MARICOPA COUNTY SHERIFF'S OFFICE POLICY AND PROCEDURES

Subject	Policy Number
INCIDENT REPORT GUIDELINES	**GF-5**
	Effective Date
	09-16-25

Related Information	Supersedes
ARS 28-667 Code of Federal Regulations, Title 28, Chapter 1, Part 20 CP-1, *Use of Force* EA-11, *Arrest Procedures* EB-1, *Traffic Enforcement, Violator Contacts, and Citation Issuance* EB-6, *Vehicle Collision Investigations* ED-3*, Review of Cases Declined for Prosecution* GB-2, *Command Responsibility* GE-3, *Property Management and Evidence Control* GF-3*, Criminal History Record Information and Public Records* GH-2, *Internal Investigations* GJ-5, *Crime Scene Management* GJ-6*, Criminal Investigations Organization and Administration* GJ-35, *Body-Worn Cameras* GJ-36, *Use of Digital Recording Devices* (Non Body-Worn Cameras)	GF-5 (05-07-24)

PURPOSE

The purpose of this Office Policy is to provide guidelines and procedures to record information regarding any crime or incident reported to, or observed by an Office employee, including a deputy services aide (DSA), a volunteer reserve deputy, and/or posse member.

POLICY

It is the policy of the Office to require employees, including deputy services aides (DSAs), and volunteer reserve deputies and/or posse members to generate *Incident Reports* (IRs) and IR Supplements in order to document criminal incidents. Employees and reserve deputies may also need to generate IRs and IR Supplements for non-criminal incidents such as, but not limited to, civil matters, welfare checks, vehicle tows, as well as any incident that an employee, reserve deputy, or supervisor determines should be documented for later administrative or investigative purposes.

DEFINITIONS

Blue Team: The Early Identification System (EIS) application that allows employees and supervisors to record information in a database regarding incidents, performance, and conduct. The information from Blue Team is transferred to the IAPro Early Identification case management system.

Case Agent: The lead investigator designated for a specific investigation. The case agent is responsible for overall management of the case which includes delegation of investigative tasks, lead tracking, collection of supplemental reports and other relevant case documentation. Additionally, the case agent is responsible for verifying all evidence is impounded, packaging the case for prosecution, assisting the prosecutor with the presentation for the case in court proceedings, and providing a final disposition of property and evidence held in reference to the investigation, at the conclusion of the case.

Conclusory or Boilerplate Language: Conclusory language is an inference, which has no proof and has no stated proof. Boilerplate language is stock, unoriginal language that appears repeatedly in different reports and fails to attest to the unique facts of an incident. Conclusory language can lead to boilerplate language. For example, an employee may write "*I noticed the subject was drunk*." This language is conclusory, because it is not supported by fact; when repeated across reports, the language is also boilerplate. Based on the unique facts of the incident, the report could have avoided conclusory language by stating: "*I noticed the subject had a strong odor of an alcoholic beverage emitting from their person, their eyes were bloodshot and watery, they staggered as they walked toward me, and their speech was slurred as they spoke. It appeared the subject was under the influence of alcohol.*" Although this new language is not conclusory, it can become boilerplate through repeated use in reports; this problem often arises through use of a template. Supervisors should therefore look for repeated language even if it is not conclusory.

Digital Recording Device: A device designed to record, transmit, or receive voice communications, sound, video, or photographic images, including, but not limited to, cellular telephones, digital audio recorders, digital video recorders, and body-worn cameras. Personally owned digital recording devices are not authorized unless exigent circumstances exist and with prior approval of a supervisor. Exigent circumstances include the sum of the conditions and information available in any event which, taken in totality, dictates a need for immediate action.

Early Identification System* (EIS)*: A system of electronic databases that captures and stores threshold events to help support and improve employee performance through early intervention and/or to identify problematic operating procedures, improving employee performance, identifying detrimental behavior, recognizing outstanding accomplishments, and to improve the Office's supervisory response. The computerized relational database shall collect, maintain, integrate, and retrieve information gathered in order to highlight tendencies in performance, complaints, and other activities. The database allows the Office to document appropriate identifying information for involved employees, (and members of the public when applicable), and the actions taken to address the tendencies identified. Blue Team, IAPro, and EIPro are applications of the EIS.

Early Intervention Unit* (EIU)*: The EIU is part of the Bureau of Internal Oversight. The EIU is responsible for the implementation, maintenance, and operation of the EIS and for providing training and assistance to the EIS users. The unit conducts data analysis, data input, and review of activities exceeding thresholds to address potentially problematic conduct or operating procedures and recognizes positive attributes by reviewing employee awards. The Office shall ensure there is sufficient personnel to facilitate EIS input and training.

