

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



1st Quarter of 2024 EIS Alert Inspection
Inspection # BI2024-0043

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 2024; there was a total of 27 EIS Alert cases inspected. 100% of the 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 27 EIS Alerts completed/closed during the 1st quarter of 2024:

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	4	23	27	85.90%
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	4	4	100.00%
If an extension was granted, the Alert was completed and submitted within 30 days of new due date	1	3	4	75.00%
Compliance for EIS Alerts completed/Closed during 1st Quarter of 2024	1	26	27	96.30%

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
EA2022-0063	Alert2022-0068	No Further Action	Yes
EA2023-0130	Alert2023-0123	No Further Action	No
EA2023-0146	Alert2023-0139	Meeting with Supervisor	Yes
EA2023-0171	Alert2023-0164	Meeting with Supervisor	Yes
EA2023-0172	Alert2023-0165	Meeting with Supervisor	No
EA2023-0173	Alert2023-0166	Meeting with Supervisor	Yes
EA2023-0178	Alert2023-0172	Meeting with Supervisor	Yes
EA2023-0181	Alert2023-0175	Referral to PSB	Yes
EA2023-0182	Alert2023-0176	No Further Action	No
EA2023-0183	Alert2023-0177	Training	No
EA2023-0184	Alert2023-0178	Meeting with Supervisor	No
EA2023-0185	Alert2023-0179	Meeting with Supervisor	No
EA2023-0186	Alert2023-0180	Meeting with Supervisor	Yes
EA2023-0187	Alert2023-0181	Meeting with Supervisor	No
EA2023-0163	Alert2023-0156	Meeting with Supervisor	Yes
EA2023-0174	Alert2023-0168	No Further Action	Yes
EA2024-0001	Alert2024-0001	No Further Action	No
EA2024-0002	Alert2024-0002	No Further Action	No
EA2024-0004	Alert2024-0004	Meeting with Supervisor	No
EA2024-0006	Alert2024-0006	No Further Action	No
EA2024-0008	Alert2024-0008	Meeting with Supervisor	No
EA2023-0179	Alert2023-0173	No Further Action	Yes
EA2024-0005	Alert2024-0005	No Further Action	No

EA2024-0007	Alert2024-0007	No Further Action	Yes
EA2024-0009	Alert2024-0009	Meeting with Supervisor	No
EA2024-0010	Alert2024-0010	Meeting with Supervisor	No
EA2024-0011	Alert2024-0011	Meeting with Supervisor	No

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

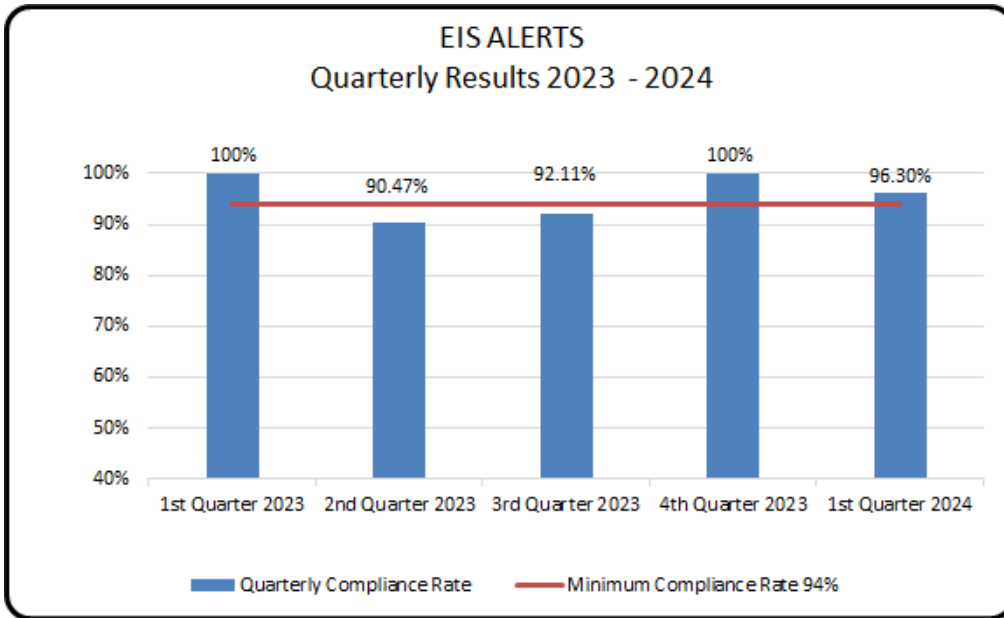
District 2 (1 BIO Action Form):

