

# MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



**1st Quarter of 2023 EIS Alert Inspection**

Inspection # BI2023-0045

The Bureau of Internal Oversight (BIO), Audits and Inspections Unit (AIU) will conduct inspections of the Early Identification System (EIS) Alerts on a quarterly basis. The purpose of the inspection is to ensure compliance with Office Policies and to promote proper supervision. To achieve this, the Court Monitor Team, through the Court Implementation Division, selected a sample of 45 EIS Alerts (or all if less than 45) closed/completed during the quarters being inspected. These selected alerts will be provided to the AIU. To ensure consistent inspections, the *EIS Alerts Inspection Matrix* developed by the AIU will be utilized to inspect the provided sample.

**Matrix Procedure:**

Utilize the *EIS Alerts Inspection Matrix* to ensure that the selected EIS Alerts are returned to the Early Intervention Unit (EIU) in the required timeframe.

**Criteria:**

MCSO Policy GB-2, *Command Responsibility*  
MCSO Policy GH-5, *Early Identification System (EIS)*

**Conditions:**

A random selection of no more than 15 closed EIS Alert cases selected by the Court Monitor Team, for the months of January, February and March was utilized. For the 1st quarter of 2023; there was a total of 30 EIS Alert cases randomly selected for inspection. 100% of the randomly selected EIS Alert cases were inspected. A review of the IAPro Early Identification case management system was conducted for each of the EIS Alerts in the provided sample.

The inspection results for 30 EIS Alerts completed/closed during the 1st quarter of 2023:

Inspection Element	Not In Compliance	In Compliance	Total Inspected	Compliance Rate
Alert addressed, closed, and returned to EIU within 30 calendar days as required by policy	3	27	30	90.00%
For Alerts not completed within 30 days, determine if an extension was requested by the assigned division and if the extension request was granted by EIU	0	3	3	100.00%
If an extension was granted, the Alert was completed and submitted within 30 days of new due date	0	3	3	100.00%
<b>Compliance for EIS Alerts completed/Closed during 1st Quarter of 2023</b>	<b>0</b>	<b>30</b>	<b>30</b>	<b>100.00%</b>

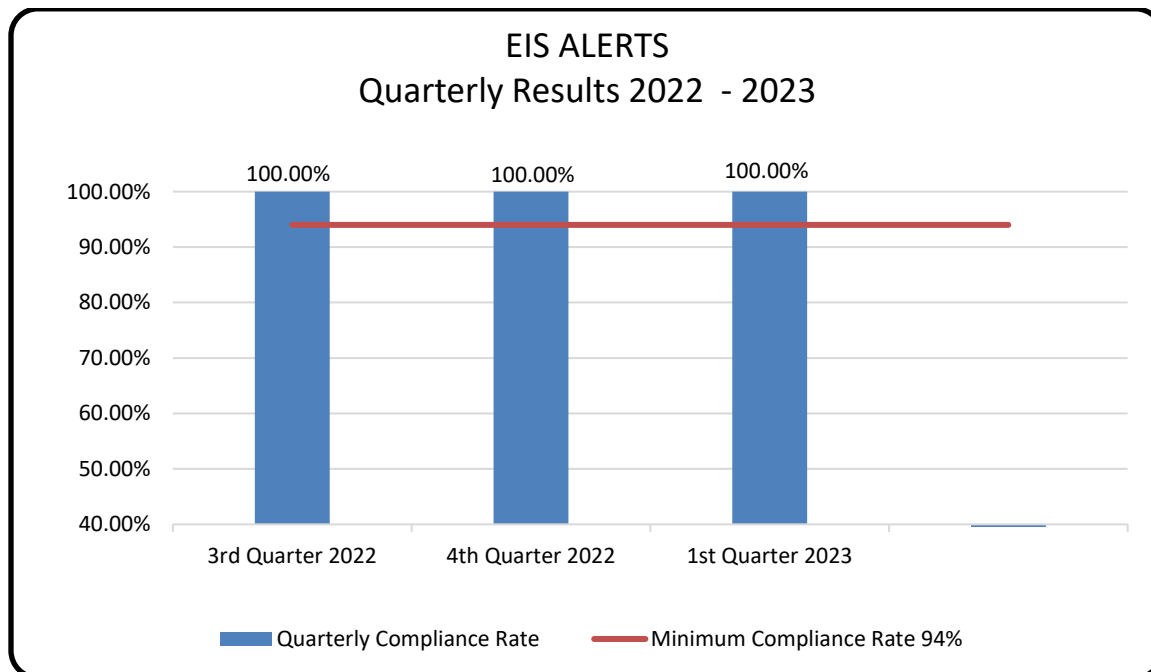
The following table describes approved actions taken by the supervisor and if an administrative investigation is indicated:

