

# MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



**Patrol Shift Roster Inspection 1<sup>st</sup> Quarter 2021**

Inspection Report# BI2021-0034

The Audits and Inspections Unit (AIU) of the Bureau of Internal Oversight (BIO) will conduct inspections of Daily Patrol Shift Rosters on a quarterly basis to determine if the rosters are in compliance with Office policy. The Daily Patrol Shift Rosters are uniformly inspected utilizing a matrix developed by AIU, in accordance with procedures outlined in Policy GB-2, *Command Responsibility*.

**Matrix Procedures:**

- A Daily Patrol Shift Roster is completed for each work shift.
- Supervisor span of control is in accordance with MCSO Policy GB-2.
- Shift Supervisor positions are being filled by employees with the rank of Sergeant, Lieutenant, or above in accordance with MCSO Policy GB-2.
- Supervisors are assigned to, and work, the same days and hours as the deputies under their direct command, absent exceptional circumstances.
- Policy violations outside of the scope of this inspection are listed as non-compliance deficiencies.

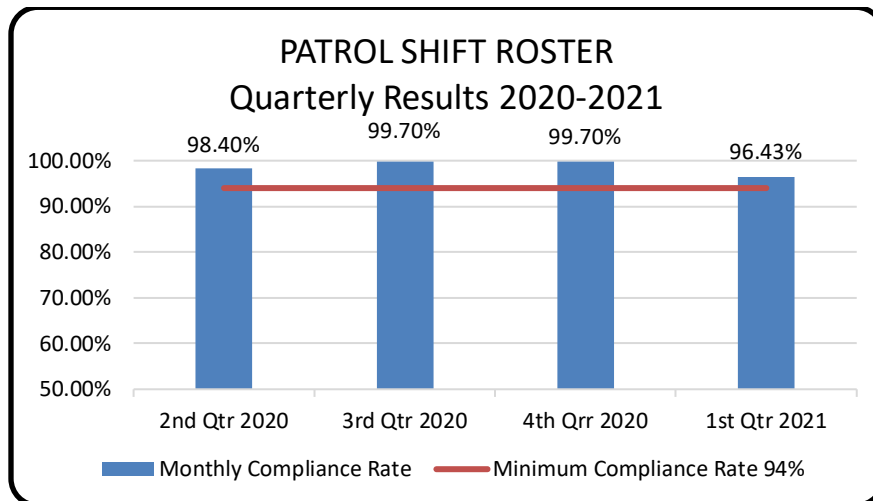
**Criteria:**

MCSO Policy GB-2, *Command Responsibility*

**Conditions:**

A random selection of one day (24-hour period) per week for the months of January, February, and March was utilized. Due to possible specialty assignment squads and the variance of days in a month, the total number of shift rosters will vary each month. For the first quarter of 2021, there was a total of 120 rosters randomly selected for inspection; 100% of the randomly selected rosters was inspected.

MCSO achieved a compliance rate of **96.43% (total rosters in compliance / cumulative total rosters)** in the Patrol Shift Roster inspection for the first quarter of 2021, as illustrated in the graph below:








Division	District 1	District 2	District 3	District 4	Lake Patrol	District 6	District 7
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<b>In Compliance</b>	9	12	12	12	48	12	12
<b>Non-Comp. Def.</b>	2	6	5	2	1	4	6
<b>Comp. Def.</b>	3	0	0	0	0	0	0
<b>Total Rosters</b>	12	12	12	12	48	12	12
<b>Compliance %</b>	75%	100%	100%	100%	100%	100%	100%

The following deficiencies were noted during the inspection period:

**District I (3 BIO Action Forms):**

**Compliance Deficiencies**

District/Division	Employee	Shift Date	Current Supervisor	Current Commander
District I	Sergeant	Multiple	Lieutenant	Captain
<b>Deficiencies</b>				
2/8/2021 and 3/1/2021 shift rosters document on-duty sergeant exceeded the 8:1 ratio of supervision without completing a span of control memorandums.   				
District/Division	Employee	Shift Date	Current Supervisor	Current Commander
District I	Sergeant	2/17/2021	Lieutenant	Captain
<b>Deficiency</b>				
Shift roster documents on-duty sergeant exceeded the 8:1 ratio of supervision without completing a span of control memorandum.  				