Employee: A person currently employed by the Office in a classified, unclassified, contract, or temporary status.

Extraordinary Circumstance: A circumstance which goes beyond what is usual, regular or customary.

Incident Report (IR) Memorialization: An entry generated in Blue Team by a supervisor detailing report writing deficiency(s) of an employee relative to any investigatory detention, Terry Frisk, search unsupported by reasonable suspicion, arrest unsupported by probable cause, or are otherwise in violation of Office Policy.

The entry shall include the corrective action taken by the reviewing supervisor when the review indicates any of the following report writing deficiencies: conclusory or boilerplate language; inconsistent information; indicia that information on the report is not authentic or correct; lacks articulation of legal basis for action; Miranda violation; missing elements of the crime; no probable cause for arrest; no probable cause for charge; no reasonable suspicion; unlawful/improper detention, unlawful/improper investigatory stop, unlawful/improper search; unlawful/improper seizure of property; or evidence of bias-based profiling.

The entry shall also be generated when the supervisor's report writing review indicates a need for review of Office Policy, strategy, tactics, or training.

Misconduct: A violation of Office Policy or procedure, federal, state, or local criminal or civil law, constitutional violations, whether criminal or civil, administrative rules including, but not limited to, the Maricopa County Merit System Rules, or Office regulations.

Criminal Misconduct: Misconduct by an employee that a reasonable and trained supervisor or internal affairs investigator would conclude could result in criminal charges due to the apparent circumstances of the misconduct.

Minor Misconduct: Misconduct that, if sustained, would result in discipline or corrective action less severe than a suspension.

Minor misconduct, while a violation of Office Policy, can often be addressed with supervisor initiated intervention intended to improve a situation, or prevent a potential negative work performance situation from progressing into a misconduct investigation. To address these employee behaviors, supervisors may initiate an intervention method, as specified in Office Policy GH-5, *Early Identification System*, to include; squad briefing; meeting with supervisor; employee services; supervisor ride-along/work along; training; supervisor evaluation period; action plan; meeting with the commander; re-assignment; and coaching. The use of intervention shall only be used to address employee minor misconduct or behavior that does not, per the Office Disciplinary Matrix, exceed a Category 1, First or Second Offense or a Category 2, First Offense, and which has not been received by the Office as an External Complaint or has not already been assigned to the Professional Standards Bureau.

OnBase: The application utilized by MCSO's Records Division to electronically store incidental reports.

Sheriff's Intelligence, Leads, and Operations* (SILO) *Unit: The Office unit that is responsible for: 1) handling incoming tips from the community telephonically, through e-mail and internet submissions, written correspondence, or in person; 2) vetting the information for any bias; 3) providing independent corroboration and analysis of those tips; and 4) forwarding them to the appropriate division for investigative follow-up. Information gathered shall be analyzed to produce tactical and strategic intelligence that is disseminated within the Office and to other appropriate detention, law enforcement, or first responder agencies.

Supervisor: An employee to whom subordinates report.

A. Commander: An employee with the rank of lieutenant or above, or its civilian equivalent and above.

B. First-Line Supervisor: An employee with the rank of sergeant, or its civilian equivalent.

Traffic and Criminal Software Case* (TraCS) *Case Management System* (CMS)*: An electronic database that allows supervisors and detectives to record information needed for case management in all criminal investigations.

PROCEDURES

1. **Requirements for an Incident Report (IR):** All IR numbers are generated by the Computer Aided Dispatch (CAD) system, at the request of employees or reserve deputies. Office employees, including DSAs, and volunteer reserve deputies, and/or posse members shall utilize the *Incident Report* (IR) *Form,* located in the TraCS system. IRs shall be used to document incidents for reasons which include, but are not limited to the following:

   A. An employee or reserve deputy has investigated a reported crime and sufficient information exists to show a crime has been committed;

   B. A complaint is made which necessitates a law enforcement action by Office personnel. Complaints which involve employee misconduct shall be handled, as specified in Office Policy GH-2, *Internal Investigations*;

   C. A employee or reserve deputy is assigned follow-up investigative responsibilities, or is required to take action at a later time;

D. An employee or reserve deputy determines that circumstances warrant a report being initiated after a request for assistance;

E. An employee or reserve deputy observes an activity which requires that an informational report be initiated and maintained for future use or reference;

F. An arrest is made; except when warrant arrests made by other law enforcement agencies are turned over to the Office solely for transporting, processing, and booking. These events require no IR and shall be processed as an assist to other agencies, as specified in Office Policy EA-11, *Arrest Procedures*;

G. An arrest is made on an active warrant from another law enforcement agency and the individual is turned over to that agency. In addition to completing an IR, the following documentation shall be completed:

1. If the arrest is made during a traffic stop related contact, a receipt must be issued, as specified in Office Policy EB-1, *Traffic Enforcement, Violator Contacts, and Citation Issuance*.

