

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



Civilian Supervisor Note Inspection November 2019

Inspection Report# BI2019-0159

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.

Compliance Objectives:

Utilize the Supervisor Note Inspection Matrix, review each selected employee’s EIS information to ensure they received the following during November 2019:

- Ensure the supervisor completed one Supervisor Note entry
- Ensure the supervisor completed one performance-based entry
- Ensure the supervisor conducted a review employee’s EIS information

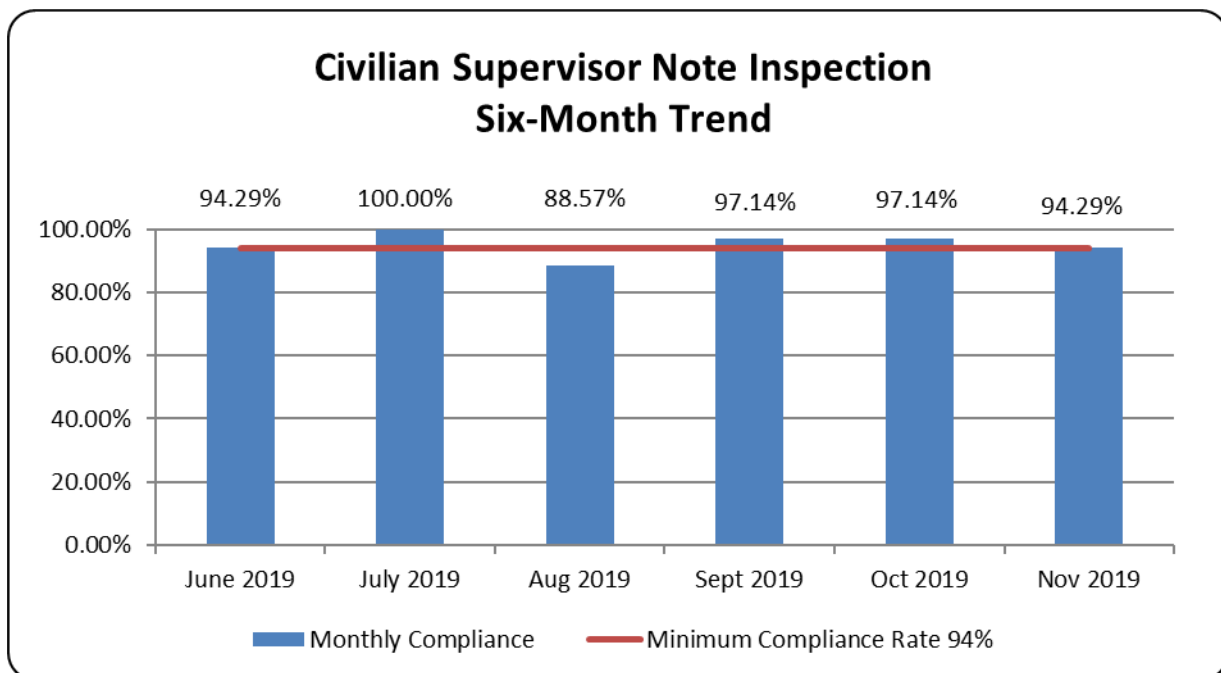
Criteria:

MCSO Policy GB-2, *Command Responsibility*

Conditions:

A review of the IAPro records revealed that, of the 35 employees’ records reviewed for Supervisor Note entries submitted during the month of November, 33 employees received entries which contained the required elements of this inspection and were in compliance with MCSO Policy GB-2, *Command Responsibility*.

MCSO achieved a compliance rate of 94.29% in the Civilian Supervisor Note inspection for November 2019, as illustrated in the graph below:



Results of the Review of Employee Supervisor Note entries:

| Inspection Element | Not In Compliance | In Compliance | Compliance Rate |
|---|-------------------|---------------|-----------------|
| Employee Received at least one Supervisor Note during the month | 2 | 33 | 94.29% |
| Supervisor Note entry is of sufficient quality to facilitate the preparation of an accurate and detailed performance review and reflects the employee's positive traits and accomplishments and any observed shortcomings | 2 | 33 | 94.29% |
| Once per month, supervisors review non-sworn subordinates' EIS information for the purpose of identifying and responding to any conduct patterns or concerns | 2 | 33 | 94.29% |
| Overall Compliance with inspection requirements | 6 | 99 | 94.29% |

The following deficiencies were identified during the inspection process.

Major Crimes Division (1 BIO Action Form)

| Division | Employee Notes Inspected | Current Supervisor | Current Commander |
|---|--------------------------|--------------------|-------------------|
| Major Crimes Division | Civilian | Sergeant | Captain |
| Deficiency | | | |
| -Minimum requirement for one Supervisor Note entry not met. Policy GB-2.7.B.1 -Employee Performance not documented. Policy GB-2.7.B.1 -Review of Employee's EIS information not documented. Policy GB-2.7.B.4 | | | |

Records ID Division Warrants(1 BIO Action Form)

| Division | Employee Notes Inspected | Current Supervisor | Current Commander |
|---|--------------------------|--------------------|-------------------|
| Records ID Division Warrants | Civilian | Chief | Executive Chief |
| Deficiency | | | |
| -Minimum requirement for one Supervisor Note entry not met. Policy GB-2.7.B.1 -Employee Performance not documented. Policy GB-2.7.B.1 -Review of Employee's EIS information not documented. Policy GB-2.7.B.4 | | | |

Unless noted above in the deficiency table, there were no prior BIO Action Forms similar in nature or supervisor notes addressing the deficiencies.

Action Required:

With the resulting **94.29%** compliance for *Inspection BI2019-0159*, a total of **2** BIO Action Forms are requested from the affected divisions. The form shall be completed utilizing Blue Team.

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, supervisors review 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.**

Notes:

All supporting documentation (working papers) is included in the inspection file number *BI2019-0159* and contained within IA Pro.

Date Inspection Started: December 02, 2019
 Date Completed: December 30, 2019
 Timeframe Inspected: November 01-30, 2019
 Assigned Inspector: Ronda Jamieson B3178

I have reviewed this inspection report.

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| <i>Lt. D. Reaulo S1678</i> | 1/2/2020 |
| Lt. Dominick Reaulo S1678 | Date |
| Commander, Audits & Inspections Unit | |
| Bureau of Internal Oversight | |