

# MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight  
Audits and Inspections Unit



**Sworn Supervisor Note Inspection February 2020**

Inspection Report# BI2020-0018

---

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 February 2020:

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

**Criteria:**

MCSO Policy EA-11, *Arrest Procedures*

MCSO Policy GB-2, *Command Responsibility*

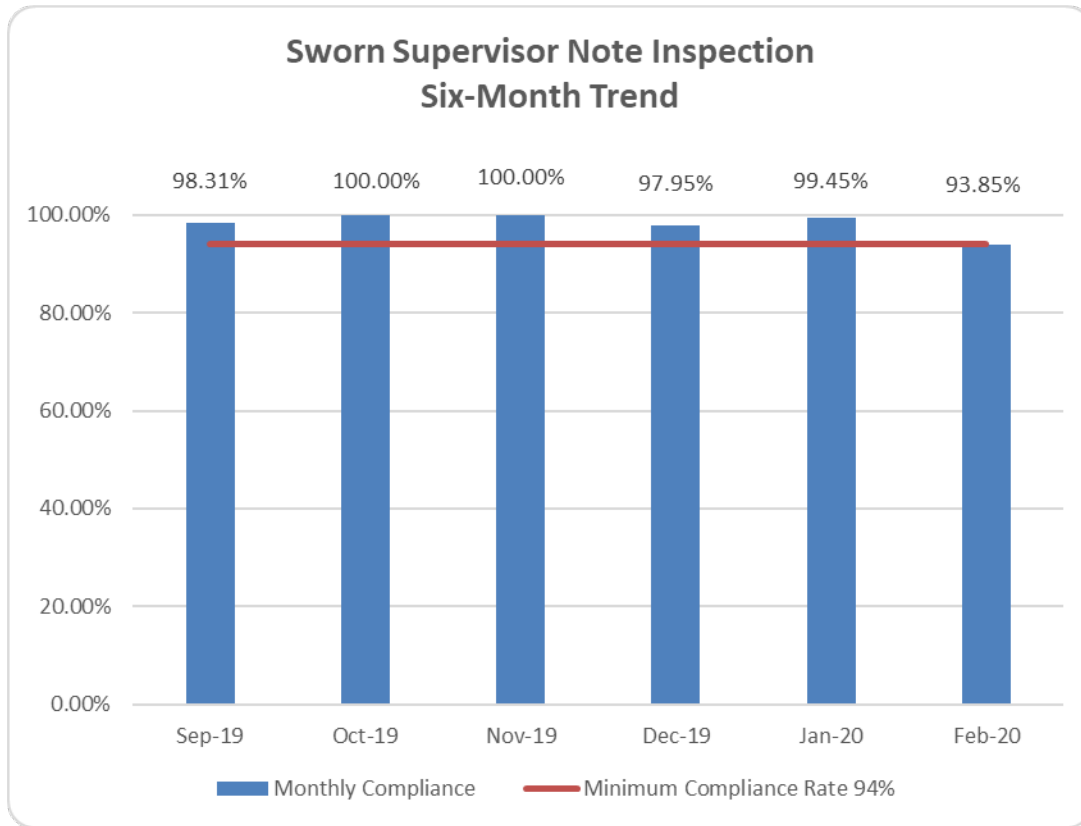
MCSO Policy GH-5, *Early Identification System*

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 February 2020 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 32 deputies, 7 sergeants, 8 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 53 sworn employees' records reviewed for Supervisor Note entries submitted during the month of February, 48 sworn employees received entries in full compliance with MCSO Policies.

MCSO achieved a compliance rate of 93.85% in the Sworn Supervisor Note inspection for February 2020, 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	1	52	53	98.11%
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	5	48	53	90.57%
Twice per month, supervisors review Sworn subordinates’ EIS information for the purpose of identifying and responding to any conduct patterns or concerns	5	48	53	90.57%
Supervisor Note lacks documentation of review to two Body-Cam videos <b>(NOTE: Not all sworn employees will make traffic stops during the review period)</b>	0	20	20	100%
<b>Overall Compliance with inspection requirements</b>	<b>11</b>	<b>168</b>	<b>179</b>	<b>93.85%</b>

The following deficiencies were identified during the inspection process.

