

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



4th Quarter of 2022 EIS Alert Inspection

Inspection # BI2022-0185

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, per month, selected by the Court Monitor Team, for the months of October, November and December was utilized. For the 4th quarter of 2022; there were a total 35 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 following table shows inspection results for 35 EIS Alerts completed/closed during the 4th quarter of 2022:

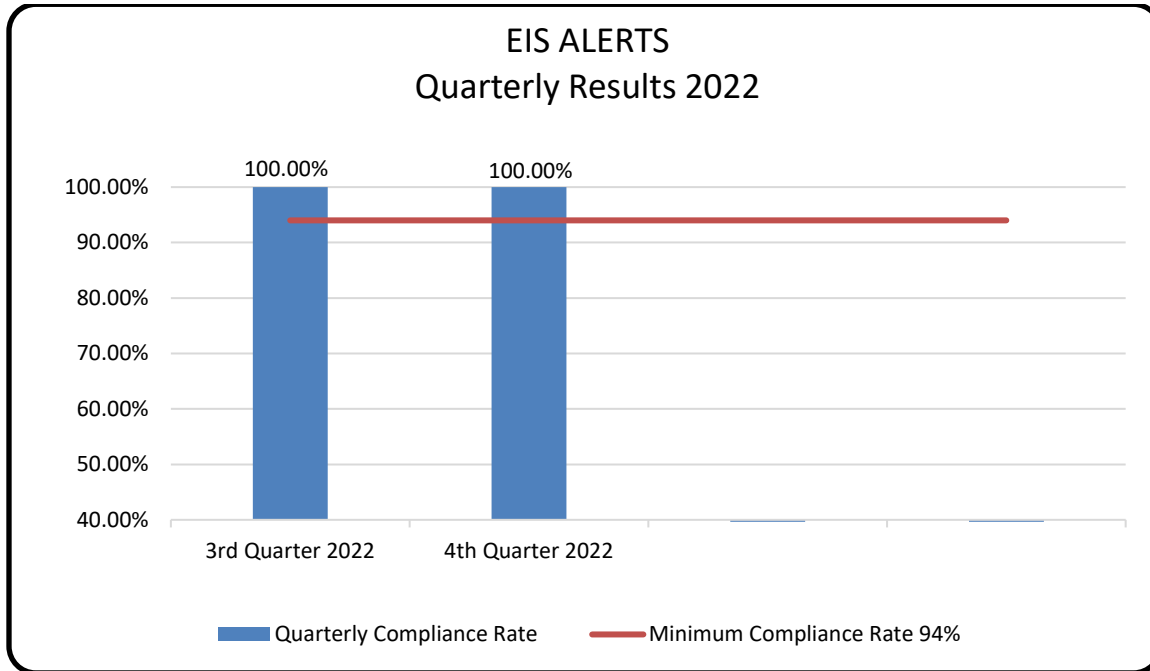
Inspection Element	Not In Compliance	In Compliance	Total Inspected	Compliance Rate
Alert addressed, closed, and returned to EIU within 30 calendar days as required by policy	9	26	35	74.29%
For Alerts not completed within 30 days, determine if an extension was requested by the assigned division and if the extension request was granted by EIU	0	9	9	100.00%
If an extension was granted, the Alert was completed and submitted within 30 days of new due date	0	9	9	100.00%
Compliance for EIS Alerts completed/Closed during 4th Quarter of 2022	0	35	35	100.00%