**Non-Compliance Deficiencies**

District/Division	Employee	Shift Date	Current Supervisor	Current Commander
District I	Sergeant	3/8/2021	Lieutenant	Captain
<b>Deficiencies</b>				
<ol style="list-style-type: none"> <li>Shift roster documents wrong serial and vehicle number (Policy GB-2.13.A.2.e and f)</li> <li>Shift roster documents wrong serial and vehicle number (Policy GB-2.13.A.2.e and f)</li> </ol>				

District II (3 BIO Action Forms):

Non-Compliance Deficiencies

District/Division	Employee	Shift Date	Current Supervisor	Current Commander
District II	Sergeant	Multiple	Lieutenant	Captain
<b>Deficiencies</b>				
1. 1/11/2021 Shift roster documents wrong serial and vehicle number ( <b>Policy GB-2.13.A.2.d and e</b> ) 2. 1/11/2021 Shift roster documents wrong serial and vehicle number ( <b>Policy GB-2.13.A.2.e</b> ) 3. 3/08/2021 Shift roster documents wrong serial and vehicle number ( <b>Policy GB-2.13.A.2.e</b> )				
<b>**Employee has 2 previous BAFs for shift roster inspection (BAF2020-0140, BAF2020-0242)**</b>				
District/Division	Employee	Shift Date	Current Supervisor	Current Commander
District II	Sergeant	3/1/2021	Lieutenant	Captain
<b>Deficiency</b>				
Shift roster documents wrong call sign ( <b>Policy GB-2.13.A.2.f</b> ) <b>**Employee has 2 previous BAFs for shift roster inspection (BAF2020-0243, BAF2021-0037)**</b>				
District/Division	Employee	Shift Date	Current Supervisor	Current Commander
District II	Sergeant	3/25/2021	Lieutenant	Captain
<b>Deficiencies</b>				
1. Shift roster documents wrong call sign ( <b>Policy GB-2.13.A.2.f</b> ) 2. Shift roster documents wrong serial number ( <b>Policy GB-2.13.A.2.d</b> )				

## District III (3 BIO Action Forms):

Non-Compliance Deficiencies

District/Division	Employee	Shift Date	Current Supervisor	Current Commander
District III	Sergeant	Multiple	Lieutenant	Captain
<b>Deficiencies</b>				
1. 1/20/2021 Shift roster documents wrong vehicle number ( <b>Policy GB-2.13.A.2.e</b> ) 2. 2/17/2021 Shift roster documents wrong vehicle number ( <b>Policy GB-2.13.A.2.e</b> ) 3. 2/25/2021 Shift roster documents wrong vehicle number ( <b>Policy GB-2.13.A.2.e</b> )				
<b>**Employee has 1 previous BAF for shift roster inspection (BAF2020-0245)**</b>				
District/Division	Employee	Shift Date	Current Supervisor	Current Commander
District III	Sergeant	1/20/2021	Lieutenant	Captain
<b>Deficiency</b>				
Shift roster documents wrong vehicle number ( <b>Policy GB-2.13.A.2.e</b> ) <b>**Employee has 2 previous BAFs for shift roster inspection (BAF2020-0144, BAF2020-0312)**</b>				
District/Division	Employee	Shift Date	Current Supervisor	Current Commander
District III	Sergeant	2/8/2021	Lieutenant	Captain
<b>Deficiency</b>				
Shift roster documents wrong vehicle number ( <b>Policy GB-2.13.A.2.e</b> ) <b>**Employee has 2 previous BAFs for shift roster inspection (BAF2020-0143, BAF2021-0041)**</b>				

## District IV (1 BIO Action Form):

Non-Compliance Deficiencies

District/Division	Employee	Shift Date	Current Supervisor	Current Commander
District IV	Sergeant	Multiple	Lieutenant	Captain
Deficiencies				
1. 3/1/2021 Shift roster documents Squads 3 and 2; Division Roster indicates Squads 1 and 2 ( <b>Policy GB-2.13.A.2.b</b> ) 2. 3/8/2021 Shift roster documents Squads 3 and 2; Division Roster indicates Squads 1 and 2 ( <b>Policy GB-2.13.A.2.b</b> )				

