

MARICOPA COUNTY SHERIFF'S OFFICE
Supervisor Note (Civilian) Inspection



Audits and Inspections Unit
Bureau of Internal Oversight
Inspection Report
March 20, 2017
Inspection BI2017-0025

MARICOPA COUNTY SHERIFF'S OFFICE

Memorandum



To: Lt. R. Morris S1014
Audits and Inspections Unit Commander
Bureau of Internal Oversight

From: Sgt. M. Rodriguez A9047
Audits and Inspections Unit
Bureau of Internal Oversight

Subject: Summary of Findings Report
Civilian Employees, February 2017
Supervisor Note Inspection BI2017-0025

Date: 03/20/17

The Audits and Inspections Unit (AIU), of the Bureau of Internal Oversight (BIO), will conduct Blue Team Supervisor Note entry inspections on an ongoing basis. The purpose for the inspection is compliance with Office Policies and promote proper supervision. To achieve this, inspectors will select for review the Supervisor Note entries for 35 randomly selected Civilian Employees for the month being inspected. To ensure consistent inspections, the *Supervisor Note Inspection Matrix* developed by the AIU will be utilized.

Matrix Procedures:

Utilize the *Supervisor Note Inspection Matrix* to ensure that each randomly selected employee received one Supervisor Note entry during the period being inspected and that the Supervisor Note was of sufficient quality to document the employee's work performance (reflects the employee's positive traits; accomplishments; any observed shortcomings; and can be used to facilitate the preparation of an accurate and detailed performance review) and that the selected employees' EIS information was reviewed.

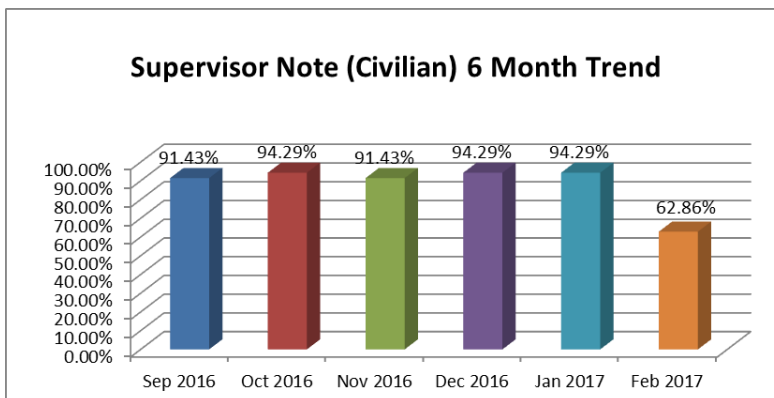
Criteria:

MCSO Policy GB-2, *Command Responsibility*

Conditions:

The inspection found that 22 of the 35 employees, or **62.86%**, had the required monthly Supervisor Note entries in compliance with MCSO Policy GB-2.

A historical comparison of the last six months of Blue Team data indicates that the Supervisory Note compliance rate for Civilian Employees has been in the 90 percentile, or higher, in five of the last six months. This month's downtrend can be directly attributed to the new requirement that supervisors of non-sworn employees, document the review the employee's EIS Information.



The following potential deficiencies in the employee's Supervisor Note entries were identified:

Employee Notes Inspected	Employee's Supervisor	Division	Division Commander	Potential Deficiency Noted
Civilian Employee	Sergeant	5001-OPERATIONS COMMAND	Exec Cmdr	Supervisor Note entry made in February did not document review of EIS Information
Civilian Employee	Fin Mgr	5012-BUDGET DEVELOPMENT & MGMT	Fin Admin	Supervisor Note entry made in February did not document review of EIS Information
Civilian Employee	Proc Supv Dpt	5019-PROCUREMENT	Fin Mgr	Supervisor Note entry made in February did not document review of EIS Information
Civilian Employee	APP Dev Spvr	5032-BUSINESS SYSTEMS DEVELOPMENT	APP Dev Mgr	Supervisor Note entries made in February do not document review of EIS Information
Civilian Employee	AFIS Supv	5072-RECORDS & ID DIV- WARRANTS	Shrf Recs Mgr	Supervisor Note entry made in February did not document review of EIS Information
Civilian Employee	AFIS Supv	5072-RECORDS & ID DIV- WARRANTS	Shrf Recs Mgr	Supervisor Note entry made in February did not document review of EIS Information
Civilian Employee	Shf RC CLK SP	5072-RECORDS & ID DIV- WARRANTS	Shrf Recs Mgr	Supervisor Note entry made in February did not document review of EIS Information
Civilian Employee	Emer Disp Spv	5082-COMMUNICATIONS DIVISION	Lieutenant	Supervisor Note entry made in February did not document review of EIS Information
Civilian Employee	Lieutenant	5105-EXTRADITION	Captain	Supervisor Note entry made in February did not document review of EIS Information
Civilian Employee	Fd Svc Sh Spv	5135-CENTRAL SVCS - FOOD SVCS	Fd Serv Mgr	Supervisor Note entry made in February did not document review of EIS Information
Civilian Employee	INM Cls Supv	5144-INMATE CLASSIFICATION	INM Cls Mgr	Supervisor Note entry made in February did not document review of EIS Information
Civilian Employee	INM Cls Supv	5144-INMATE CLASSIFICATION	INM Cls Mgr	Supervisor Note entry made in February did not document review of EIS Information
Civilian Employee	INM Cls Supv	5144-INMATE CLASSIFICATION	INM Cls Mgr	Supervisor Note entry made in February did not document review of EIS Information

PLEASE NOTE: The Supervisory Note Inspections represents a monthly snapshot in time and any deficiencies noted are the responsibility of the Supervisor and the Chain of Command at the time the entry was made. Any inaccuracies in command structure due to transfers or other changes are outside the control of the Audits and Inspections Unit.

Recommendations:

It is recommended that Management continue to provide on-site mentorship to supervisors in the importance of ensuring that Supervisory Note entries are used to document a specific employee's performance and should be of sufficient quality as to give a true assessment of the employee's performance during a particular period as required by MCSO Policy GB-2, *Command Responsibility*, Paragraph 7.B and its subparagraphs. To accomplish this goal, the Supervisory Note entries need to specifically document the following requirements:

- The Employee's work performance during the last 30 day period.
- Once per month, supervisors review of non-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 employee in the EIS Blue Team Supervisor Notes application. The record shall reflect the employee's positive traits and accomplishments and any observed shortcomings.
- 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, one entry shall be completed every month.*

Action Required:

With the resulting **62.86%** compliance for *Inspection BI207-0025*, a total of **13** BIO Action Forms are requested from the affected divisions addressing the identified deficiencies. Please email the completed BIO Action Forms to BIO@mcs.maricopa.gov within 30 days from the date this report is published.

Notes:

All supporting documentation (working papers) is included in the inspection file number *BI2017-0025* and contained in IA Pro.

MARICOPA COUNTY SHERIFF'S OFFICE
Audits and Inspections Unit
Bureau of Internal Oversight
BI2017-0025

Inspection focus: Supervisor Note (Civilian)

Date Inspection Started: March 1, 2017

Date Completed: March 20, 2017

Timeframe Inspected: February 2017

Assigned Inspectors: Sgt. M. Rodriguez A9047

I have reviewed this inspection report.



Lieutenant Rick Morris
Audits and Inspections Unit Commander
Bureau of Internal Oversight

03/20/17
Date

 #1011

Deputy Chief Bill Knight
Bureau Commander
Bureau of Internal Oversight

03/20/17
Date