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
EA2021-0186	Alert2021-0187	Meeting with Supervisor	Yes
EA2022-0032	Alert2022-0031	Meeting with the Commander	Yes
EA2022-0038	Alert2022-0041	Meeting with Supervisor	Yes
EA2022-0058	Alert2022-0062	Referral to PSB	Yes
EA2022-0062	Alert2022-0067	Meeting with Supervisor	Yes
EA2022-0065	Alert2022-0070	Training	Yes
EA2022-0067	Alert2022-0073	Meeting with Supervisor	Yes
EA2022-0069	Alert2022-0074	No Further Action	Yes
EA2022-0075	Alert2022-0080	Meeting with Supervisor	No
EA2022-0083	Alert2022-0088	Meeting with Supervisor	No
EA2022-0088	Alert2022-0093	No Further Action	Yes
EA2022-0092	Alert2022-0097	Meeting with Supervisor	Yes
EA2022-0098	Alert2022-0103	No Further Action	Yes
EA2022-0100	Alert2022-0106	No Further Action	No
EA2022-0122	Alert2022-0127	No Further Action	Yes
EA2022-0071	Alert2022-0076	No Further Action	Yes
EA2022-0078	Alert2022-0083	Meeting with Supervisor	Yes
EA2022-0097	Alert2022-0102	Meeting with Supervisor	No
EA2022-0099	Alert2022-0104	Meeting with Supervisor	Yes
EA2022-0105	Alert2022-0110	No Further Action	Yes
EA2022-0106	Alert2022-0111	No Further Action	Yes
EA2022-0111	Alert2022-0116	No Further Action	Yes
EA2022-0113	Alert2022-0118	Meeting with Supervisor	No
EA2022-0114	Alert2022-0119	Meeting with Supervisor	Yes
EA2022-0127	Alert2022-0132	Meeting with Supervisor	Yes
EA2022-0131	Alert2022-0138	No Further Action	Yes
EA2022-0132	Alert2022-0134	Training	No
EA2022-0133	Alert2022-0135	No Further Action	Yes
EA2022-0135	Alert2022-0140	No Further Action	Yes
EA2022-0136	Alert2022-0141	Meeting with Supervisor	No
EA2022-0103	Alert2022-0109	Meeting with Supervisor	Yes
EA2022-0108	Alert2022-0112	Meeting with Supervisor	Yes
EA2022-0115	Alert2022-0120	Meeting with Supervisor	Yes
EA2022-0119	Alert2022-0124	Meeting with Supervisor	No
EA2022-0134	Alert2022-0139	No Further Action	Yes

Results:

- 100.00% or 35 out of 35 EIS Alerts had no deficiencies (35 ÷ 35 = 100.00%).
- There was no change in compliance since the last inspection.



*The 4th Quarter of 2022 was the second quarter for the new quarterly EIS Alert Inspection, a quarterly trend of compliance will be included as the data becomes available.

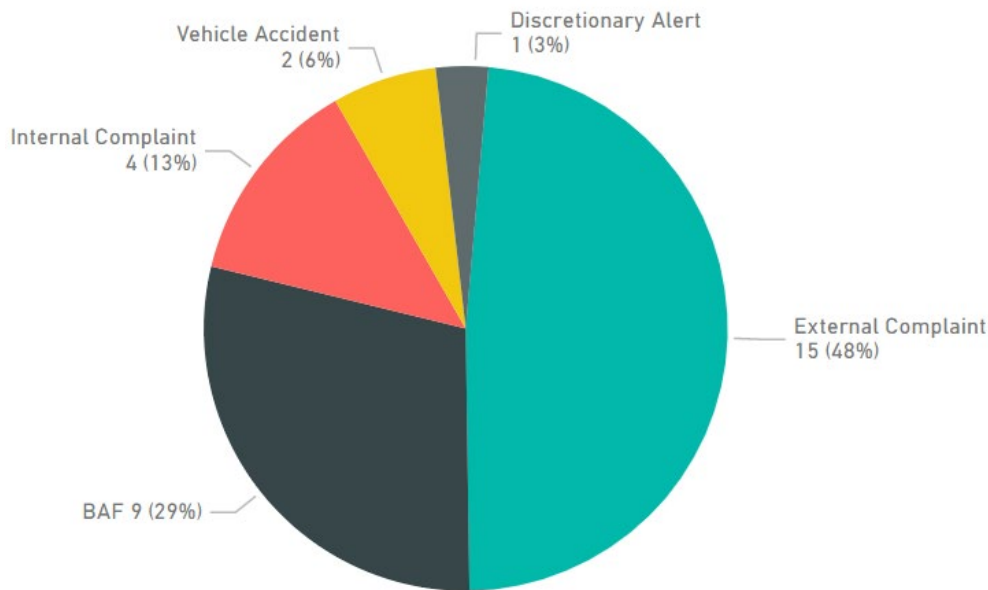
1st Quarter 2022 Supervisory Interventions

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.

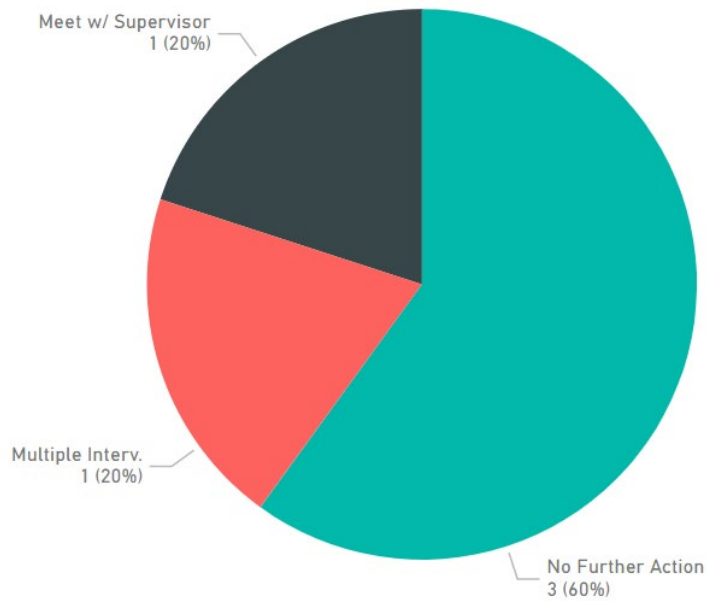
For the 1st quarter of 2022, there were thirty-one (31) EIS Alerts with completed supervisory interventions. The following chart and table provide an overview of all of EIS Alerts broken down by alert type and interventions selected by supervisors:



DISPO INTERVENTION	BAF	Discretionary Alert	External Complaint	Internal Complaint	Vehicle Accident	Total
No Further Action	4		7	1	1	13
Meet w/ Supervisor	5		5	1		11
Multiple Interventions			3	1		4
Meet w/ Commander		1		1		2
Training					1	1
Total	9	1	15	4	2	31

During the 2nd and 3rd quarters of 2022, a total of seventy-six (76) EIS alerts were received and sent to supervisors. The employees listed for those alerts were compared to data from the 1st Quarter to determine if there was a reoccurring EIS Alert for the employee for the same threshold. Of the seventy-six (76) EIS Alerts, sixty-nine (69) were not reoccurring alerts, two (2) were reoccurring alerts for a different threshold, and five (5) 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
External Complaint	1		3	4
BAF		1		1
Total	1	1	3	5

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 documented supervisory follow up in Blue Team:

Original EA Alert #	Division	Type of Alert	Intervention Date	Initial Intervention	Reoccurring Date	Follow up Conducted
EA2021-0178	Dist 1	External Complaints (Incident)	01/07/2022	No Further Action	07/24/2022	No
EA2022-0021	Dist 2	BIO Action Forms (Incident)	03/17/2022	Meeting with Supervisor	05/17/2022	Yes
EA2021-0182	Dist 7	External Complaints (Incident)	02/24/2022	Employee Services Meeting with Commander	05/23/2022	No
EA2022-0012	Watkins	External Complaints (Incident)	02/01/2022	No Further Action	08/24/2022	No
EA2021-0057	Bureau Hearing Unit	External Complaints (Incident)	02/27/2022	No Further Action	04/21/2022	No

Recommendations:

The following is a summary of the data compiled from the 1st quarter of 2022 and comparing it to the 2nd and 3rd quarters of 2022. The data revealed that 6.5% of the alerts were reoccurring for the same threshold for interventions completed in the 1st quarter of 2022 compared to alerts received 2nd and 3rd quarters of 2022.

Of the 5 reoccurring alerts, 4 were related to External Complaints with the 5th being related to BIO Action forms. 60% of the initial interventions were marked No Further Action for External Complaints which has a propensity to occur more often due to active investigations within the Professional Standards Bureau and the confidentiality of the case information. External Complaints were 48% of alerts with interventions. Of those interventions, seven (7) were a No Further Action Intervention and three (3) of those resulted in reoccurring alerts. It should be noted that EIU staff is currently researching the sensitivity of the threshold for External Complaints and AIU will monitor trends for External Complaint selected interventions in future quarterly inspections.

In addition to statistical data, an evaluation of supervisor notes in Blue Team was conducted to determine if the supervisor evaluated the work of the employee following an intervention. This evaluation was conducted on those employees who had a reoccurring alert. Of the five employees with who re-alerted, only one had notes that documented the supervisor was monitoring the identified issue following an intervention. Supervisors follow up will continue to be evaluated to provide information on strategies for successful interventions.

To conclude, overall pattern and trends were assessed during this review. At this time, there were no patterns or trends identified within units or divisions and no previous quarterly data to compare to at this time. As future quarters are inspected, they will be compared to previous quarters to identify changes/trends. There are no recommendations at this time.

Action Required:

With the resulting 100.00% compliance for Inspection BI2022-0185 a total of **0 BIO Action Forms** are requested from the affected division. The forms shall be completed utilizing Blue Team.

Notes:

All supporting documentations are included in the inspection file number *BI2022-0185* and contained within IA Pro.

Date Inspection Started: November 3, 2022
Date Completed: January 12, 2023
Timeframe Inspected: October, November & December 2022
Assigned Inspector: Sgt. R. T. Bierwalter S1263/Kimberly Herrera B3666

I have reviewed this inspection report.

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

2/16/2023
Date