

# MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight  
Audits and Inspections Unit



**Sworn Supervisor Note Inspection October 2023**

Inspection Report# BI2023-0161

The Audits and Inspections Unit (AIU) of the Sheriff's Office Bureau of Internal Oversight (BIO) will conduct monthly inspections of Supervisory Note entries to determine if these entries are in compliance with Office policies and to help promote proper supervision. To achieve this, inspectors will utilize the IPro System and a sample of employees selected by the monitors 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, GH-5, and GJ-35.

**Compliance Objectives:**

Utilizing the Supervisor Note Inspection Matrix, review each selected sworn employee's EIS information to ensure they received the following during October 2023:

- Ensure the supervisor completed a minimum of two Supervisor Note entries
- Ensure the supervisor completed one performance-based entry
- Ensure the supervisor conducted two reviews of EIS data
- Ensure the supervisor conducted a monthly review of Body-Worn Camera footage of two traffic stops if the Sworn Employee made any stops during the review period

**Criteria:**

MCSO Policy EA-11, *Arrest Procedures*

MCSO Policy GB-2, *Command Responsibility*

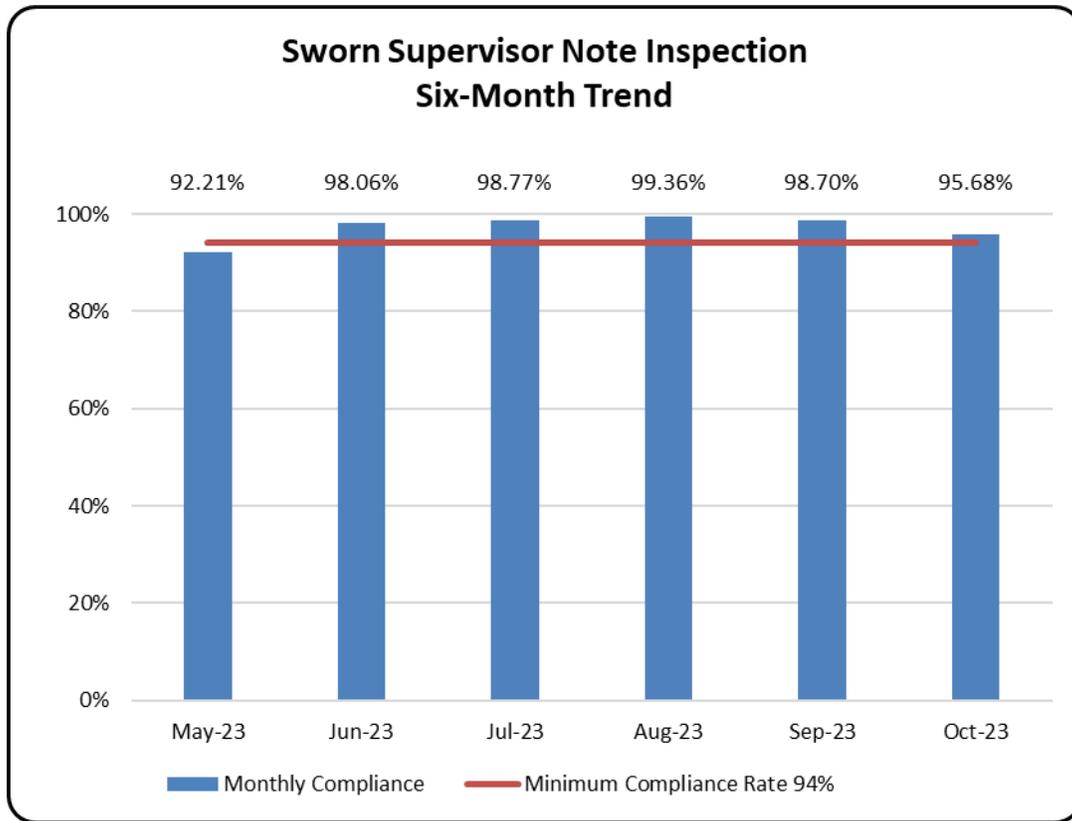
MCSO Policy GH-5, *Early Identification System*

MCSO Policy GJ-35, *Body-Worn Cameras*

**Conditions:**

MCSO's assigned Court Monitors provided a sample of one patrol squad from each Patrol Division for the month of October 2023 Supervisory Note Review. The Supervisor Notes of the assigned patrol roster are reviewed, including the selected sworn employee's chain of command. AIU reviewed the completed Supervisor Notes of 29 deputies, 6 sergeants, 6 lieutenants, and 6 captains. (Note: completion of a Supervisory Note inspection is dependent on when the AIU receives the sample from the Court Monitors). A review of the IPro records revealed that, of the 47 sworn employees' records reviewed for Supervisor Note entries submitted during the month of October, 44 sworn employees received entries in full compliance with MCSO Policies.

