

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



October 2017 Supervisor Note Entry (Civilian) Inspection

Inspection Report# BI2017-0124

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 of the 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 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.

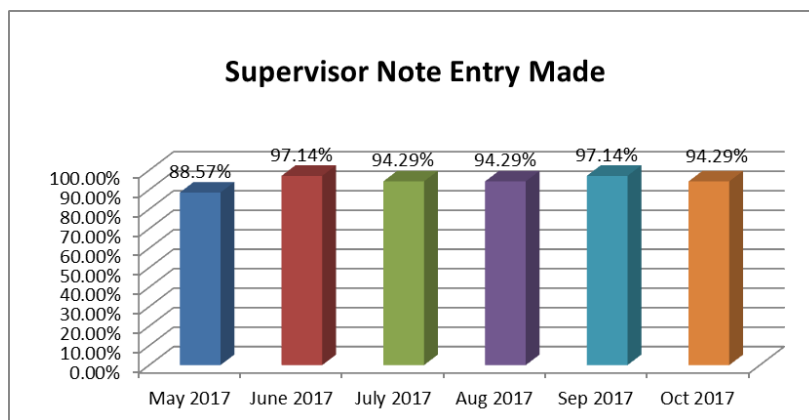
Criteria:

MCSO Policy GB-2, *Command Responsibility*

Conditions:

The inspection found that 33 of the 35 employees, or **94.29%**, 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 Notes entries.



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

Employee Notes Inspected	Employee's Supervisor	Division	Division Commander	Deficiency Noted
Civilian Employee	Sergeant	5032-BUSINESS SYSTEMS DEVELOPMENT	CIO	No Supervisor Note entry made in October
Civilian Employee	Sergeant	5063-MAJOR CRIMES DIVISION	Captain	Supervisor Note Entries made in October do not document employee performance

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.

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 94.29% compliance for *Inspection BI2017-0124*, a total of 2 BIO Action Form is requested from the affected division. **The form shall be completed utilizing Blue Team.**

Notes:

All supporting documentation (working papers) is included in the inspection file number *BI2017-0124* and contained within IA Pro.

Date Inspection Started: November 6, 2017
Date Completed: November 17, 2017
Timeframe Inspected: October 1-31, 2017
Assigned Inspector(s): Sgt. M. Rodriguez A9047

I have reviewed this inspection report.

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

11/20/17
Date

Captain G. Lugo #1480
Captain Greg Lugo S1480
Commander
Bureau of Internal Oversight

11/27/2017
Date