

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



November 2017 Supervisor Note Entry (Civilian) Inspection

Inspection Report# BI2017-0137

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 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:

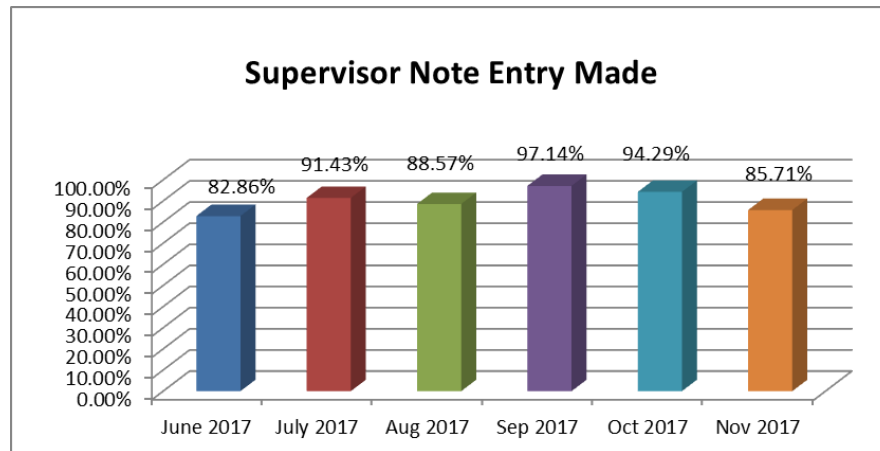
The inspection found that 30 of the 35 employees, or **85.71%**, had the required monthly Supervisor Note entries in compliance with MCSO Policy GB-2, *Command Responsibility*.

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

Employee Notes Inspected	Employee's Supervisor	Division	Division Commander	Deficiency Noted
Civilian Employee	Supervisor	5082-COMMUNICATIONS DIVISION	Manager	No Supervisor Note entry made in November
Civilian Employee	Manager	5030-TECHNOLOGY BUREAU	CIO	No Supervisor Note entry made in November
Civilian Employee	Sergeant	5056-PATROL DISTRICT VI QUEEN CREEK	Captain	No Supervisor Note entry made in November
Civilian Employee	Director	5001-OPERATIONS COMMAND	Director	Supervisor Note Entry made in November did not document review of employee's EIS information
Civilian Employee	Supervisor	5082-COMMUNICATIONS DIVISION	Manager	Supervisor Note Entry made in November did not document review of employee's 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 AIU.

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



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 **85.71%** compliance for *Inspection BI2017-0137*, a total of **5** 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 *BI2017-0137* and contained within IA Pro.

Date Inspection Started: December 1, 2017
Date Completed: December 11, 2017
Timeframe Inspected: November 1-30, 2017
Assigned Inspector(s): 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

12/13/17

Date

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

12/13/2017

Date