2. If no citation or warning is issued to the arrestee as a result of a traffic stop, the employee or reserve deputy shall issue an *MCSO Incidental Contact Receipt* and select “turned over to other agency.”

H. An employee or reserve deputy issues a citation for a criminal traffic violation without any property impounded, no search was conducted, and it is not an in-custody IR. The employee or reserve deputy shall obtain an IR number and complete the narrative in the citation or complete a full criminal IR, as appropriate;

I. Providing a means whereby employees and reserve deputies can conduct and record a preliminary investigation of a criminal offense;

J. Providing complete and accurate information for follow-up investigation and criminal prosecution;

K. Aiding in recall of events for future reference;

L. Providing a permanent official record, as permitted by The Arizona State Library, Archives and Public Records Retention Schedule or preservation of pertinent information;

M. Document incidents involving Use of Force, as specified in Office Policy CP-1, *Use of Force*;

N. Documenting all impounded property, such as, evidence, safekeeping, and found property, as specified in Office Policy GE-3, *Property Management and Evidence Control*;

O. Documenting a traffic or motor vehicle accidents which meet the requirements of ARS 28-667 or as specified in Office Policy EB-6, *Vehicle Collision Investigations*; and

P. Documenting a complete and accurate record of events that transpired during the processing of a crime scene or a serious accident scene, as specified in Office Policy GJ-5, *Crime Scene Management*.

2. **Sources for IR Information:** Information is gathered from various sources when preparing an IR. The sources include, but are not limited to the following:

A. Firsthand Experience: Information obtained by the author through their own experience such as things heard, seen, or smelled.

B. Other Parties: Information given to the author by other parties. Other parties include, but are not limited to the following:

1. Victim;

2. Suspect;

3. Witness;

4. Investigative Lead;

5. Complainant; or

6. Through tip information received from the Sheriff's Intelligence, Leads, and Operations (SILO) Unit.

C. Computer Aided Dispatch (CAD) System: The CAD system is capable of providing the reporting author with a variety of information, including, but not limited to, the following:

1. A unique identification number (MC [Event] Number), generated by the CAD system, which shall be used to identify and record each incident including, but not limited to, calls for service, employee on-view activity, and incidents adjudicated or referred to other agencies by the Communications Division. This number will serve as the basis for filing and retrieving subsequent reports of the incident, thereby providing a means for auditing the system;

2. An IR number, generated by the CAD system, which shall be assigned upon the request of an employee or reserve deputy. This computer generation ensures that all cases receive a unique, sequential number;

3. Event information which the CAD system automatically records and logs. The event information includes, but is not limited to, dates, times, event type and sub-type, priority, event location, beat, primary unit and employee or reserve deputy, disposition, and comments related to the event; and

4. Management reports, employee or reserve deputy activity, and incident history can be obtained from the CAD system through use of the Office intranet, such as Praxis, MPS, and INET viewer.

D. Digital Recording Devices: Digital recording devices are capable of providing the reporting author with information upon review of the images or audio that is recorded. These recordings may be provided by employees authorized to record interactions with the public or may be provided by a member of the public, to include a witness, a victim, or a complainant.

1. For the purpose of this Policy, digital recording devices include, but are not limited to the following:

a. Body-worn cameras (BWC);

b. Office-owned audio or video recorders;

c. Surveillance recordings in districts or jail facilities;

d. Surveillance cameras from businesses or homes;

e. Office-owned cellular phones capturing images, videos, and audio recordings; and.

f. Cellular phones or other digital recording devices provided by members of the public capturing images, videos, and audio recordings which are provided or impounded as evidence.

2. Personally owned digital recording devices shall not be used to digitally record scenes or evidence unless exigent circumstances exist. Such use of a personally owned digital recording device requires prior approval of a supervisor and shall be completed, as specified in Office Policy GJ-36, *Use of Digital Recording Devices* (Non Body-Worn Cameras).

3. **Components of an IR:** The following components shall be included in all IRs to include the MCAO Release Questionnaire [Form 4] Probable Cause Statement, if applicable:

A. Face Sheet: The information included on a Face Sheet gives pertinent details of the incident. All sections of the IR Face Sheet shall be completed, if known. Information that shall be stated on the Face Sheet includes, but is not limited to the following:

1. Event Section:

a. The date and time when the documented action is taken, not the date and time the IR is actually being written;

b. The IR number. Selection of the "Hand-Written" check box shall be selected when electronic submission in TraCS is unavailable;

c. The informational only box selected for cases which do not directly involve a criminal offense; and

d. The MC (Event) Number.

