

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



Civilian Supervisor Note Inspection August 2019

Inspection Report# BI2019-0114

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 August 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

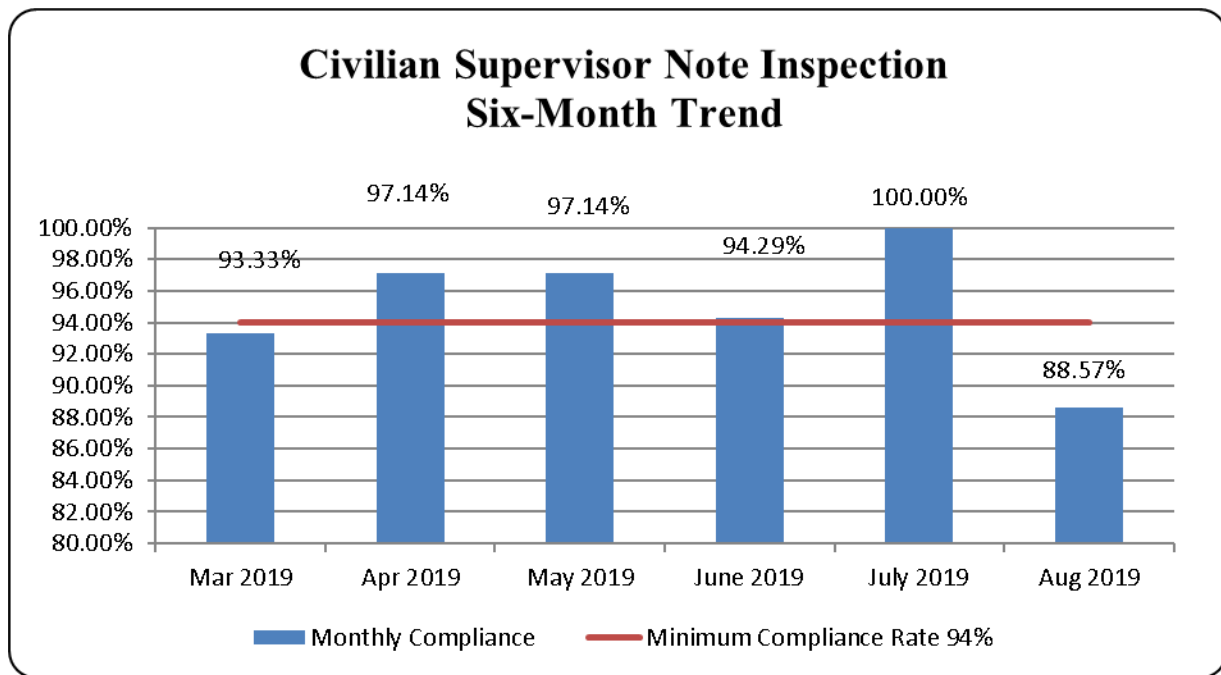
Criteria:

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 August, 31 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 88.57% in the Civilian Supervisor Note inspection for August 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	4	31	88.57%
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	4	31	88.57%
Once per month, supervisors review non-sworn subordinates’ EIS information for the purpose of identifying and responding to any conduct patterns or concerns	4	31	88.57%
Overall Compliance with inspection requirements	12	93	88.57%

The following perceived deficiencies were identified during the inspection process.

Human Resources Services Div. (1 BAF)

Division	Employee Notes Inspected	Current Supervisor	Current Commander
Human Resources Services Div.	Civilian Employee	Supervisor	Manager
Perceived Deficiency			
-Minimum requirement for one Supervisor Note entry not met. GB-2.7.B.1 -Employee Performance not documented. GB-2.7.B.1 -Review of Employee’s EIS information not documented. GB-2.7.B.4 Additional Observation: In the course of examining IAPro for the identified perceived deficiency, the inspector noticed that for 2019, only 3 Supervisor Notes have been written, for the months of January, April, and June. Please address this Additional Observation in the requested BIO Action Form.			
Division	Employee Notes Inspected	Current Supervisor	Current Commander
Human Resources Services Div.	Civilian Employee	Supervisor	Manager
Perceived Deficiency			
-Minimum requirement for one Supervisor Note entry not met. GB-2.7.B.1 -Employee Performance not documented. GB-2.7.B.1 -Review of Employee’s EIS information not documented. GB-2.7.B.4 Additional Observation: In the course of examining IAPro for the identified perceived deficiency, the inspector noticed that for 2019, only 3 Supervisor Notes have been written, for the months of January, April, and June. Please address this Additional Observation in the requested BIO Action Form.			

Technology Management Bureau (1 BAF)

Division	Employee Notes Inspected	Current Supervisor	Current Commander
Business Systems Development	Civilian Employee	Supervisor	Captain
Perceived Deficiency			
-Minimum requirement for one Supervisor Note entry not met. GB-2.7.B.1 -Employee Performance not documented. GB-2.7.B.1 -Review of Employee's EIS information not documented. GB-2.7.B.4			
Division	Employee Notes Inspected	Current Supervisor	Current Commander
IT Infrastructure and Security	Civilian Employee	Supervisor	Captain
Perceived Deficiency			
-Minimum requirement for one Supervisor Note entry not met. GB-2.7.B.1 -Employee Performance not documented. GB-2.7.B.1 -Review of Employee's EIS information not documented. GB-2.7.B.4			

Unless noted above in the deficiency table, there were not prior BIO Action Forms similar in nature or supervisor notes addressing the perceived deficiencies.

Action Required:

With the resulting **88.57%** compliance for *Inspection BI2019-0114*, a total of **2** BIO Action Forms are requested from the affected divisions. The forms 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 *BI2019-0114* and contained within IA Pro.

Date Inspection Started: September 03, 2019
Date Completed: October 01, 2019
Timeframe Inspected: August 1-31, 2019
Assigned Inspector: Ronda Jamieson B3178

I have reviewed this inspection report.

Lt. D. Reaulo S1678

10/7/2019

Lt. Dominick Reaulo S1678
Commander, Audits & Inspections Unit
Bureau of Internal Oversight

Date