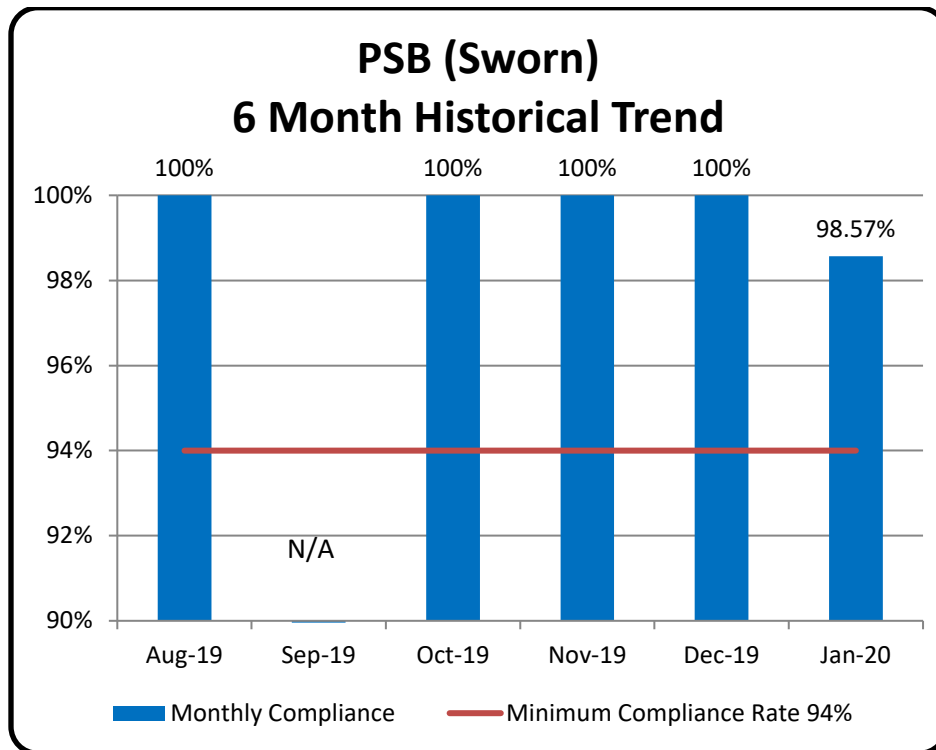


Inspection results for the 5 Misconduct Investigation conducted by Sworn Supervisors at the PSB

Compliance Objectives	Not In	In	Compliance Rate
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	Compliance	Compliance	
Determine if complaint notification procedures were followed	0	5	100%
Verify complaint was assigned a unique identifier	0	5	100%
Verify investigation assignment protocols were followed, such as serious or criminal misconduct being investigated outside of the Professional Standards Bureau	0	5	100%
Verify deadlines were met	1	4	80%
Verify investigator who conducted the investigation received required misconduct investigation training	0	5	100%
Determine if an investigation was conducted by an employee with a history of multiple sustained misconduct allegations, or one sustained allegation of a Category 6 offense from the MCSO's disciplinary matrices	0	5	100%
Determine if an investigation was conducted by an employee who was named as a principal or witness in any investigation of the underlying incident	0	5	100%
Determine if an investigation was conducted of a superior Officer within the internal affairs investigators' chain of command.	0	5	100%
Determine if interviews were audio and video recorded	0	5	100%
Determine if the investigative report was reviewed by the appropriate personnel	0	5	100%
Determine if an employee was promoted or received a salary increase while named as a principal in an ongoing misconduct investigation absent the required written justification	0	5	100%
Determine if a final finding was reached on a misconduct allegation	0	5	100%
Determine if an employee's disciplinary history was documented	0	5	100%
Determine if an explanation was provided for any discipline imposed inconsistently with the disciplinary matrix	0	5	100%
Overall Compliance for Misconduct Investigations conducted by the Sworn Personnel at the PSB	1	69	98.57%

Below is the historical comparison of compliance for Misconduct Investigations conducted by sworn personnel at the Professional Standards Bureau:

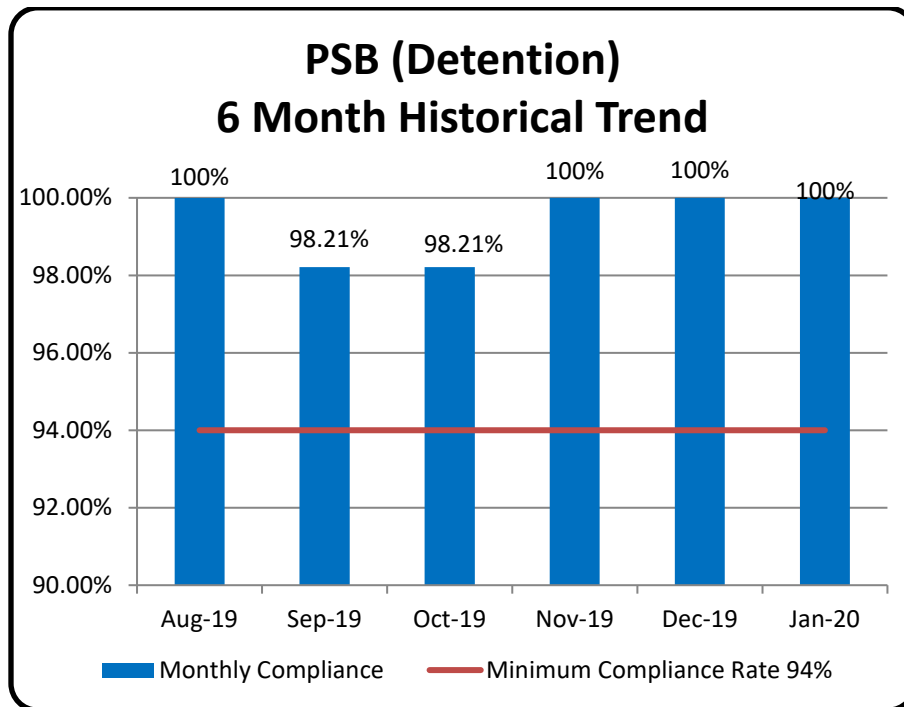


Inspection results for the 4 Misconduct Investigation conducted by Detention Personnel at the PSB.