2. Incident Section:

a. A complete identification of the incident location, including the physical street address or geographical coordinates of rural scenes, city, state, and Justice Court Precinct;

b. The name, and serial number of all employees, including DSAs, volunteer reserve deputies, or posse members on scene investigating, assisting, and/or contacted regarding the incident;

c. The date and time the incident occurred, as reported or known, or estimated date and time range if the exact time is unknown;

d. The most accurate Radio Code should be used to reflect the details contained within the narrative and listed offenses. If multiple offenses are alleged, the highest-level offense can be used to determine the appropriate Radio Code; and

e. The 911 Tape request function shall be selected when a complaint call needs to be retained for evidentiary purposes.

3. Synopsis Section: Brief description of the incident being documented, to include the date, time, and location.

4. Persons Section: The Persons box(es) with information on all persons involved in the incident.

a. Make sure to include a complete description for each person. The description may include, but not be limited to the following:

(1) Correct spelling of full names and list any known aliases;

(2) Age;

(3) Date of birth: (use standard month/day/year format);

(4) Social Security Number;

(5) Booking number, if applicable;

(6) Identifying marks;

(7) Physical home address, including apartment number, work address, city, state and zip code; and

(8) Telephone and /or cellular number.

b. Persons who are listed as offenders/arrestees, unknown, and/or truly unknown, and those listed as victims shall have their own set of values listed as follows:

(1) Suspect: Persons listed as offenders/arrestees shall be initially identified in the ID block of the Face Sheet as **S01.** Sequential suspects shall be identified in numerical order. For example, a report with three offenders shall be listed as **S01**, **S02**, **S03**.

(2) True Unknown Suspect: True unknown persons shall be initially identified in the ID block of the Face Sheet as **S00**. True unknown persons are subjects with **no** identifying information and/or descriptions available (no identifiers such as name, age, sex, race, ethnicity, weight, height, hair, or eye color, etc.). True Unknown persons differ from Unknown persons. Unknown persons are subjects with some identifying information and/or descriptions available.

(3) Victim: Persons listed as victims shall be initially identified in the ID block of the Face Sheet as **V001**. Sequential victims shall be identified in numerical order. For example, a report with three victims shall be listed as "**V001**", "**V002**", "**V003**."

5. Offenses Section: If the incident involves multiple offenses, all offenses shall normally be listed in order from the highest offense class to the lowest offense class. Offenses should be linked to both the victim(s) and suspects(s), as applicable.

6. Vehicles Section: List associated vehicle code and type of involvement. Vehicles should be linked to persons and/or offenses, as applicable. If a vehicle is stolen and/or recovered, the vehicle shall be entered in the vehicle and property section, as specified in this Policy.

7. Property Section: List associated property code type. Property should be linked to persons associated with the property, as applicable. Stolen and/or recovered vehicles shall be entered consistent with entries in the vehicle section. The estimated value of the vehicle shall be included as provided by the victim or through any valuation documentation showing the value or estimated value of the vehicle, such as Kelly Blue Book which can be accessed online at KBB.com.

B. Narrative: The information included in the Narrative shall tell the facts of the incident. The narrative text shall be completed within the narrative of the form to make the text searchable within TraCS. The following questions shall be answered in all IRs in order to give the most complete and accurate report possible:

1. What: Describe what occurred. If this event occurred based on a SILO Unit tip, the following should be considered:

   a. When an IR is initiated following a tip received through the SILO Unit, and in an effort to protect the identity of the person submitting the tip, only the SILO tip control number, the alleged criminal activity referenced in the tip, and the relevant subsequent action taken should normally be referenced within the report.

   b. If the name and contact information of the person submitting the tip is included in a tip received through the SILO Unit, that information should not normally be included in the IR unless contact is made with the person submitting the tip and it is determined they are willing to assist without anonymity. Only then should the name and contact information of the person submitting the tip be referenced.

2. When: List the date and time the incident occurred and the date and time the incident was reported. Use standard month/day/year format and list the time in military time.

3. Where: List the location of the incident to include the physical address. Be as accurate as possible. If unable to obtain an address, record the nearest intersection or permanent landmark.

4. Who: List all persons involved, as listed in the Persons Section of the IR Face Sheet. **There should not be any person listed in the narrative section which is not listed in the IR Face Sheet.** The reporting author should limit the number of times that a person's identifying or locating information is listed in the IR to make redaction easier to accomplish. Identifying information includes, but is not limited to, date of birth, social security number, and/or driver's license number. Locating information, includes, but is not limited to, physical home address, telephone number, e-mail address, and/or place of employment.

   a. Except for a person's name, **other than a victim's name**, identifying information of a person listed in the Face Sheet should not be repeated in the narrative section.

   b. Except for the general location of an offense, **victim names** and identifying or locating information should not be repeated in the narrative section. Additional references to the victims in the narrative section shall be made as, "Victim," "Victim 1," "Victim 2," and so forth.

c. Any identifying information included in a person's false statement may be included in the narrative section for evidentiary purposes.