<b>EA Number</b>	<b>Alert Number</b>	<b>Interventions Initiated by Command</b>	<b>Administrative Investigation in Progress</b>
EA2022-0030	Alert2022-0029	Re-assignment	No
EA2022-0110	Alert2022-0115	Meeting with Supervisor	No
EA2022-0116	Alert2022-0121	Meeting with Supervisor	Yes
EA2022-0120	Alert2022-0125	Meeting with Supervisor	No
EA2022-0121	Alert2022-0126	No Further Action	No
EA2022-0128	Alert2022-0133	No Further Action	Yes
EA2022-0129	Alert2022-0136	Meeting with Supervisor	No
EA2022-0138	Alert2022-0145	Meeting with Supervisor	Yes
EA2022-0139	Alert2022-0146	No Further Action	No
EA2022-0141	Alert2022-0148	No Further Action	No
EA2022-0143	Alert2022-0150	Meeting with Supervisor	Yes
EA2022-0145	Alert2022-0152	No Further Action	Yes
EA2022-0147	Alert2022-0154	Employee Services	Yes
EA2022-0155	Alert2022-0163	Meeting with Supervisor	Yes
EA2022-0118	Alert2022-0123	Meeting with Supervisor	No
EA2022-0091	Alert2022-0096	Meeting with Supervisor	Yes
EA2022-0124	Alert2022-0129	Meeting with Supervisor	Yes
EA2022-0142	Alert2022-0149	Training	Yes
EA2022-0148	Alert2022-0155	No Further Action	Yes
EA2022-0157	Alert2022-0156	Meeting with Supervisor	Yes
EA2023-0015	Alert2023-0011	No Further Action	No
EA2023-0018	Alert2023-0013	Meeting with Supervisor	No
EA2023-0021	Alert2023-0016	No Further Action	Yes

EA2023-0030	Alert2023-0025	No Further Action	No
EA2023-0040	Alert2023-0034	No Further Action	Yes
EA2023-0041	Alert2023-0035	Meeting with Supervisor	Yes
EA2023-0043	Alert2023-0037	No Further Action	Yes
EA2023-0044	Alert2023-0038	No Further Action	Yes
EA2023-0046	Alert2023-0040	Referral to PSB	Yes
EA2023-0054	Alert2023-0048	Supervisory Evaluation Period 30, 60, or 90 day period	No

**Results:**

- 100.00% or 30 out of 30 EIS Alerts had no deficiencies (30 ÷ 30 = 100.00%).
- The overall result is no change in compliance from the 4th Quarter 2022 inspection.



\*The 1st Quarter of 2023 is the third quarter for the new quarterly EIS Alert Inspection, a twelve-month trend of compliance will be included as the data becomes available.