Compliance Objectives	Not In Compliance	In Compliance	Compliance Rate
Determine if complaint notification procedures were followed	0	4	100%
Verify complaint was assigned a unique identifier	0	4	100%
Verify investigation assignment protocols were followed, such as serious or criminal misconduct being investigated outside of the Professional Standards Bureau	0	4	100%
Verify deadlines were met	0	4	100%
Verify investigator who conducted the investigation received required misconduct investigation training	0	4	100%
Determine if an investigation was conducted by an employee with a history of multiple sustained misconduct allegations, or one sustained allegation of a Category 6 offense from the MCSO's disciplinary matrices	0	4	100%
Determine if an investigation was conducted by an employee who was named as a principal or witness in any investigation of the underlying incident	0	4	100%

Determine if an investigation was conducted of a superior Officer within the internal affairs investigators' chain of command.	0	4	100%
Determine if interviews were audio and video recorded	0	4	100%
Determine if the investigative report was reviewed by the appropriate personnel	0	4	100%
Determine if an employee was promoted or received a salary increase while named as a principal in an ongoing misconduct investigation absent the required written justification	0	4	100%
Determine if a final finding was reached on a misconduct allegation	0	4	100%
Determine if an employee's disciplinary history was documented	0	4	100%
Determine if an explanation was provided for any discipline imposed inconsistently with the disciplinary matrix	0	4	100%
Overall Compliance for Misconduct Investigations conducted by Detention Personnel at the PSB	0	56	100%

Below is the historical comparison of compliance for Misconduct Investigations conducted by detention personnel at the Professional Standards Bureau:



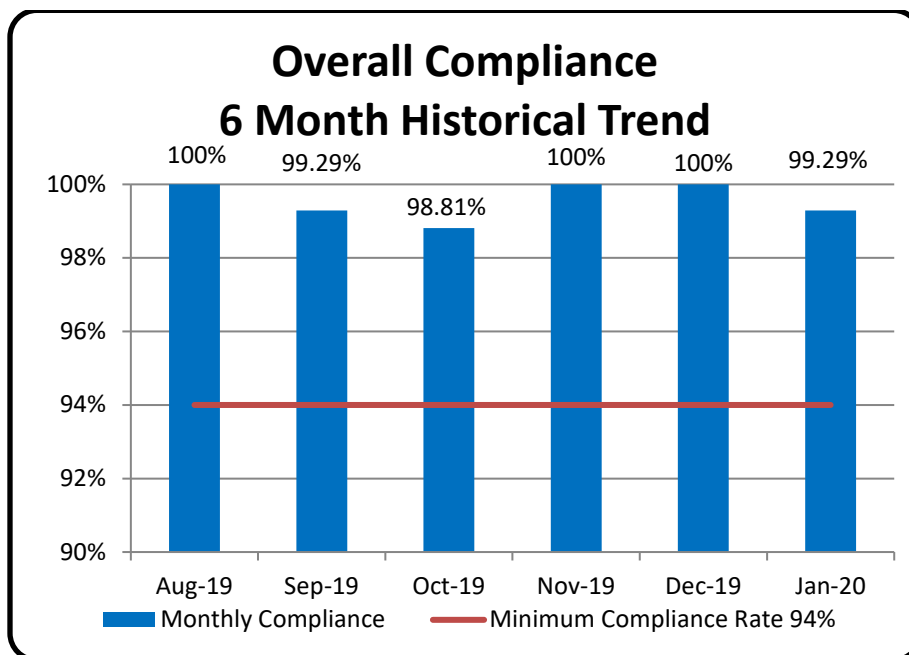
The following Deficiency was identified during the inspection:

IA Number	Employee	Division	Division Commander
IA2018-0190	Undermined	PSB	Captain
Deficiency			
Deadlines Met:			
The Case File includes two approved requests to exceed the 180-day timeline. The inspector was unable to locate records to indicate that the second approved extension memorandums were provided to the Principal. However, records in the IAPro Case File include a document that shows that the PSB became aware of this deficiency and the document explain the unique set of circumstances that resulted in the Principal not being notified of the second 180-day extension.			
As the deficiency identified during this inspection has already been addressed by the Professional Standards Bureau, no BIO Action Form is required for this deficiency.			

Compliance for January 2020:

Compliance Rate by Identified Personnel	Compliance Rate
Sworn Personnel at the Division/District Level	100%
Sworn Personnel at the Professional Standards Bureau	98.57%
Detention Personnel at the Professional Standards Bureau	100%
Overall Compliance for January Misconduct Investigations	99.29%

Below is the historical comparison of compliance for all Misconduct Investigations inspected:



Inspection BI2020-0023 resulted in 99.29% compliance, however, as previously noted in this report, **no BIO Action Form is requested.**

Date Inspection Started: March 2, 2020
Date Completed: April 9, 2020
Timeframe Inspected: January 1 to 31, 2020
Assigned Inspector: Auditor Mario Rodriguez A9047

I have reviewed this inspection report.

Lt. Todd Brice

4-9-2020

Lt T. Brice S1767
Commander, Audits and Inspections Unit
Bureau of Internal Oversight

Date