5. How: List the method used to commit the offense, the circumstances surrounding the act, any weapons/tools used, the method of operation, as well as any other pertinent details surrounding the act. Within the IR narrative detail investigative efforts and facts which establish probable cause for arrest and support requested charges; in addition, summarize and include facts which establish probable cause for arrest and requested charges in the MCAO Release Questionnaire [Form 4] Probable Cause Statement.

6. Why: List the reason the incident occurred, if known. There may be times when this cannot be answered.

7. Digital Recording Device: List actions taken which were recorded during the incident using a digital recording device, to include, but not limited to, audio recording devices and video surveillance.

8. Body-Worn Cameras: If a BWC was not used, deactivated, or interruptions in the recording occurred, the reason for non-use, deactivation, or interruption shall be documented in the IR, as specified in Office Policy GJ-35, *Body-Worn Cameras*.

9. Supervisor Approval: List and document incidents, such as identification investigations, which require supervisor notification and approval. If the documentation is completed by a supervisor, the supervisor shall notify and seek approval from the next level supervisor in their chain of command. Include in the narrative the time the supervisor gave their approval. Incidents that require supervisor notification and approval, include, but are not limited to the following:

    a. Any immigration-related investigation;

    b. Any immigration-related crime; and

    c. Any crime related to identity fraud or the lack of identity documents.

10. In addition to answering the above questions, the reporting author shall consider the following criteria when writing the narrative:

    a. Accuracy: State only facts, not personal opinions of the author. Be objective and impartial. Do not use conclusory language;

    b. Clear and Concise: Write a condensed statement of the incident and investigation, which includes all required information, as specified in this Policy;

    c. Complete and Chronological: Make sure to include all elements of the incident. The Narrative may begin with the onset or initiation of the incident and tell the "facts" through to its investigative conclusion; and

    d. Conclusion: Write a summation or conclusion statement at the end of the original IR narrative detailing the current disposition, such as the status of the investigation and/or remaining tasks that need to be completed. Following the completion of an investigation by Investigations Bureau personnel, a separate case summary shall be completed by the case agent or designee, as applicable.

C. History Section: The IR history section shall include verification of the IR submission and review as follows:

1. The signature or electronic signature of the employee or reserve deputy who completed the IR;

2. The name reviewed by; and serial number of the supervisor reviewing the report and the date or electronic date of the review; and

3. The name approved by; and serial number of the supervisor approving the report and the date or electronic date of the review.

4. **IR Supplement:** An IR Supplement shall be completed by any employee, including a DSA, volunteer reserve deputy and/or posse member when their involvement can provide relative detail information regarding their response and/or investigation of the incident.

A. The supplement portion of the report shall be written using the same general criteria set forth for the Narrative and shall include a full description of their involvement related to the incident and actions taken. All sections of the IR Supplement Face Sheet shall be completed, if known.

B. IR Supplements shall not be opened or created separately from an original IR number generated by the CAD system.

1. IR Supplements should be written by first selecting the original IR and then selecting the add form function in TraCS or created with the original assigned IR number generated by the CAD system.

2. It is the responsibility of the author to corroborate all information listed in the IR supplement to ensure all aspects of the response and/or investigation are documented, as specified in this Policy.

5. **Submission of an IR:**

A. Sworn:

1. Deputies, reserve deputies, and deputy services aides shall complete and submit all original IRs prior to the end of the shift, absent extraordinary circumstances, as approved by a supervisor. IRs not submitted by the end of the shift due to an extraordinary circumstance, **shall be completed and submitted by the next calendar day.** Examples of extraordinary circumstances include, but are not limited to the following:

a. A deputy, reserve deputy, or deputy services aide who is assigned an IR and has been on duty for an extended shift, must return to work the following shift, and excessive fatigue is a safety concern;

b. A deputy or reserve deputy who is assigned an IR and is involved in a serious incident that requires immediate attention;

c. Deputies and reserve deputies assigned to a DUI task force who cite and release for a DUI; and

2. Deputies or reserve deputies, who are assigned an IR during off-duty employment or during an off-duty incident, shall submit the report to any on-duty supervisor or watch commander

prior to the end of their shift. The on-duty supervisor or watch commander shall accept and review these reports as required by Office Policy.

3. Supervisors shall review an IR within 72 hours of an arrest or detention of a person, absent exceptional circumstances. If the incident did not include an arrest or detention, the supervisor shall review the IR within seven calendar days, absent exceptional circumstances.