Compliance Deficiency

District/Division	EA Number	Alert Number	Responsible Employee	Current Supervisor
District 2	EA2023-0171	Alert2023-0164	Sergeant	Lieutenant
Deficiency				
1. The EIS Alert was not returned to EIU within 30 days of initial assignment. (GH-5.5 Q) A. Sergeant forwarded the alert through his chain of command to EIU on extended due date. Note: An extension memorandum was submitted and approved.				

Results:

- 96.30% or 28 out of 27 EIS Alerts had no deficiencies ($26 \div 27 = 96.30\%$).
- The overall result is a 3.70% decrease in compliance from the 4th Quarter 2023 inspection.



2nd Quarter 2023 Supervisory Interventions

AIU inspects EIS Alerts to determine if supervisory interventions successfully prevent similar alerts from reoccurring. The inspection compared IAPRO data for employees who received an EIS alert with an approved supervisory intervention completed during a quarter and reviewed the following six months to identify reoccurring alerts for employees.

Purpose

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

Analysis

For the 2nd quarter of 2023, there were fifty-one (51) EIS Alerts with completed supervisory interventions. The following chart and table provide an overview of all EIS Alerts broken down by alert type and interventions selected by supervisors.

Figure 1. Alert Types for the 2nd Quarter of 2023

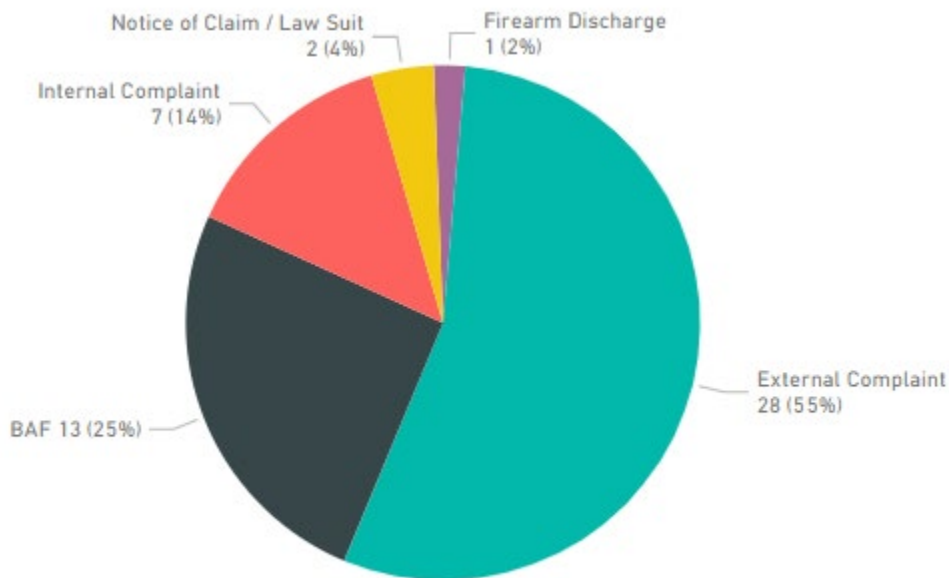


Table 1. Intervention Types by Alert Type for the 2nd Quarter of 2023

ALERT TYPE	Meet w/ Supervisor	Multiple Interv.	No Further Action	Sup Ride/Workalong	Training	Total
External Complaint	11	2	14	1		28
BAF	7	1	5			13
Internal Complaint	4	1	2			7
Notice of Claim / Law Suit			1		1	2
Firearm Discharge			1			1
Total	22	4	23	1	1	51