MCSO achieved a compliance rate of 95.68% in the Sworn Supervisor Note inspection for October 2023, as illustrated in the graph below:



Results of the Review of the Supervisor Note entries:

Inspection Element	Not In Compliance	In Compliance	Total Inspected	Compliance Rate
Sworn Employee received at least two Supervisor Notes during the month	2	45	47	95.74%
At least One Supervisor Note entry is of sufficient quality to facilitate the preparation of an accurate and detailed performance review and reflects the sworn employee’s positive traits and accomplishments and any observed shortcomings	1	46	47	97.87%
Twice per month, supervisors review Sworn subordinates’ EIS information for the purpose of identifying and responding to any conduct patterns or concerns	3	44	47	93.62%
Supervisor Note lacks documentation of review of two Body-Cam videos <b>(NOTE: Not all sworn employees will make traffic stops during the review period)</b>	1	20	21	95.24%
<b>Overall Compliance with inspection requirements</b>	<b>7</b>	<b>155</b>	<b>162</b>	<b>95.68%</b>

The following deficiencies were identified during the inspection process.

### District 2 (1 BIO Action Form):

District	Employee Notes Inspected	Responsible Supervisor	Current Commander
District 2	Sergeant	Lieutenant	Captain
Deficiency			
1. Supervisor Notes lacked documentation of two monthly EIS reviews. Policy GB-2.7.B.4 Inspector Notes: <ul style="list-style-type: none"> <li>One of two EIS reviews were completed</li> </ul> <b>**Employee has one (1) previous BAF for Sworn Supervisor Note Inspection (BAF2023-0135)**</b>			

### District 3 (1 BIO Action Form):

District	Employee Notes Inspected	Responsible Supervisor	Current Commander
District 3	Deputy	Sergeant	Captain
Deficiency			
1. Two Supervisor Notes on sworn employee per month at a minimum not met. Policy GB-2.7.B.1 2. Supervisor Notes lacked documentation of two monthly EIS reviews. Policy GB-2.7.B.4 3. Supervisor Note lacked documentation of the sworn employee's performance. Policy GB-2.7.B.1 4. Supervisor Notes lacked documentation of review of two Body Camera videos. Policy GJ-35.12.A Inspector Notes: <ul style="list-style-type: none"> <li>One of two EIS reviews were completed</li> <li>On 10/14/2023 Deputy was assigned to the above listed supervisor</li> </ul> <b>**Employee has one (1) previous BAF for Sworn Supervisor Note Inspection (BAF2023-0047)**</b>			

### District 4 (1 BIO Action Form):

District	Employee Notes Inspected	Responsible Supervisor	Current Commander
District 4	Sergeant	Lieutenant	Captain
Deficiency			
1. Two Supervisor Notes on sworn employee per month at a minimum not met. Policy GB-2.7.B.1 2. Supervisor Notes lacked documentation of two monthly EIS reviews. Policy GB-2.7.B.4 Inspector Notes: <ul style="list-style-type: none"> <li>One of two EIS reviews were completed</li> </ul> <b>**Employee has one (1) previous BAF for Sworn Supervisor Note Inspection (BAF2023-0079)**</b>			

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

#### Action Required:

With the resulting **95.68%** compliance for *Inspection BI2023-0161*, a total of **3** BIO Action Forms are requested from the affected District addressing this deficiency.

**Notes:**

All supporting documentation (working papers) are included in the inspection file and contained within IAPro.

Date Inspection Started: November 09, 2023  
Date Completed: November 15, 2023  
Timeframe Inspected: October 01 - 31, 2023  
Assigned Inspector: Kateryna A. Ellis B4299

I have reviewed this inspection report.

Lt. Brian Arthur S1806  
Lt. T. Brian Arthur S1806  
Commander, Audits & Inspections Unit  
Bureau of Internal Oversight

12/5/23  
Date