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

3rd Quarter of 2023 EIS Alert Inspection
Inspection # BI2023-0143

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 July, August and September was utilized. For the 3rd quarter of 2023; there was a total of 37 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 37 EIS Alerts completed/closed during the 3rd 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	7	30	37	81.10%
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	3	4	7	57.14%
If an extension was granted, the Alert was completed and submitted within 30 days of new due date	3	4	7	57.14%
Compliance for EIS Alerts completed/Closed during 3rd Quarter of 2023	3	34	37	91.89%

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

EA Number	Alert Number	Interventions Initiated by Command	Administrative Investigation in Progress
EA2022-0072	Alert2022-0077	No Further Action	Yes
EA2022-0080	Alert2022-0085	Meeting with Supervisor	Yes
EA2023-0034	Alert2023-0029	No Further Action	Yes
EA2023-0094	Alert2023-0088	No Further Action	Yes
EA2023-0103	Alert2023-0098	No Further Action	Yes
EA2023-0105	Alert2023-0095	No Further Action	Yes
EA2023-0118	Alert2023-0111	Meeting with Supervisor	Yes
EA2023-0123	Alert2023-0116	No Further Action	No
EA2023-0124	Alert2023-0117	No Further Action	No
EA2023-0125	Alert2023-0118	Meeting with Supervisor	Yes
EA2023-0126	Alert2023-0119	Meeting with Supervisor	No
EA2023-0128	Alert2023-0121	Meeting with Supervisor	No
EA2023-0129	Alert2023-0122	Meeting with Supervisor	No
EA2022-0149	Alert2022-0157	Meeting with Supervisor	Yes
EA2023-0013	Alert2023-0009	Meeting with Supervisor	No
EA2023-0048	Alert2023-0042	Meeting with Supervisor	Yes
EA2023-0097	Alert2023-0091	No Further Action	Yes
EA2023-0115	Alert2023-0108	No Further Action	Yes
EA2023-0122	Alert2023-0115	Meeting with Supervisor	Yes
EA2023-0131	Alert2023-0124	Meeting with Supervisor	No
EA2023-0133	Alert2023-0128	Meeting with Supervisor	Yes
EA2023-0137	Alert2023-0130	Meeting with Supervisor	Yes
EA2023-0142	Alert2023-0135	Meeting with Supervisor	Yes

EA2023-0148	Alert2023-0141	Meeting with Supervisor	No
EA2023-0151	Alert2023-0144	No Further Action	Yes
EA2023-0154	Alert2023-0147	Meeting with Supervisor	Yes
EA2023-0157	Alert2023-0150	No Further Action	Yes
EA2023-0090	Alert2023-0085	No Further Action	Yes
EA2023-0134	Alert2023-0127	Meeting with Supervisor	Yes
EA2023-0139	Alert2023-0132	No Further Action	No
EA2023-0141	Alert2023-0134	Employee Services	No
EA2023-0145	Alert2023-0138	Meeting with Supervisor	Yes
EA2023-0153	Alert2023-0146	Meeting with Supervisor	No
EA2023-0155	Alert2023-0148	No Further Action	Yes
EA2023-0156	Alert2023-0149	No Further Action	Yes
EA2023-0158	Alert2023-0151	Squad Briefing	Yes
EA2023-0159	Alert2023-0152	Meeting with Supervisor	Yes

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

4th Ave Jail (1 BIO Action Form):

Compliance Deficiency

| District/Division	EA Number	Alert Number	Responsible Employee	Current Supervisor
4th Ave Jail	EA2022-0072	Alert2022-0077	Captain	Deputy Chief
Deficiency				
1. The EIS Alert was not returned to EIU within 30 days of initial assignment. (GH-5.5 Q)				
A. Captain had the alert for 4 days after the Due Date.				