During the 3rd and 4th quarters of 2023, fifty-eight (58) EIS alerts occurred and were sent to supervisors. In the bid to investigate if there were any reoccurring EIS alerts for the same threshold, the list of employees who triggered the alerts was compared to the data from the 2nd quarter of 2023. The comparison revealed that fifty-four (54) of the fifty-eight (58) EIS Alerts were not identified as reoccurring alerts. However, three (3) reoccurring alerts were found to be reoccurring for the same thresholds, while one (1) incident where an employee triggered an alert was for a different threshold.

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

Figure 2. Interventions for Reoccurring EIS Alerts

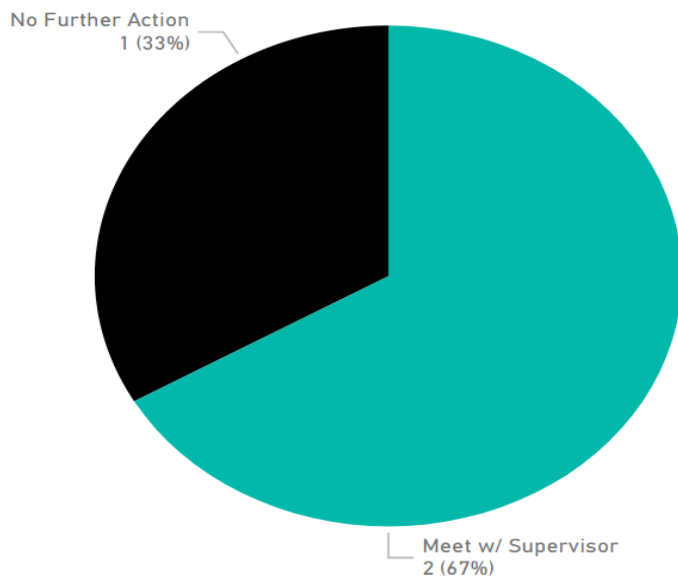


Table 2. Initial Interventions for Reoccurring EIS Alert Type

ALERT TYPE	Meet w/ Supervisor	No Further Action	Total
BAF	2		2
External Complaint		1	1
Total	2	1	3

Results

The table below shows the initial intervention employed by a supervisor for those employees who had reoccurring alerts for the same issue(s), the type of reoccurring alert, and if there was supervisor documentation within Blue Team. In addition, shown in the table are alerts reoccurring for a different threshold. These alerts are in the table as the initial and 2nd type of alert, the associated intervention, and if there was supervisor documentation within Blue Team.

Table 3. Recurrent Alerts with Interventions for the 2nd Quarter of 2023

Original EA Alert #	Divisions	Initial Type of Alert	Initial Intervention	2nd Type of Alert	2nd Intervention	Supervisor Blue Team Documentation
EA2023-0071	District II	External Complaint (Incident)	Meeting With Supervisor	External Complaint (Supervisor Alert)	No Further Action	No
EA2023-0082	Lake Division	BAF (Incident)	Meeting With Supervisor	BAF (Incident)	No Further Action	No
EA2023-0092	District II	BAF (Incident)	Meeting With Supervisor	BAF (Incident)	Meeting With Supervisor	No
EA2023-0113	District VII	External Complaint (Incident)	No Further Action	External Complaint (Incident)	Employee Services	No
EA2023-0066	District III	External Complaint (Incident)	Multiple Intervention	BAF (Incident)	Meeting With Supervisor	Yes