4. After supervisor review, the supervisor shall approve the IR in TraCS within ten calendar days. Upon approval, the IR will be routed electronically through TraCS to the Departmental Reports (DR) Section of the Records and Automated Fingerprint Identification System (AFIS) Division.

   a. If the author inadvertently checks the "*Hand-Written*" check box, hard copies shall be printed, signed and forwarded through interoffice mail to the DR Section.

   b. If the IR was issued prior to the 2021 calendar year, hard copies shall be printed, signed and forwarded through interoffice mail to the DR Section.

B. Detention:

1. Detention officers shall complete and submit all original IRs that require or involve the immediate response of the Jail Crimes Unit to the scene, prior to the end of shift. All others shall be submitted within 72 hours of occurrence.

2. Detention supervisors shall review IRs that require the immediate response of the Jail Crimes Unit to the scene within 72 hours and then forward the IR through the TraCS system to the Jail Crimes Unit. All others shall be reviewed within seven calendar days from the issued date, absent exceptional circumstances.

3. After supervisor review, the supervisor shall approve the IR in TraCS within ten calendar days. Upon approval, the IR will be routed electronically through TraCS to the DR Section.

   a. If the author inadvertently checks the "*Hand-Written*" check box, hard copies shall be printed, signed and forwarded through interoffice mail to the DR Section.

   b. If the IR was issued prior to the 2021 calendar year, hard copies shall be printed, signed and forwarded through interoffice mail to the DR Section.

C. In the event that TraCS is down, employees shall complete IRs in hard copy format. Once TraCS comes back online, employees shall enter the information into the TraCS system, as specified in this Policy.

6. **IR Taken in Error:**

A. If an IR was issued in error, the employee who obtained the IR shall notify Communications Division personnel and advise them of the error.

B. Upon receiving notification, Communications Division personnel shall provide an event comment in CAD stating that an IR was taken in error and change the original disposition to a 2X.

C. The employee who obtained the IR shall document a descriptive explanation why the IR was taken in error in the Synopsis section of the IR Face Sheet.

7. **Supervisory Review:** Supervisors shall review all IRs prior to submission to the DR Section of the Records and AFIS Division. Supervisors shall review and approve IRs electronically in the TraCS system, which electronically records the date and time of the review and approval.

A. Supervisors shall review reports and forms for accuracy, brevity, completeness, conclusory or boilerplate language, inconsistent information, lack of articulation of the legal basis for the action, or other indicia that the information in the reports or forms is not authentic or correct. Noticeable grammar and punctuation errors shall be corrected prior to submission to the DR Section. Supervisors shall address any concerns with the reporting author through non-disciplinary or disciplinary action as appropriate.

B. When a supervisor completes their review, they shall electronically mark the report in TraCS, as approved. When a supervisor completes their review, if submission through the TraCS system is not possible, they shall sign and date the hard copy of the report, before sending it to an office assistant, who will enter the information in TraCS. A supervisor's signature indicates their agreement that the report contains the requirements set forth by this Policy and all the necessary elements of the legal basis for the action or all the elements of a reported crime, if applicable.

C. Reports not meeting the above listed requirements shall be electronically "rejected" in TraCS back to the reporting employee for possible correction or further information in addition to documenting the issue(s), as specified in this Policy.

1. If the IR requires correction, the supervisor shall reject the report in TraCS to the authoring employee.

2. If an error has been identified in an IR after it has been placed into "Accepted" status, the supervisor shall contact the DR Section to have the report rejected back to the authoring employee along with a brief reason for the rejection, in order to correct the error.

a. Once the IR form(s) enter the "Filed" status, no further corrections can occur.

b. An IR Supplement shall be completed to document the correction(s).

8. **Incident Report Memorialization:** Sworn supervisors shall review reports and forms for report writing deficiencies of an employee relative to any investigatory detention, Terry Frisk, search unsupported by reasonable suspicion; arrest unsupported by probable cause, or are otherwise in violation of Office Policy. When a sworn supervisor's review indicates a deficiency(s) meeting the requirement for a *IR Memorialization*, the supervisor shall complete an entry Blue Team, as specified in this Policy. Related supporting documents to an IR, to include a VSCF or NTCF, are also considered for this review.

A. Minor incorrect or inaccurate information such as spelling, grammar, or detail errors that would not otherwise hinder the basis for the action generated in a report or form, do not normally require an *IR Memorialization*; instead, these minor report writing deficiencies shall be addressed through corrective action with the supervisor and may be documented in a Blue Team Supervisor Note, as necessary.