District II (1 BIO Action Form):

<u>Compliance Deficiency</u>

District/Division	EA Number	Alert Number	Responsible Employee	Current Supervisor
District II	EA2023-0105 EA2023-0090	Alert2023-0095 Alert2023-0085	Lieutenant	Captain
Deficiency				

1. The EIS Alert was not returned to EIU within 30 days of initial assignment. (GH-5.5 Q)
   A. EA2023-0105 - Lieutenant had the alert for 8 days after the approved extension memorandum return date.
   B. EA2023-0090 - Lieutenant had the alert for 45 days after the approved extension memorandum return date.
    Note: Corrective action was taken for EA2023-0105 in a Supervisor Note, no BAF required.
    Employee had one (1) Pervious BAF for EIS Alert Inspection (BAF2023-0156)				

Results:

- ➢ 91.89% or 34 out of 37 EIS Alerts had no deficiencies (34 ÷ 37 = 91.89%)
- ➢ The overall result is a .98% increase in compliance from the 2nd Quarter 2023 inspection.


EIS ALERTS
Quarterly Results 2022 - 2023
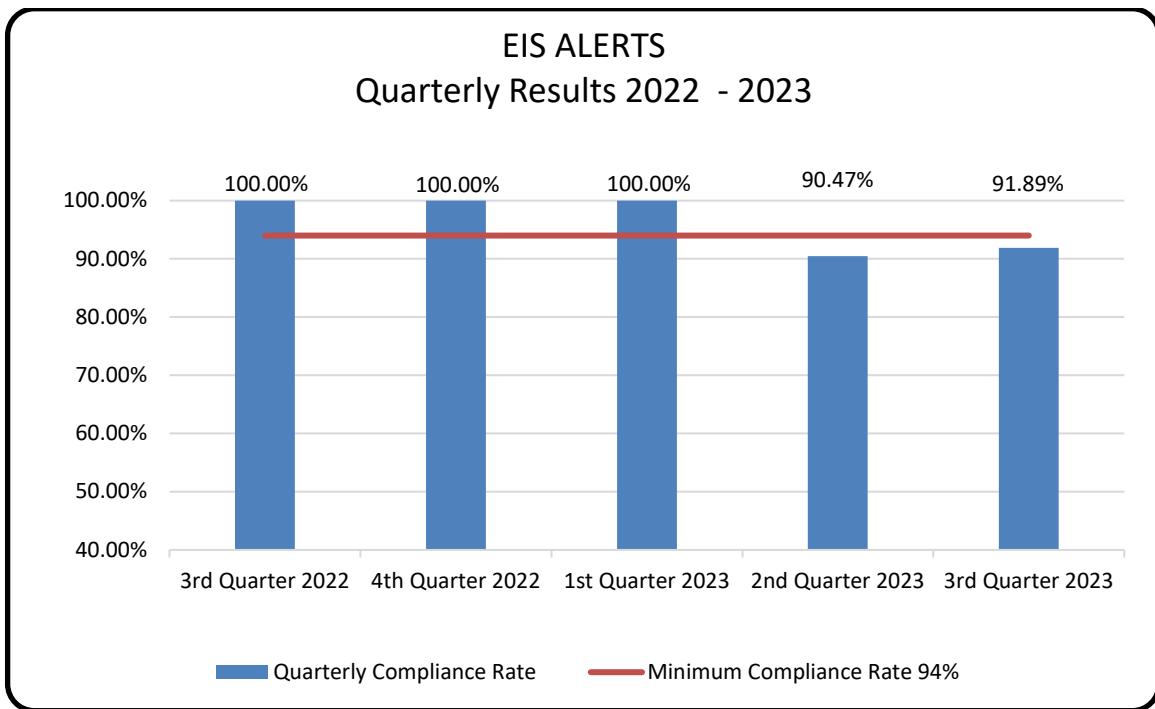
4th Quarter 2022 Supervisory Interventions

