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

2nd Quarter of 2023 EIS Alert Inspection
Inspection # BI2023-0100

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 April, May and June was utilized. For the 2nd quarter of 2023; there was a total of 42 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 42 EIS Alerts completed/closed during the 2nd 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	14	28	42	66.66%
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	14	14	100.00%
If an extension was granted, the Alert was completed and submitted within 30 days of new due date	4	10	14	71.43%
Compliance for EIS Alerts completed/Closed during 2nd Quarter of 2023	4	38	42	90.47%

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
EA2022-0144	Alert2022-0151	No Further Action	Yes
EA2023-0001	Alert2022-0168	No Further Action	Yes
EA2023-0002	Alert2022-0172	No Further Action	Yes
EA2023-0007	Alert2023-0002	Meeting with Supervisor	No
EA2023-0023	Alert2023-0018	Meeting with Supervisor	No
EA2023-0024	Alert2023-0019	No Further Action	Yes
EA2023-0025	Alert2023-0020	No Further Action	Yes
EA2023-0029	Alert2023-0024	Supervisor Ride-Along/Work-Along	Yes
EA2023-0062	Alert2023-0055	No Further Action	Yes
EA2023-0063	Alert2023-0057	Meeting with Supervisor	Yes
EA2023-0074	Alert2023-0069	No Further Action	Yes
EA2023-0078	Alert2023-0073	No Further Action	Yes
EA2022-0104	Alert2022-0105	No Further Action	No
EA2023-0058	Alert2023-0052	Meeting with Supervisor	Yes
EA2023-0066	Alert2023-0060	Meeting with Supervisor	Yes
EA2023-0070	Alert2023-0065	No Further Action	Yes
EA2023-0072	Alert2023-0067	No Further Action	Yes
EA2023-0075	Alert2023-0070	Meeting with Supervisor	Yes
EA2023-0076	Alert2023-0071	No Further Action	Yes
EA2023-0077	Alert2023-0072	No Further Action	Yes
EA2023-0079	Alert2023-0074	Meeting with Supervisor	Yes
EA2023-0082	Alert2023-0077	Meeting with Supervisor	No
EA2023-0084	Alert2023-0079	No Further Action	Yes

EA2023-0086	Alert2023-0081	Meeting with Supervisor	Yes
EA2023-0087	Alert2023-0082	No Further Action	Yes
EA2023-0089	Alert2023-0084	No Further Action	Yes
EA2023-0096	Alert2023-0090	No Further Action	No
EA2022-0140	Alert2022-0147	Meeting with Supervisor	No
EA2023-0065	Alert2023-0059	No Further Action	Yes
EA2023-0067	Alert2023-0062	No Further Action	No
EA2023-0080	Alert2023-0075	Meeting with Supervisor	No
EA2023-0085	Alert2023-0080	Meeting with Supervisor	Yes
EA2023-0095	Alert2023-0089	Meeting with Supervisor	Yes
EA2023-0099	Alert2023-0093	Training	No
EA2023-0101	Alert2023-0096	Meeting with Supervisor	No
EA2023-0102	Alert2023-0097	Meeting with Supervisor	No
EA2023-0106	Alert2023-0099	No Further Action	No
EA2023-0108	Alert2023-0101	Meeting with Commander	Yes
EA2023-0113	Alert2023-0106	No Further Action	Yes
EA2023-0116	Alert2023-0109	Meeting with Supervisor	Yes
EA2023-0117	Alert2023-0110	No Further Action	Yes
EA2023-0121	Alert2023-0114	No Further Action	Yes

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

District II (1 BIO Action Form):