### Pre-Employment Services Division (1 BIO Action Form)

Division	Employee Notes Inspected	Responsible Supervisor	Responsible Commander
Pre-Employment Services	Deputy	Supervisor	Lieutenant
Deficiency			
Two Supervisor Notes on sworn employee per month at a minimum not met. Policy GB-2.7.B.1 Supervisor Note lacked documentation of the sworn employee's performance. Policy GB-2.7.B.1 Supervisor Notes lacked documentation of two monthly EIS reviews. Policy GB-2.7.B.4			

### District 3 (1 BIO Action Form)

Division	Employee Notes Inspected	Responsible Supervisor	Responsible Commander
District 3	Deputy	Sergeant	Captain
Deficiency			
Supervisor Note lacked documentation of the sworn employee's performance. Policy GB-2.7.B.1 Supervisor Notes lacked documentation of two monthly EIS reviews. Policy GB-2.7.B.4			
Division	Employee Notes Inspected	Responsible Supervisor	Responsible Commander
District 3	Deputy	Sergeant	Captain
Deficiency			
Supervisor Note lacked documentation of the sworn employee's performance. Policy GB-2.7.B.1 Supervisor Notes lacked documentation of two monthly EIS reviews. Policy GB-2.7.B.4			
Division	Employee Notes Inspected	Responsible Supervisor	Responsible Commander
District 3	Deputy	Sergeant	Captain
Deficiency			
Supervisor Note lacked documentation of the sworn employee's performance. Policy GB-2.7.B.1 Supervisor Notes lacked documentation of two monthly EIS reviews. Policy GB-2.7.B.4			
Division	Employee Notes Inspected	Responsible Supervisor	Responsible Commander
District 3	Deputy	Sergeant	Captain
Deficiency			
Supervisor Note lacked documentation of the sworn employee's performance. Policy GB-2.7.B.1 Supervisor Notes lacked documentation of two monthly EIS reviews. Policy GB-2.7.B.4			

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 **93.85%** compliance for *Inspection BI2020-0018*, a total of **2** BIO Action Forms are requested from the affected Division/District addressing the deficiency. **The form shall be completed utilizing Blue Team.**

#### Recommendations:

It is recommended that Management continue to provide on-site mentorship to supervisors regarding the importance of ensuring Supervisory Note entries are used to document a specific sworn employee's performance and should be of sufficient quality as to give a true assessment of the sworn employee's performance during a particular period, as required by MCSO Policy EB-11, *Arrest Procedures*, GB-2, *Command Responsibility*, GH-5, *Early Identification System*, and GJ-35,

*Body-Worn Cameras.* To accomplish this goal, the Supervisory Note entries need to specifically document the following requirements:

- The Sworn Employee's work performance during the last 30-day period.
- Conduct two reviews per month of each sworn subordinates' EIS information for the purpose of identifying and responding to any conduct patterns or concerns.
- Maintain a written record of the performance of each sworn employee in the EIS Blue Team Supervisor Notes application. The record shall reflect the sworn employee's positive traits and accomplishments and any observed shortcomings.
- On a monthly basis, Patrol supervisors shall conduct two random reviews of traffic stop video footage from each subordinate's body-worn camera recordings. Best practices show that the random selection should be made from the prior month traffic stops, to ensure all traffic stops are captured in the sample population.
- Supervisor Note entries shall be of sufficient quality and frequency to facilitate the preparation of an accurate and detailed performance review, but ***at a minimum, two entries shall be completed every month.***

**Notes:**

All supporting documentation (working papers are included in the inspection file number BI2020-0018 and contained within IAPro.

Date Inspection Started:	March 17, 2020
Date Completed:	March 30, 2020
Timeframe Inspected:	February 01-29, 2020
Assigned Inspector:	Ronda Jamieson B3178

I have reviewed this inspection report.

<u>Lt. Todd Brice</u>	<u>3-30-2020</u>
Lt. Todd Brice S1767	Date
Commander, Audits & Inspections Unit	
Bureau of Internal Oversight	