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 4th quarter of 2022, there were forty-eight (48) 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:
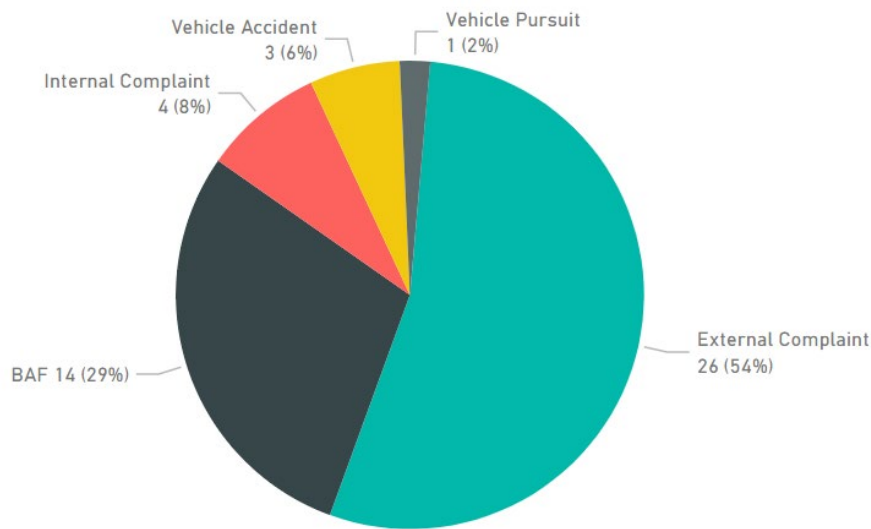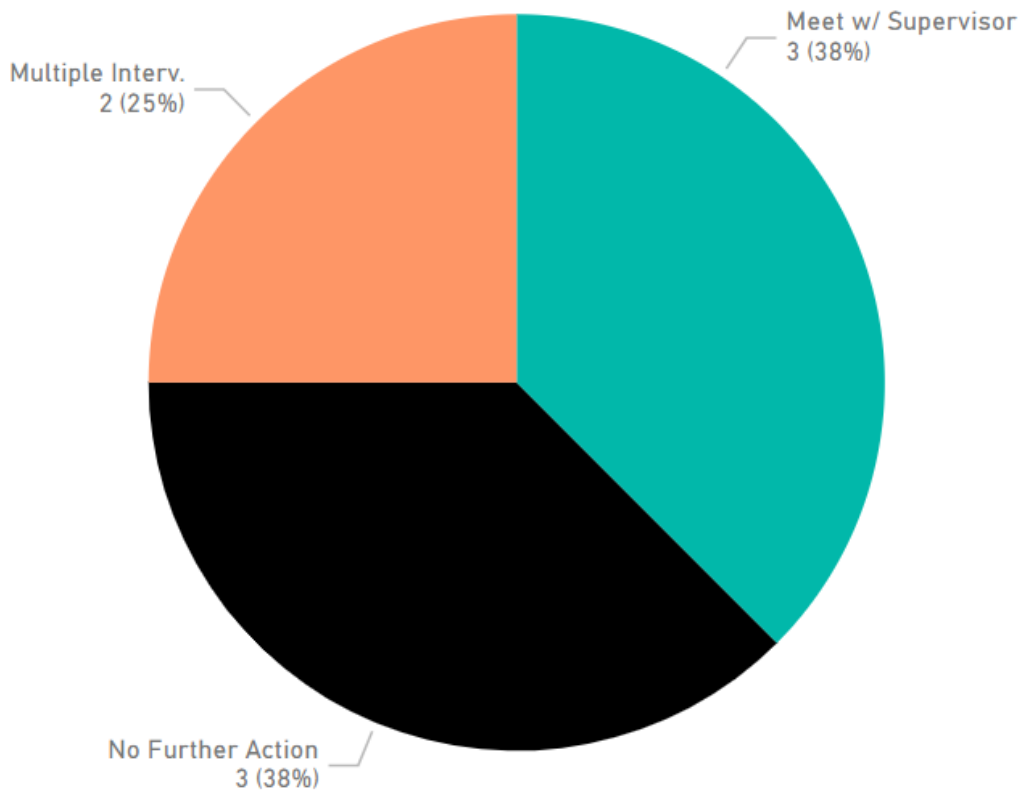