## District VI (3 BIO Action Forms):

Non-Compliance Deficiencies

District/Division	Employee	Shift Dates	Current Supervisor	Current Commander
District VI	Sergeant	2/8/2021	Lieutenant	Captain
Deficiency				
Shift roster documents Squad 2; Division Roster indicates Squad 3 ( <b>Policy GB-2.13.A.2.b</b> )				
District/Division	Employee	Shift Dates	Current Supervisor	Current Commander
District VI	Sergeant	2/17/2021	Lieutenant	Captain
Deficiency				
Shift roster documents wrong call sign ( <b>Policy GB-2.13.A.2.f</b> )				
District/Division	Employee	Shift Dates	Current Supervisor	Current Commander
District VI	Sergeant	Multiple	Lieutenant	Captain
Deficiencies				
1. 3/1/2021 shift roster documents wrong vehicle number ( <b>Policy GB-2.13.A.2.e</b> ) 2. 3/17/2021 shift roster documents wrong vehicle number ( <b>Policy GB-2.13.A.2.e</b> )				
**Employee has 2 previous BAFs for shift roster inspection (BAF2020-0247, BAF2021-0316)**				

## District VII (2 BIO Action Forms):

Non-Compliance Deficiencies

District/Division	Employee	Shift Date	Current Supervisor	Current Commander
District VII	Sergeant	Multiple	Lieutenant	Captain
<b>Deficiencies</b>				
1. 2/8/2021 and 3/8/2021 shift rosters document wrong call sign ( <b>Policy GB-2.13.A.2.f</b> ) 2. 3/8/2021 shift roster documents wrong vehicle number ( <b>Policy GB-2.13.A.2.e</b> )				
<b>**Employee has 1 previous BAF for shift roster inspection (BAF2021-0045)**</b>				
District/Division	Employee	Shift Date	Current Supervisor	Current Commander
District VII	Sergeant	Multiple	Lieutenant	Captain
<b>Deficiencies</b>				
1. 3/1/2021 shift roster documents wrong vehicle number ( <b>Policy GB-2.13.A.2.e</b> ) 2. 3/8/2021 shift roster documents wrong serial number ( <b>Policy GB-2.13.A.2.d</b> ) 3. 3/8/2021 shift roster documents wrong serial number ( <b>Policy GB-2.13.A.2.d</b> )				

## Lake Patrol (1 BIO Action Form):

Non-Compliance Deficiency

District/Division	Employee	Shift Dates	Current Supervisor	Current Commander
Lake Patrol	Sergeant	2/17/2021	Lieutenant	Captain
<b>Deficiency</b>				
Shift roster documents wrong vehicle number ( <b>Policy GB-2.13.A.2.e</b> ) <b>**Employee has 1 previous BAF for shift roster inspection (BAF2021-0049)**</b>				

## BIO (1 BIO Action Form):

### Non-Compliance Deficiencies

District/Division	Employee	Shift Date	Current Supervisor	Current Commander
TSAU	Sergeant	Multiple	Lieutenant	Captain
Deficiencies				
1. 3/1/2021 Shift roster documents wrong vehicle number ( <b>Policy GB-2.13.A.2.e</b> ) 2. 3/17/2021 Shift roster documents wrong vehicle number ( <b>Policy GB-2.13.A.2.e</b> )  <b>Note:</b> These deficiencies occurred when the employee was assigned to District I. <b>**Employee has 1 previous BAF for shift roster inspection (BAF2021-0048)**</b>				
District/Division	Employee	Shift Date	Current Supervisor	Current Commander
TSAU	Sergeant	Multiple	Lieutenant	Captain
Deficiencies				
1. 1/20/2021 and 1/28/2021 shift rosters document wrong vehicle number ( <b>Policy GB-2.13.A.2.e</b> ) 2. 1/20/2021 and 1/28/2021 shift rosters document wrong vehicle number ( <b>Policy GB-2.13.A.2.e</b> )  <b>Note:</b> These deficiencies occurred when the employee was assigned to Lake Patrol. <b>**Employee has 1 previous BAF for shift roster inspection (BAF2021-0048)**</b>				

Unless noted above in the deficiency tables, there were no prior BIO Action Forms similar in nature or supervisor notes addressing the deficiencies.

#### Action Required:

With the resulting **96.43%** compliance rate for Inspection #BI2021-0034, **16 BIO Action Forms** are requested. The forms shall be completed utilizing BlueTeam.

Date Inspection Started: April 13, 2021

Date Completed: April 30, 2021

Timeframe Inspected: January 1<sup>st</sup> to March 31<sup>st</sup>, 2021

Assigned Inspector(s): Connie Phillips B3345



I have reviewed this inspection report.

*Lt. Jonathan Halverson S1674*

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Lieutenant Jonathan Halverson S1674  
Commander, Audits & Inspections Unit  
Bureau of Internal Oversight

5/18/2021

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Date