Compliance Deficiency

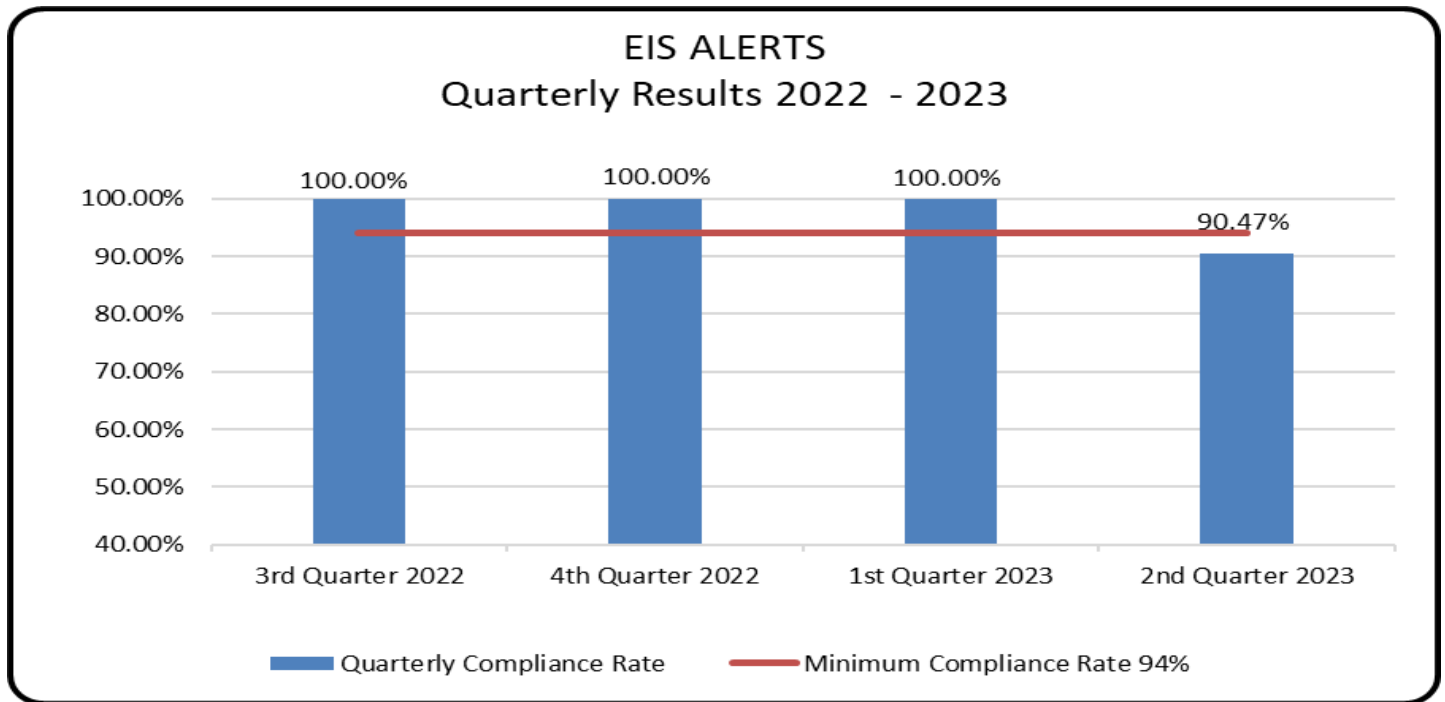| District/Division	EA Number	Alert Number	Responsible Employee	Current Supervisor
District II	EA2023-0023 EA2023-0024 EA2023-0025	Alert2023-0018 Alert2023-0019 Alert2023-0020	Lieutenant	Captain
Deficiency				
1. The EIS Alert was not returned to EIU within 30 day of initial assignment. (GH-5.5 Q)				
A. Lieutenant had the alert for 2 days after the approved extension memorandum return date				

Inmate Medical Services (1 BIO Action Form):

Compliance Deficiency

District/Division	EA Number	Alert Number	Responsible Employee	Current Supervisor
Inmate Medical Services	EA2022-0104	Alert2022-0105	Captain	Deputy Chief
Deficiency				
1. The EIS Alert was not returned to EIU within 30 day of initial assignment. (GH-5.5 Q)				
A. Captain had the alert for 4 days after the approved extension memorandum return date				

Results:

➢ 90.47% or 38 out of 42 EIS Alerts had no deficiencies (38 ÷ 42 = 90.47%).
➢ The overall result is 9.53% decrease in compliance from the 1st Quarter 2023 inspection.

