

MARICOPA COUNTY SHERIFF'S OFFICE
Supervisor Note (Civilian) Inspection



Audits and Inspections Unit
Bureau of Internal Oversight
Inspection Report
January 4, 2017
Inspection BI2016-0150

MARICOPA COUNTY SHERIFF'S OFFICE

Memorandum



Paul Penzone, Sheriff

To: Lt. R. Morris S1014
Audits and Inspections Unit Commander
Bureau of Internal Oversight

From: Sgt. M. Rodriguez A9047
Audits and Inspections Unit
Bureau of Internal Oversight

Subject: Summary of Findings Report
Civilian Employees, December 2016
Supervisor Note Inspection BI2016-0150

Date: 01/4/17

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 for the inspection is compliance with Office Policies, promote proper supervision, and support compliance with the Melendres Order. 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).

Criteria:

MCSO Policy GB-2, *Command Responsibility*
Melendres Order (Paragraph 75.n)

Conditions:

The inspection found that 33 of the 35 employees, or **94.29%**, had the required monthly Supervisor Note entry in compliance with MCSO Policy GB-2 and in support of the Melendres Order.

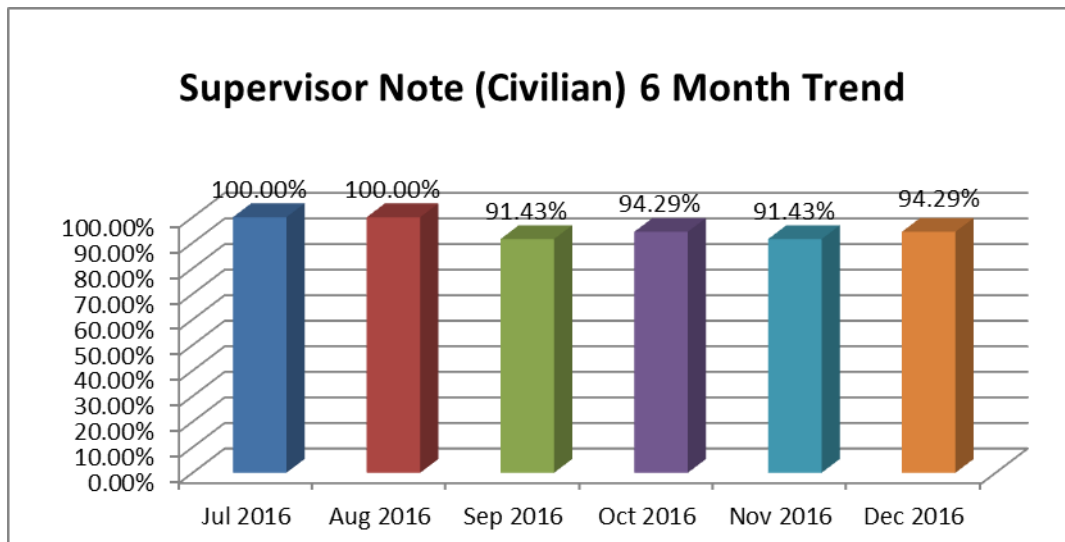
The following employee Performance Note entries were deficient:

Employee Notes Inspected	Employee's Supervisor	Division	Division Commander	Deficiency
Civilian Employee	Deputy Sgt	5042-DISTRICT II	Captain	No Supervisor Note entry was made in December
Civilian Employee	Sims Clrk LD	5143-SHERIFF INFORMATION MGMT SYST (SIMS)	Detn Lt.	No Supervisor Note entry was made in December

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 Audits and Inspections Unit.*

A historical comparison of the last six months of Blue Team data indicates that the Supervisory Note compliance rate for Civilian Employees has maintained in the 90 percentile, or higher, in five of the last six months.

Supervisor Note (Civilian) 6 Month Trend



Recommendations:

It is recommended that Management continue to provide on-site mentorship to supervisors in the importance of ensuring that 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 entry needs be used to specifically document the following requirement:

- The Employee's work performance during the last 30 day period
- 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 BI2016-0150*, a total of 2 BIO Action Forms are requested from the affected divisions addressing the identified deficiencies. Please email the completed BIO Action Forms to BIO@mcs.maricopa.gov within 30 days from the date this report is published.

Notes:

All supporting documentation (working papers) is included in the inspection file number *BI2016-0150* and contained in IA Pro.

MARICOPA COUNTY SHERIFF'S OFFICE
Audits and Inspections Unit
Bureau of Internal Oversight
BI2016-0150

Inspection focus: Supervisor Note (Civilian)

Date Inspection Started: January 3, 2017

Date Completed: January 4, 2017

Timeframe Inspected: December 2016

Assigned Inspectors: Sgt. M. Rodriguez A9047

I have reviewed this inspection report.



Lieutenant Rick Morris
Audits and Inspections Unit Commander
Bureau of Internal Oversight

01/04/17
Date



Deputy Chief Bill Knight
Bureau Commander
Bureau of Internal Oversight

01/04/17
Date