During the review period, there were three (3) reoccurring alerts for the same threshold, out of which one (1) was for External Complaints and the remaining two (2) were for BIO Action Forms (BAFs). One of the two BAFs had corresponding initial and 2nd interventions. However, the External Complaints had the same initial and second interventions. Although “No Further Action” was used for some of the reoccurring alerts, “Meeting with the Supervisor” was the most used intervention. “Employee Services” was used as an intervention for a reoccurring alert. The reoccurring alert for External Complaints was an Incident Alert for the involved employee. There were two (2) additional alerts that reoccurred for a different threshold. These alerts were included in Table 3 but were not included in the analysis. MCSO will continue to observe the supervisory intervention trend and recommend alternative or elevated interventions when necessary for reoccurring alerts.

An additional analysis checked whether any of the interventions or follow-ups were recorded by the supervisors, within EIS Supervisor Note, for the employees involved. Although not mandatory, the EIS Supervisor Notes documentation helps to track the progress or issues between interventions. The results are in Table 3 above, under the title "Supervisor Blue Team Documentation." A "Yes" in this column indicates that a supervisor note was entered for the employee following an intervention, and the Supervisor Note has information related to the EIS Alert. In this quarter, none of the affected employees had Supervisor Notes entered, indicating a review of the EIS Alert and that future monitoring will occur as it relates to the EIS Alert.

Further review was conducted on the reoccurring alerts for the same threshold. The Alert Review Group reviews all completed EIS Alerts and sends the alert back to supervisors when there is insufficient justification for a selected intervention. The following is a summary of the reoccurring alerts identified for this quarter:

The first alert (EA2023-0082) was for 3 BAF's in six months and was closed with a "Meeting with Supervisor" intervention. The sworn employee then received a second alert (EA2023-0130) for 4 BAF's in six months. This alert had three of the same BAF's as the first alert with a fourth that created the new alert. On the Attachment B response for EA2023-0130, the supervisor noted the deficiencies identified for all four BAF's were different and did not identify any patterns or trends that would require additional intervention. The EIU alert review group reviewed the completed Attachment B and approved the "No Further Action" intervention. In this case, it was determined sufficient documentation was provided and an elevated or alternative intervention was not required.

The second alert (EA2023-0092) was for 3 BAF's and was closed with "Meeting with Supervisor" intervention. The sworn employee had a reoccurring alert (EA2023-0184) for the same threshold which was also closed with a "Meeting with Supervisor" intervention. Both Attachment B forms were completed by the supervisor with thorough documentation of reasons why the selected interventions were appropriate responses to the alerts. The supervisor reviewed all issues and found that no pattern existed between the deficiencies listed in the second EIS Alert and had a meeting the employee to discuss the EIS Alert. The Alert Review Group reviewed the Attachment B forms and found them to be completed correctly and approved the selected intervention.

The third alert (EA2023-0113) was for two (2) External Complaints in 6 months. The alert was closed out with a "No Further Action" Intervention. The second/reoccurring alert (EA2023-0141) was closed out with an "Employee Services" intervention. In this case, the supervisor utilized the "No Further Action" intervention for the initial intervention along with an informal meeting with the sworn employee. For the second alert, the supervisor did not find a pattern between the external complaint allegations that generated the second alert and used "Employee Services" intervention following an informal meeting with the employee.

For this quarter, all selected interventions utilized were reviewed by the Alert Review Group and found to have sufficient documentation when elevated interventions are not used. The Alert Review Group ensures that all interventions with previous alerts contain discussion of patterns/trends and require sufficient articulation of why selected interventions were appropriate.