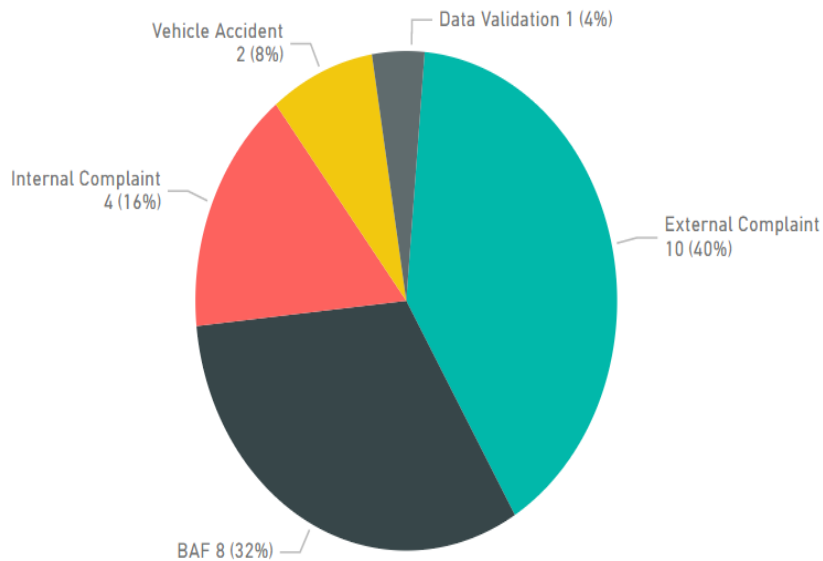
## 2<sup>nd</sup> Quarter 2022 Supervisory Interventions

EIS Alerts will be inspected to determine if supervisory interventions were successful in preventing reoccurring alerts of a similar nature. The inspection will compare IAPRO data for employees who received an EIS alert with an approved supervisory intervention completed during a quarter and review the following six months for the purpose of identifying reoccurring alerts for employees.

**Conditions:**

To determine if an intervention was successful, the inspector will inspect for employee(s) who had a recurring alert(s) for the same threshold in the six months following a supervisory intervention. For employees that re-alerted for the same issue, analysis of reoccurring includes review EIS Alert types, dispositions/interventions, supervisor follow up, changes/trends observed from previous quarterly inspections, and trends observed within units or divisions.

For the 2nd quarter of 2022, there were twenty-five (25) EIS Alerts with completed supervisory interventions. The following chart and table provide an overview of all of EIS Alerts broken down by alert type and interventions selected by supervisors:

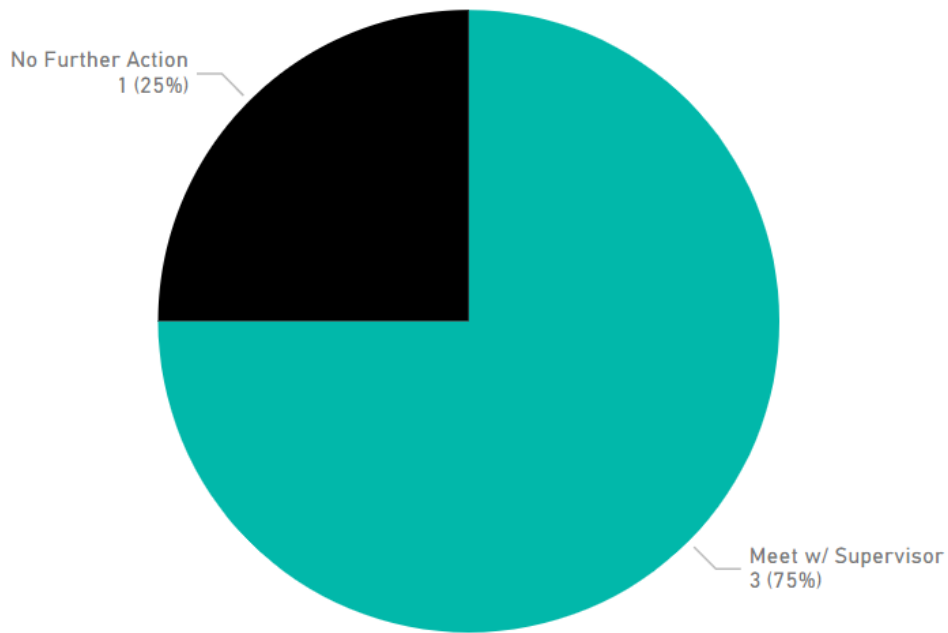


INTERVENTION TYPES BY ALERT

ALERT TYPE	Multiple Interv.	Meet w/ Commander	Meet w/ Supervisor	No Further Action	Re-assignment	Referral to PSB	Total
External Complaint	2	1	3	3	1		10
BAF			5	3			8
Internal Complaint		1	1	2			4
Vehicle Accident				1		1	2
Data Validation			1				1
<b>Total</b>	<b>2</b>	<b>2</b>	<b>10</b>	<b>9</b>	<b>1</b>	<b>1</b>	<b>25</b>

During the 3<sup>rd</sup> and 4<sup>th</sup> Quarters of 2022, a total of ninety-three (93) EIS alerts were received and sent to supervisors. The employees listed for those alerts were compared to data from the 2<sup>nd</sup> Quarter of 2022 to determine if there was a reoccurring EIS Alert for the employee for the same threshold. Of the ninety-three (93) EIS Alerts, Eight-seven (87) were not reoccurring alerts, two (2) were reoccurring alerts for a different threshold, and four (4) were reoccurring alerts for the same issue.

The following chart and table provide an overview of interventions selected by supervisors for reoccurring EIS Alerts broken down by alert type:



ALERT TYPE	Meet w/ Supervisor	No Further Action	Total
BAF	2		2
External Complaint	1		1
Internal Complaint		1	1
<b>Total</b>	<b>3</b>	<b>1</b>	<b>4</b>

**Results:**

The table below shows the initial intervention taken by a supervisor for those employees who had reoccurring alerts for the same issue(s), the type of reoccurring alert, and if there was documentation by the supervisor within Blue Team. In addition, alerts which were reoccurring, but for a different threshold, are documented with the initial and 2<sup>nd</sup> type of alert, associated intervention and if there was documentation by the supervisor within Blue Team:

Original EA Alert #	Division	Initial Type of Alert	Initial Intervention	2 <sup>nd</sup> Type of Alert	2 <sup>nd</sup> Intervention	Supervisor Blue Team Documentation
EA2022-0043	Dist 7	BIO Action Forms (Incident)	Meeting with Supervisor	BIO Action Forms (Incident)	Meeting with Supervisor	No
EA2022-0042	Dist 2	BIO Action Forms (Incident)	Meeting with Supervisor	BIO Action Forms (Incident)	Meeting with Supervisor	No
EA2021-0059	Dist 4	External Complaints (Incident)	Meeting with Supervisor	External Complaints (Incident)	Meeting with Supervisor	No
EA2022-0033	Intake & Transfer Release	Internal Complaints (Incident)	No Further Action	Internal Complaints (Incident)	N/A	No
EA2022-0058	Estrella	External Complaints (Incident)	Multiple Interventions	Internal Complaints (Incident)	Multiple Interventions	Yes
EA2022-0051	Dist 4	Data Validation (Incident)	Meeting with Supervisor	External Complaints (Incident)	No Further Action	Yes

Of the 4 reoccurring alerts for this review period, two were for BIO Action Forms, two for External Complaints and one for Internal Complaints. Three of the four initial interventions were closed out with a Meeting with Supervisor intervention. It was also noted that when the second alert occurred, Meeting with a Supervisor intervention was used again for three of the four. The fourth was closed out without any intervention due to the employee been on administrative leave and then was no longer employed with MCSO. One trend that was observed was the use of the same intervention in three of the four reoccurring alerts listed above. MCSO will continue to monitor this trend and make recommendations that alternative or elevated interventions be considered for reoccurring alerts.