B. Deficiency Identification: An *IR Memorialization* entry for corrective action is required if the supervisor review reveals an employee's report writing deficiency(s), any investigatory detention, Terry Frisk, search unsupported by reasonable suspicion, arrest unsupported by probable cause, or otherwise in violation of Office Policy. Deficient report writing findings requiring corrective action are specific to:

1. Conclusory or boilerplate language, inconsistent information, indicia that information on the report is not authentic or correct, lacks articulation of legal basis for action, Miranda violation, missing elements of the crime, no probable cause for arrest, no probable cause for charge, no reasonable suspicion, unlawful/improper detention, unlawful/improper investigatory stop, unlawful/improper search, unlawful/improper seizure of property, bias-based profiling; and/or

2. When there is indication a further review of Office Policy, strategy, tactics, or training is necessary.

C. Blue Team Entry: When initiating the *IR Memorialization* entry, the supervisor shall select the Incident Type - *IR Memorialization* in Blue Team and select the proper allegation(s) beginning in the prefix IRM. The *IR Memorialization* incident summary section shall be completed to include the deficiency detail information along with the applicable corrective action to address the deficiency. The supervisor shall send the entry for chain of command review. If the supervisor recommends a need for review of Office Policy, strategy, tactics, or training, the supervisor shall include the review recommendation, along with the deficiency/action information in the entry incident summary, for chain of command review.

1. *IR Memorialization* allegations are indicated in Office Policy GH-5, *Early Identification System*, Attachment A.

2. The *IR Memorialization* entry shall be sent to the Early Intervention Unit (EIU) through the chain of command using the Blue Team application, as specified in Office Policy GH-5, *Early Identification System*.

3. In addition to documenting in the *IR Memorialization* entry, any corrective action taken regarding the employee's performance shall be documented within a Blue Team Supervisor Note, as specified in Office Policy GH-5, *Early Identification System*.

D. Supervisory Action Requirements: If the supervisor review determines there are multiple writing deficiencies made by a single employee, then one *IR Memorialization* entry in Blue Team shall be completed to capture **all** deficiencies. If the supervisor review determines multiple employees have made an error(s) meeting the requirement for an *IR Memorialization*, then separate *IR Memorialization* entries shall be completed for each employee.

1. The supervisor shall complete the *IR Memorialization* entry within 14 business days for chain of command review.

2. The next chain of command review shall be completed within 14 days of receiving the IRM reporting the event. The commander shall evaluate the corrective action and recommendations indicated in the supervisor's response and ensure that all appropriate corrective action was taken. The commander's review should normally be documented in the routing comments of the *IR Memorialization* entry in Blue Team.

3. If determined by the chain of command that there were supervisor review failures, a notation shall be indicated in the *IR Memorialization* entry being reviewed, and a new *IR Memorialization* shall be initiated and completed by the chain of command supervisor, following the *IR Memorialization* procedures, as specified in this Policy.

a. In these instances, the new *IR Memorialization* entry generated by the chain of command may utilize the *IR Memorialization* Blue Team allegation "IRM – Other" to indicate and subsequently document the supervisory failure to properly review a report that contained a deficiency(s).

b. The entry incident summary section shall be completed to include the deficiency detail information along with the applicable corrective action.

E. Documentation Considerations: When completing an *IR Memorialization* entry, the supervisor and chain of command shall include in the incident summary section the deficiency detail information along with the applicable corrective action to address the deficiencies, which may include: notification to prosecuting authorities; non-disciplinary corrective action; and/or referring the incident to the PSB for administrative or criminal investigation; or that a need for review of Office Policy, strategy, tactics, training is necessary. *IR Memorialization* action requirements include, but are not limited to:

1. Considerations for supervisors when determining the course of corrective action and process completion responsibilities:

a. *Was the issue correctly identified and documented?*

b. *Was corrective action adequately addressed for all employees where a violation or deficiency was identified?*

c. *Was the corrective action appropriate based on the circumstances, and the review of the employee disciplinary and EIS data history?*

d. *Are Blue Team entry and review timeline processes being met as required?*

2. Supervisors shall track through Blue Team, each employee's deficiencies and the corrective action taken in order to identify those who have had repeated corrective action. Supervisors shall:

a. Notify the Professional Standards Bureau;

b. Ensure that each violation and corrective actions for deficiencies in investigative detentions, Terry Frisks, searches unsupported by reasonable suspicion, or arrests are documented in the employee's performance evaluation. The quality and completeness of the supervisory review shall be taken into account in the supervisor's own performance evaluation; and

c. Take appropriate corrective action against supervisors who fail to conduct complete, thorough, and accurate reviews of employee' investigatory detentions, stops, and arrests.

F. Cases Declined for Prosecution *IR Memorialization* Action: The EIU shall send the declined case notification to the case agent/deputy listed on the notification, through Blue Team, with a carbon copy sent to the current supervisor of the case agent/deputy who is listed on the notification. Sworn supervisors shall review declined case notifications and associated attachments to determine the reason for the prosecutorial decision/notification.

