

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



March 2018 Supervisor Note Entry (Civilian) Inspection

Inspection Report# BI2018-0033

The Audits and Inspections Unit (AIU) of the Bureau of Internal Oversight (BIO) will conduct Blue Team Supervisor Note entry inspections on a monthly basis. The purpose of this inspection is to ensure compliance with Office Policies and to 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 March 2018 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.

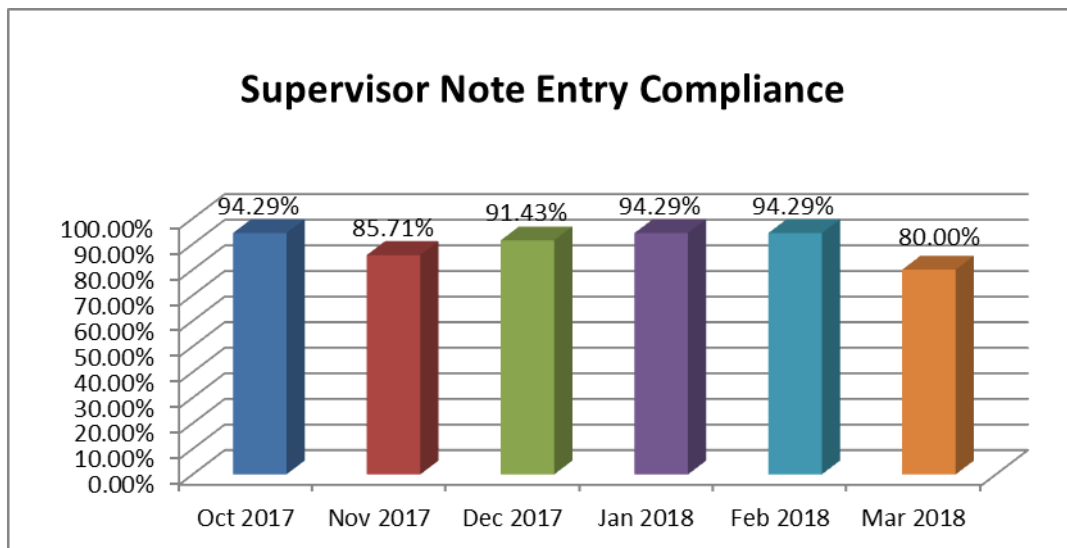
Criteria:

MCSO Policy GB-2, *Command Responsibility*

Conditions:

The inspection found that 28 of the 35 employees, or **80.00%**, had the required monthly Supervisor Note entries in compliance with MCSO Policy GB-2, *Command Responsibility*.

Below is the six month historical comparison of compliance rates for civilian personnel Supervisory Note entries.



The following deficiencies in the employees’ Supervisor Note entries were identified:

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 AIU.*

Employee Notes Inspected	Employee's Supervisor	Division	Division Commander	Deficiency Noted
Civilian Employee	Supervisor	5028-PRE-EMPLOYMENT SERVICES	Lieutenant	No Supervisory Note Entry made in March
Civilian Employee	Supervisor	5028-PRE-EMPLOYMENT SERVICES	Lieutenant	No Supervisory Note Entry made in March
Civilian Employee	Supervisor	5072-RECORDS & ID DIV-WARRANTS	Manager	No Supervisory Note Entry made in March
Civilian Employee	Lead	5143-SHERIFF INFORMATION MGMT SYST (SIMS)	Captain	No Supervisory Note Entry made in March
Civilian Employee	Lead	5143-SHERIFF INFORMATION MGMT SYST (SIMS)	Captain	No Supervisory Note Entry made in March
Civilian Employee	Director	5001-OPERATIONS COMMAND	Chief	Supervisor Note Entry made in March did not document Employee Performance
Civilian Employee	Lead	5143-SHERIFF INFORMATION MGMT SYST (SIMS)	Captain	Supervisor Note Entry made in March did not document review of employee's EIS information

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 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, supervisor's 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 **80.00%** compliance for *Inspection BI2018-0033*, a total of **5** BIO Action Forms are requested from the affected divisions. **The forms shall be completed utilizing Blue Team.** It is permissible to complete one BIO Action Form for a supervisor covering multiple employee entries identified in this inspection.

Notes:

All supporting documentation (working papers) is included in the inspection file number *BI2018-0033* and contained within IA Pro.

Date Inspection Started: April 02, 2018
Date Completed: April 23, 2018
Timeframe Inspected: March 1-31, 2018
Assigned Inspector: Sgt. M. Rodriguez A9047

I have reviewed this inspection report.

Larry Kratzer S1520
Lieutenant Larry Kratzer S1520
Commander, Audits & Inspections Unit
Bureau of Internal Oversight

04/23/2018
Date