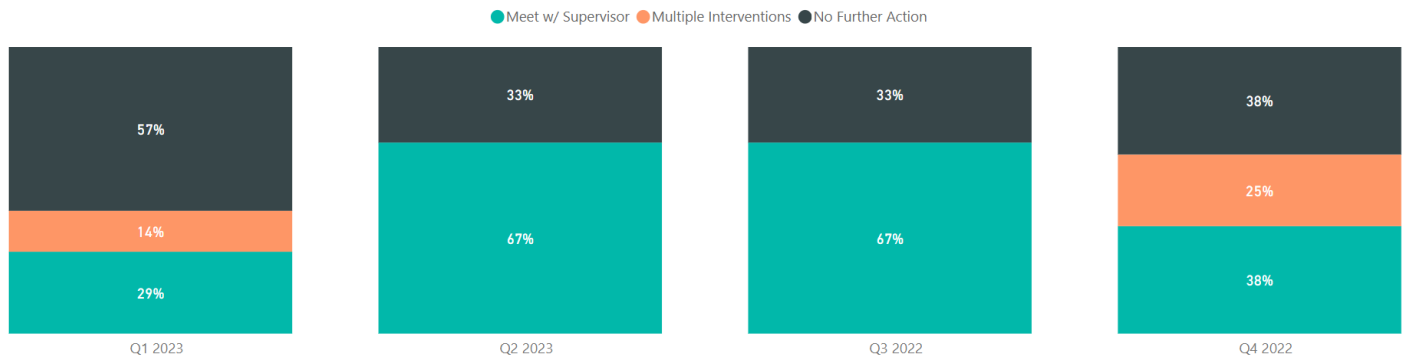
Overall, for EIS Alert interventions completed during the 2nd quarter of 2023, 94.12 percent (48/51) of interventions were successful and did not have a reoccurring alert for the same threshold during the following 6-month period. This percentage increased from the previous quarterly inspection, where 81.33 percent (61/75) of interventions were successful.

Trends

Comparing data for completed interventions resulting in reoccurring alerts for the last two quarters of 2022 and the 1st and 2nd quarters of 2023 revealed that “No Further Action” (48.00%) was the most utilized, followed by “Meeting with Supervisor” (36.00%), and “Multiple Interventions” (16.00%). Further comparison showed that the 3rd quarter of 2022 and 2nd quarter of 2023 had the same level of usage of “No Further Action,” and the 4th quarter of 2022 and 1st quarter of 2023 had the same level of usage of “Multiple Interventions” for EIS Alert interventions. Comparing the reoccurring EIS alert data for the 3rd and 4th quarters of 2022 and the 1st and 2nd quarters of 2023 showed “External Complaints” (67.86%) as the most reoccurring alert, followed by “BAF” (32.14%) and “Internal Complaint” did not reoccur during these quarters. However, the 2nd quarter of 2023 had the lowest reoccurring alerts.