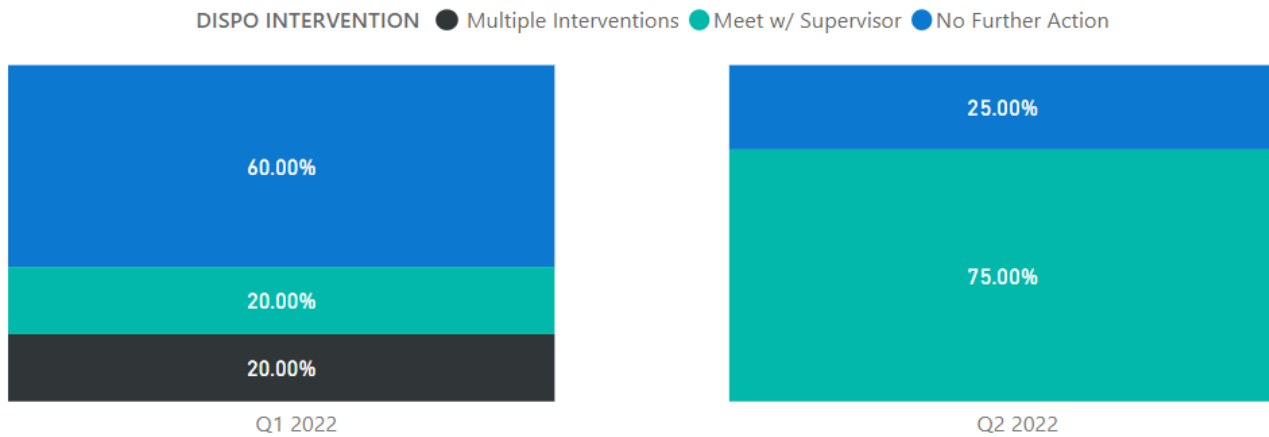
An additional analysis was conducted to determine if any supervisory intervention or follow-up was documented among the involved employees within Supervisor Notes. These notes are not required but are useful to determine if supervisors are using EIS notes to document progress or issues between interventions. These results were documented in the table above in the column titled "Supervisor Blue Team Documentation." A "Yes" in this column indicates that a supervisor note was entered for the employee following an intervention, and that note has information related to the EIS Alert. For this quarter, there were Supervisor Notes entered for EA2022-0058 and EA2022-0051. For EA2022-0058, the supervisor documented the employee had attended training related to the alert, and for EA2022-0051, the supervisor completed a performance note that stated they would be monitoring the employee following the intervention.

Overall, for EIS Alert interventions completed during the 2nd Quarter, 95.7 percent (89/93) of interventions were successful and did not have a reoccurring alert for the same threshold during the following 6-month period. This percentage is up from the previous quarterly inspection where 93.4 percent (71/76) of interventions were successful.