INTERVENTION TYPES BY ALERT

ALERT TYPE	Multiple Interv.	Meet w/ Commander	Meet w/ Supervisor	No Further Action	Training	Total
External Complaint	5	1	9	11		26
BAF	3		5	6		14
Internal Complaint			2	2		4
Vehicle Accident	1		1		1	3
Vehicle Pursuit			1			1
Total	**9**	**1**	**18**	**19**	**1**	**48**

During the 1st Quarter of 2023 and the 2nd Quarters of 2023, a total of one hundred thirty-one (131) EIS alerts were received and sent to supervisors. The employees listed for those alerts were compared to data from the 4th Quarter of 2022 to determine if there was a reoccurring EIS Alert for the employee for the same threshold. Of the one hundred thirty-one (131) EIS Alerts, One-hundred twelve (112) were not reoccurring alerts, eleven (11) were reoccurring alerts for a different threshold, and eight (8) 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	Multiple Interv.	Meet w/ Supervisor	No Further Action	Total
BAF	2	3		5
External Complaint			3	3
Total	**2**	**3**	**3**	**8**

Results:

The table below shows the initial intervention taken by a supervisor for those employees who had recurring 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 2nd 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	2nd Type of Alert	2nd Intervention	Supervisor Blue Team Documentation
EA2022-0119	Lakes	BIO Action Forms (Incident)	Meeting with Supervisor	BIO Action Forms (Incident)	Multiple Interventions	Yes
EA2022-0110	Lakes	BIO Action Forms (Incident)	Meeting with Supervisor	BIO Action Forms (Incident)	Multiple Interventions	No
EA2022-0123	Dist 4	BIO Action Forms (Incident)	Meeting with Supervisor	BIO Action Forms (Incident)	Meeting with Supervisor	No
EA2022-0129	Dist 3	BIO Action Forms (Incident)	Meeting with Supervisor	BIO Action Forms (Incident)	Meeting with Supervisor	Yes
EA2022-0113	Dist 4	BIO Action Forms (Incident)	Meeting with Supervisor	BIO Action Forms (Incident)	Meeting with Supervisor	Yes
EA2022-0135	Dist 7	External Complaints (Supervisor Alert)	No Further Action	External Complaints (Supervisor Alert)	No Further Action	No
EA2022-0148	Dist 4	External Complaints (Incident)	No Further Action	External Complaints (Incident)	No Further Action	No
EA2022-0130	Dist 1	External Complaints (Incident)	No Further Action	External Complaints (Incident)	Multiple Interventions	No
EA2022-0152	Dist 1	External Complaints (Supervisor Alert)	Multiple Interventions	BIO Action Forms (Incident)	No Further Action	No
EA2022-0140	Dist 3	BIO Action Forms (Incident)	Meeting with Supervisor	External Complaints (Incident)	No Further Action	No
EA2022-0116	Dist 7	External Complaints (Incident)	Meeting with Supervisor	BIO Action Forms (Incident)	Meeting with Supervisor	Yes
EA2022-0146	Dist 7	BIO Action Forms (Incident)	No Further Action	External Complaints (Incident)	No Further Action	No
EA2022-0100	Dist 1	BIO Action Forms (Incident)	No Further Action	Internal Complaints & Vehicle Accidents (Incident)	No Further Action	No

| EA2022-0132 | Dist 7 | Vehicle Accident (Incident) | Training | External Complaints (Incident) | No Further Action | No |
| EA2022-0148* | Dist 4 | External Complaints (Incident) | No Further Action | BIO Action Forms (Incident) | No Further Action & Multiple Interventions | No |

* EA2022-0148 is listed twice in the above table due to the employee had a reoccurring alert for the same allegation but also had two additional alerts reference BIO Action Forms for the 1st and 2nd Quarters of 2023.

