

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



Civilian Supervisor Note Entry Inspection November 2018

Inspection Report# BI2018-0139

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.

Matrix Procedures:

Utilize the Supervisor Note Inspection Matrix to ensure that each randomly selected employee received one Supervisor Note entry during November 2018 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 employee's EIS information was reviewed.

Criteria:

MCSO Policy GB-2, *Command Responsibility*

MCSO Policy GH-4, *Bureau of Internal Oversight and Audits and Inspections*

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 in full compliance with MCSO Policy GB-2, *Command Responsibility*.

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 perceived deficiencies were identified during the inspection process and require that a *BIO Action Form* be completed.

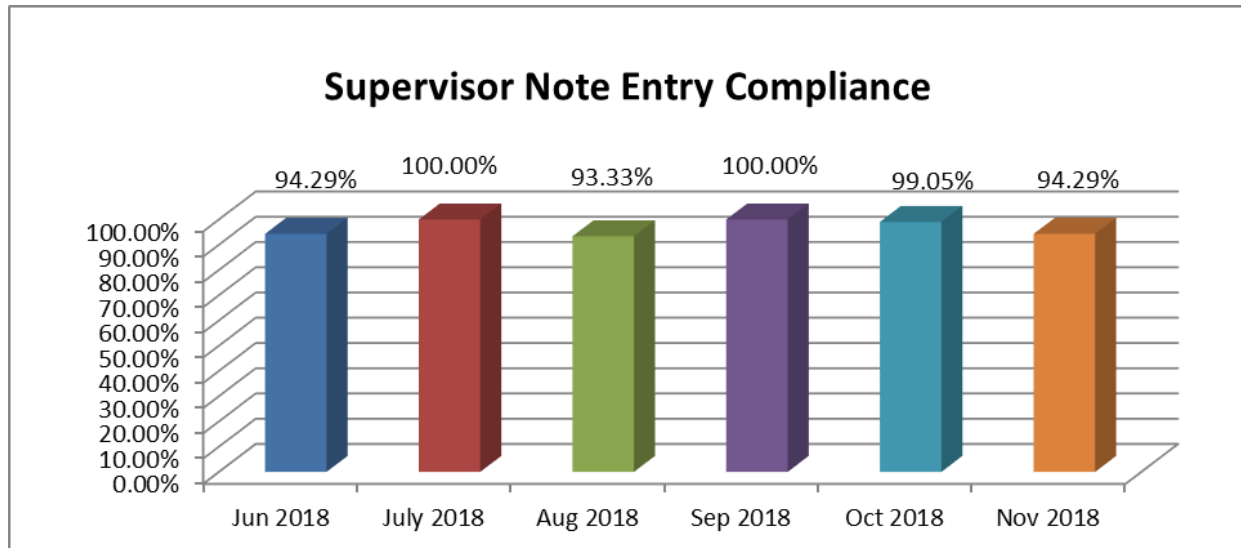
PLEASE NOTE: *The Supervisor Note Inspection represents a monthly snapshot in time and any deficiencies noted are the responsibility of the Supervisor and the Chain of Command at the time the entry was made. Any inaccuracies in command structure due to transfers or other changes are outside the control of the AIU.*

Employee Notes Inspected	Supervisor	Division	Division Commander	Perceived Deficiency
Civilian Employee	Supervisor	5072-RECORDS & ID DIV- WARRANTS	Manager	Supervisor Note entry documenting employee performance and review of employee's EIS information not entered in November
Civilian Employee	Sergeant	5140-INSTITUTIONAL SERVICES	Manager <i>See Additional Observations Below</i>	Supervisor Note entry documenting employee performance and review of employee's EIS information not entered in November

Additional Observations:

In the course of examining the IAPro database for the identified perceived deficiency listed above, the inspector noticed that in addition to not entering a Supervisor Note for this employee during November, the IAPro record did not contain a Supervisor Note entry for October. Furthermore, a cursory review of the Supervisor Notes entered for this employee revealed that several of the Supervisor Note entries made in 2018, lacked the necessary quality to comply with the requirements of MCSO Policy GB-2, *Command Responsibility*, sub-sections 7.B and 7.B.1. Please address these Additional Observations in the requested BIO Action Form.

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:

- o The Employee’s work performance during the last 30-day period.
- o Once per month, supervisors review non-sworn subordinates’ EIS information for the purpose of identifying and responding to any conduct patterns or concerns.

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- 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 BI2018-0139*, a total of 2 BIO Action Forms are requested from the affected divisions. **The forms shall be completed utilizing Blue Team.**

Notes:

All supporting documentation (working papers) is included in the inspection file number *BI2018-0139* and contained within IA Pro.

Date Inspection Started: December 3, 2018
Date Completed: December 21, 2018
Timeframe Inspected: November 1-30, 2018
Assigned Inspector: Sgt. M. Rodriguez A9047

I have reviewed this inspection report.

Connie J. Phillips

Connie J. Phillips B3345
Acting Commander, Audits & Inspections Unit
Bureau of Internal Oversight

12/21/2018

Date