**Trends:**

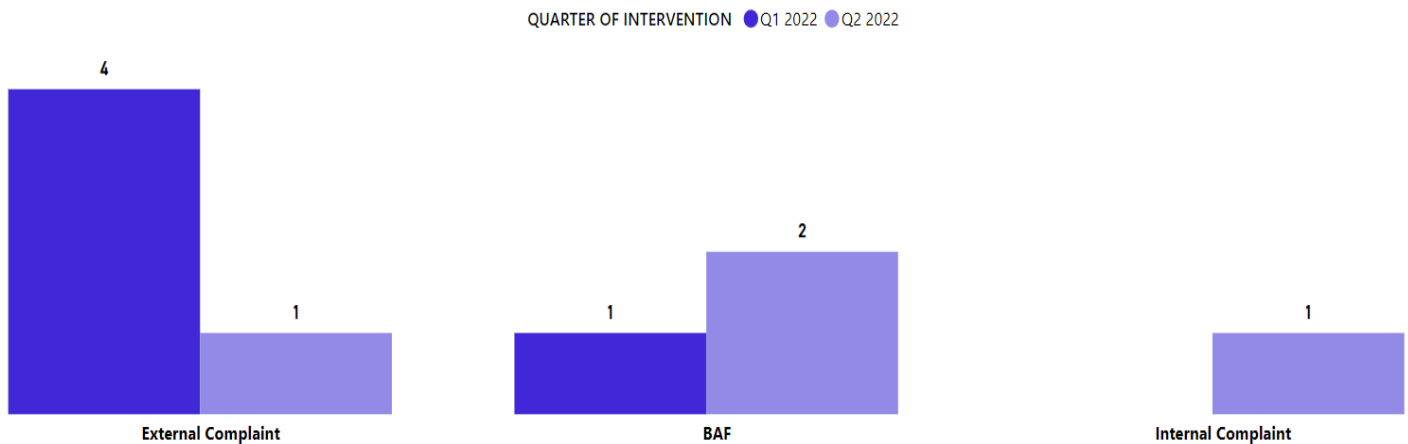
When comparing data for completed interventions that resulted in reoccurring alerts from the 2<sup>nd</sup> Quarter of 2022 to the 3<sup>rd</sup> Quarter of 2022, there is a recognizable shift to the “Meeting with Supervisor” intervention. In the 2<sup>nd</sup> Quarter, Meeting with Supervisor was used 75% of the interventions where employees re-alerted versus 20% usage from the 1<sup>st</sup> Quarter. This shift appears to be attributed to the decrease in reoccurring alerts for external/internal complaints, down 30% from the 1<sup>st</sup> Quarter, which gives supervisors a greater ability to research the alert and generate an appropriate intervention.

As it relates to an intervention response of “No Further Action” between the 1st Quarter of 2022 and the 2<sup>nd</sup> Quarter of 2022, there was a decline of 35%. It appears this decline could be related to the decrease in reoccurring alerts for external/internal complaints. MCSO has noted that due to the sensitivity of the information contained within Professional Standards Bureau cases, the immediate supervisor has less information to research to authorize a different form of intervention. The following bar graph provides a visual summary of the percentages of interventions utilized that resulted in reoccurring alerts. Data is from interventions used during the 1<sup>st</sup> and 2<sup>nd</sup> Quarter of 2022.



When comparing the causes for the reoccurring alerts for interventions completed between the 1<sup>st</sup> Quarter of 2022 and the 2<sup>nd</sup> Quarter of 2022, 75% of the total reoccurring alerts are related to external/internal complaints. As it correlates to external/internal complaints, there was a 75% decline in external complaints from the 1<sup>st</sup> Quarter versus the 2<sup>nd</sup> Quarter, but in comparison, there was a 100% increase in internal complaints between the two quarters. There was also a 100% increase in BAF reoccurring alerts during the specified period. The following graph provides an overview of the threshold initially alerted upon from the 1<sup>st</sup> and 2<sup>nd</sup> Quarter of 2022 that later resulted in a second EIS alert.





**Recommendations:**

To conclude, overall patterns and trends were assessed during this review. At this time, approximately 96% of interventions were determined to be successful, and was an improvement from 93% from the prior quarter. AIU did note that three of the four reoccurring alerts were closed out with the same intervention as the initial intervention. AIU recommends supervisors consider alternative or elevated interventions when employees have a second alert for the same threshold.

**Action Required:**

With the resulting 100.00% compliance for Inspection BI2023-0045, no **BIO Action Forms** required.

**Notes:**

All supporting documentations are included in the inspection file number *BI2023-0045* and contained within IA Pro.

Date Inspection Started: February 9<sup>th</sup>, 2023  
 Date Completed: April 19, 2023  
 Timeframe Inspected: January, February & March 2023  
 Assigned Inspector: Sgt. R. T. Bierwalter S1263/Kimberly Herrera B3666

I have reviewed this inspection report.

*Lt. Brian Arthur*  
 Lieutenant T. Brian Arthur S1806  
 Commander, Audits & Inspections Unit  
 Bureau of Internal Oversight

5/25/2023  
 Date