1. If the supervisor's review of a declined case identifies a report writing deficiency(s) requiring an *IR Memorialization,* an entry shall be generated in Blue Team.

2. All requirements regarding the *IR Memorialization* processes shall then be followed, as specified in Office Policy GB-2, *Command Responsibility* and this Policy.

3. If the supervisor review of a declined case determines there are multiple writing deficiencies made by the employee, then one *IR Memorialization* entry in Blue Team needs to be made to capture all deficiencies.

4. If the supervisor review determines multiple employees have made an error(s) meeting the requirement for an *IR Memorialization*, then separate *IR Memorialization* entries shall be completed for each employee.

5. In the event the supervisor's review determines the declined case was **<u>not</u>** the result of a report writing deficiency requiring an *IR Memorialization*, the supervisor shall forward their review through the chain of command for review and approval.

6. Further guidelines and procedures for the review of cases declined for prosecution or dismissed by a prosecutorial agency are specified in Policy ED-3, *Review of Cases Declined for Prosecution*.

9. **IR Distribution:** Employees who distribute IRs shall pay particular attention to the row of blocks located on the upper portion of the IR form which indicates the case status of the report, which is only to be updated by a detective sergeant. This case status determines which Office divisions shall receive a copy of the report.

A. District, division, or section administrative personnel will normally be responsible for photocopying reports and the correct routing of reports.

B. Reviewing supervisors may also determine whether a report shall be forwarded to a particular area having an interest in, or an investigative responsibility for, the case.

C. The release of reports or records to individuals or agencies, whether they are active participants within the Criminal Justice System or otherwise, is governed by strict federal guidelines set forth in the Code of Federal Regulations (CFR) under Title 28, Chapter 1, Part 20. Office Policy GF-3, *Criminal History Record Information and Public Records* outlines the provisions under which records and reports can be released.

D. Release of records or reports to the media will be authorized only through the Public Information Office (PIO) and shall follow Office Policy regarding the release of Criminal History Record Information (CHRI) and case report information.

10. **IR Tracking:** In order to improve control of the report flow process within the Office, thereby improving report access, statistical recording, and trend tracking, the tracking of IRs may be divided into two distinct areas: Investigative Status and IR Maintenance.

A. Investigative Status: An IR is in an investigative status after the report has been reviewed by a detective unit supervisor for prioritization and solvability and assigned a case status. Once the IR is opened in TraCS and accepted, the authorized detective sergeant or sworn lieutenant will assign the case to the appropriate case agent for follow-up and processing, as specified in Office Policy GJ-6, *Criminal Investigations Administration and Organization*.

B. IR Maintenance: All IRs and Supplements shall be maintained in the following manner:

1. All original IRs and Supplements shall be forwarded to the DR Section within ten calendar days of completion, as specified in this Policy.

a. All criminal IRs shall be sent to the DR Section upon completion for scanning into the OnBase system.

b. Crash reports and some citation reports, including, but not limited to, driving on a Suspended License and Mandatory Insurance Citation, assigned an IR number shall be written utilizing the TraCS system and distributed to the DR Section through the TraCS system.

2. The DR Section will ensure that written reports are received for all issued IR numbers. On a monthly basis, the DR Section will distribute a list of missing IRs to all appropriate commanders.

3. Copies of IRs, Crash reports, and booking documentation shall be kept within an operational component for a minimum of six months. Law enforcement copies of citations shall be retained in the individual unit or district file for a period of at least one year. Each division commander may establish a longer retention period, if they deem it necessary, but not to exceed that, which is allowed by the Arizona State Library and Archives Records Retention and Disposition Schedule, found at http://www.azlibrary.gov/arm/retention-schedules. IR information necessary for aggregate data analysis will be uploaded to the EIS and maintained indefinitely.

4. All originals and copies of case files will be maintained in a secure manner, with access limited to authorized persons, such as, but not limited to, the investigative unit responsible for the case; the case agent; the authoring deputy, DSA, detention officer, or reserve deputy; Records and AFIS personnel; and the Administrative Services Division.

5. Once IRs are received at the DR Section, they will be scanned into OnBase and stored until the appropriate retention period has been met, as defined by the Arizona State Library, Archives and Public Records retention schedule. Once this period has been met the IRs shall be purged and a purged notification document kept in its place. Investigators may retain their case files, in a secure manner, for as long as necessary.

6. The EIU shall be responsible for maintaining all records associated with the EIS. This includes data storage, data retrieval, reporting, data analysis, pattern identifications, identifying employee intervention, supervisor use of system, Office procedure evaluations, documentation, auditing, and general training on the EIS.