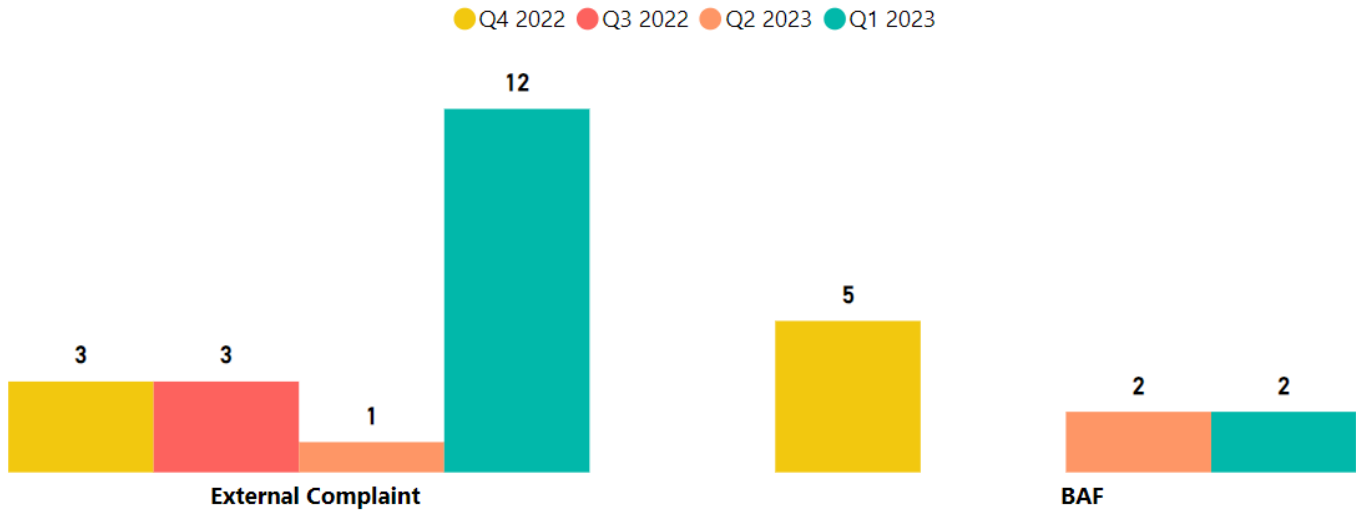
The intervention response of “No Further Action” decreased significantly by 700.00% between the 1st and 2nd quarter of 2023. It could be due to the drop in reoccurring alerts during the 2nd quarter of 2023. The intervention, “No Further Action,” is routinely used in response to internal/external complaints. The decrease in the reoccurring “External Complaints” and no occurrences of “Internal Complaints” alerts further explains the significant downturn in “No Further Action” interventions. There was a considerable decrease in the use of “Meeting with Supervisor” between the 1st and 2nd quarters of 2023 (33.33%). On the other hand, the “Multiple Interventions” was not an intervention option in the 2nd quarter of 2023. However, “Meeting with Supervisor” was the most used intervention for BIO Action Forms (BAFs) alerts.

Figure 3. Percentage Reoccurring Alert Intervention by Quarters



A comparison of the causes for the reoccurring alerts for interventions completed in the last two quarters of 2022 and the 1st and 2nd quarters of 2023 revealed that “External Complaints” plummeted in the 2nd quarter of 2023 compared to the 1st quarter. The 1st quarter of 2023 experienced high alert reoccurrences for “External Complaints.” Reoccurrence of BAFs’ alert intervention was the same in number in the 1st and 2nd quarters of 2023. It is worth noting that percentages may drastically change from quarter to quarter because the comparisons are from calculations of the overall numbers of reoccurring alerts. Figure 4 below provides an overview of the threshold of the initial alerts in the 2nd quarter of 2023, which later resulted in at least a second EIS alert.

Figure 4. Reoccurring Alert Types by Quarter



Conclusion and Recommendations

Overall, patterns and trends assessed during this review showed a downward trend in the reoccurring alerts and a success rate of 94.12% for interventions. For interventions, AIU observed that one of the three reoccurring alerts was closed with the same intervention as the initial one. However, one of the remaining two reoccurring alerts received a reduced level of intervention for the second alert, and the last of the three alerts escalated the level of intervention. It should be noted that BIO-EIU has been evaluating thresholds using the TARP Process. External Complaint thresholds were updated in the 4th quarter of 2023 and the thresholds were determined to be too sensitive. The External Complaint threshold was changed to 3 External Complaints in 6 Months. EIU staff are currently working on reviewing BAF thresholds. AIU will continue to monitor any patterns or trends related to updated thresholds and interventions utilized by supervisors.

Action Required:

With the resulting 96.30% compliance for Inspection BI2024-0043, a total of 1 BIO Action Forms is required.

Notes: All supporting documentation is included in the inspection file number *BI2023-0192* and contained within IA Pro.

Date Inspection Started: February 7th, 2024
 Date Completed: April 1st, 2024
 Timeframe Inspected: January, February & March 2024
 Assigned Inspector: Sgt. R. T. Bierwalter S1263

I have reviewed this inspection report.

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

6/12/2024
 Date