Of the 8 reoccurring alerts for this review period, five were for BIO Action Forms and three for External Complaints. As it relates to the five reoccurring alerts for BIO Action Forms, the initial intervention as well as the 2nd intervention of choice was unanimously meeting with supervisor. Of the three reoccurring alerts for External Complaints, No Further Action was the intervention of choice used by supervisors. It should be noted that one of the reoccurring alerts for External Complaints (EA2022-0135) was a Supervisory Alert, not an Incident Alert on the employee for external complaints. 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 three affected employees indicating a review of the EIS Alert was conducted or future monitoring will be conducted as it is related to the EIS Alert.

Overall, for EIS Alert interventions completed during the 4th Quarter, 83.3 percent (40/48) of interventions were successful and did not have a reoccurring alert for the same threshold during the following 6-month period. This percentage is down from the previous quarterly inspection where 91.7 percent (33/36) of interventions were successful.
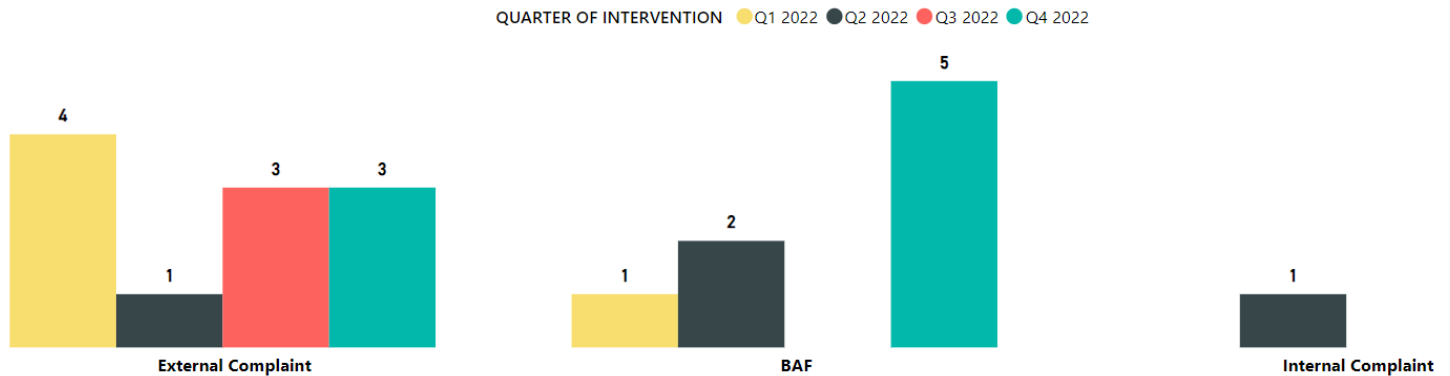
Trends:

When comparing data for completed interventions that resulted in reoccurring alerts for all 4 quarters of 2022, "Meeting with Supervisor" is used 50% of the time with "No Further Action" at 39%, followed by "Multiple Interventions" at 11%. When comparing all 4 quarters of 2022, there was a slight decline in reoccurrence of alerts for External Complaints from quarter to quarter but a sharp increase in reoccurring alerts for BIO Action Forms (BAF). The 3rd quarter of 2022 had the least number of reoccurring alerts.

As it relates to an intervention response of "No Further Action" between all 4 quarters of 2022, there is a significant decrease from the 1st quarter to the 2nd quarter then it plateaued with minimal increase from the 2nd quarter to the 4th quarter. The intervention of "No Further Action" is routinely used when it is related to internal/external complaints. The intervention of "Meeting with Supervisor" had taken a drastic uptick between the 2nd and 3rd quarters then decreased by almost half in the 4th quarter. For the 4th quarter of 2022, "Meeting with Supervisor" was the most use intervention when related to "BAF" which was the largest increase in reoccurring alerts between all quarters. Data is from interventions used during all 4 Quarters of 2022.

DISPO INTERVENTION ● Multiple Interventions ● Meet w/ Supervisor ● No Further Action
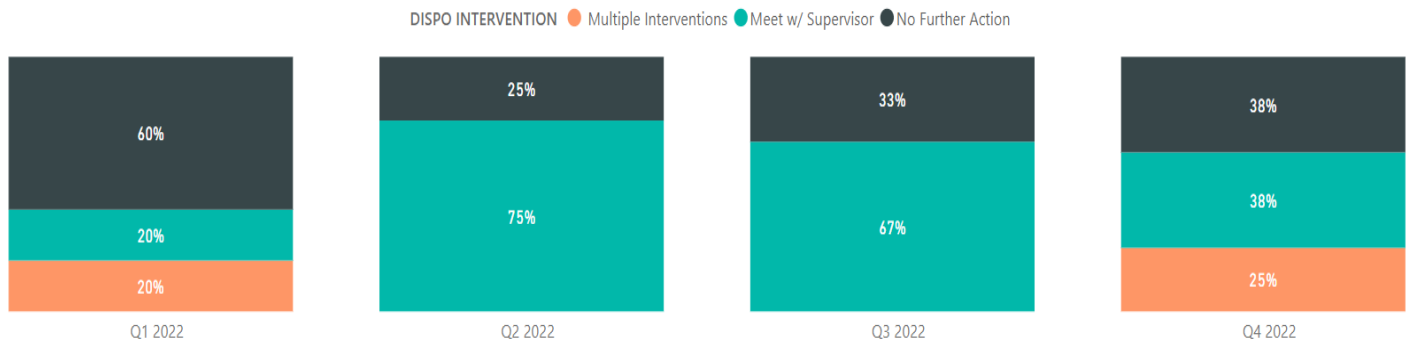
When comparing the causes for the reoccurring alerts for interventions completed between all 4 quarters of 2022, external complaints sharply declined from the 1st and 2nd quarters but remained consistent for the second half of the year. When looking at BAF interventions, the number of interventions has had a steady increase quarter to quarter except for the 3rd quarter. For the 4th quarter of 2022, there was a sharp increase in BAF interventions. It should be noted these percentages appear to have dramatic changes from quarter to quarter but the comparisons are being calculated from overall low numbers of reoccurring alerts. The following graph provides an overview of the threshold initially alerted upon from all 4 quarters of 2022 that later resulted in a second EIS alert.

QUARTER OF INTERVENTION ● Q1 2022 ● Q2 2022 ● Q3 2022 ● Q4 2022

Recommendations:

To conclude, overall patterns and trends were assessed during this review. At this time, there was a slight decline in the 4th quarter of 2022 with a success rate of 83% for interventions. AIU did note that five of the eight reoccurring alerts were closed out with the same intervention as the initial intervention. One of the reoccurring alerts decreased the level of intervention. It is recommended that supervisors continue to monitor and follow up with employees following an initial intervention to prevent reoccurrence. AIU continues to recommend supervisors consider alternative or elevated interventions when employees have a second alert for the same threshold.

Action Required:

With the resulting 92.10% compliance for Inspection BI2023-0143, a total of 2 BIO Action Forms are requested from the affected divisions. The form shall be completed utilizing Blue Team.

Notes:

All supporting documentation is included in the inspection file number *BI2023-0143* and contained within IA Pro.

Date Inspection Started: July 10, 2023

Date Completed: October 11, 2023

Timeframe Inspected: July, August, and September 2023

Assigned Inspector: Sgt. R. T. Bierwalter S1263/Kimberly Herrera B3666

I have reviewed this inspection report.

Lt. Brian Arthur S1806   12/5/23
_____   _____
Lieutenant T. Brian Arthur S1806   Date
Commander, Audits & Inspections Unit
Bureau of Internal Oversight