EIS ALERTS
Quarterly Results 2022 - 2023

 *The 2nd Quarter of 2023 is the fourth quarter for the new quarterly EIS Alert Inspection, a twelve-month trend of compliance will be included as the data becomes available.
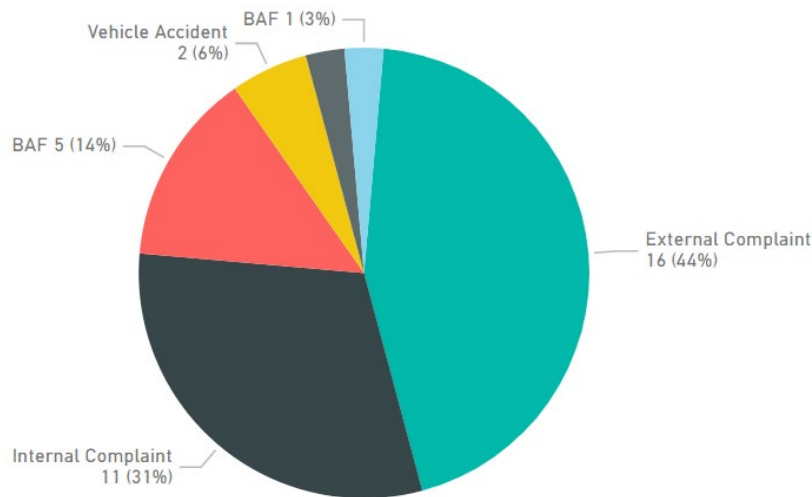
3rd Quarter 2022 Supervisory Interventions

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 3rd quarter of 2022, there were thirty-six (36) 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:
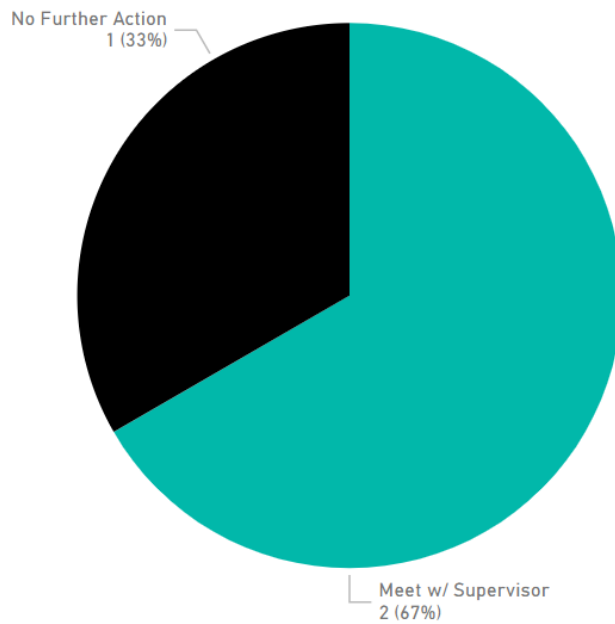

INTERVENTION TYPES BY ALERT

ALERT TYPE	Multiple Interv.	Meet w/ Supervisor	No Further Action	Total
External Complaint	2	9	5	**16**
Internal Complaint	3	4	4	**11**
BAF		4	1	**5**
Vehicle Accident		1	1	**2**
Discretionary Alert			1	**1**
BAF		1		**1**
Total	**5**	**19**	**12**	**36**

During the 4th Quarter of 2022 and the 1st Quarters of 2023, a total of one hundred thirty-five (135) EIS alerts were received and sent to supervisors. The employees listed for those alerts were compared to data from the 3rd Quarter of 2022 to determine if there was a reoccurring EIS Alert for the employee for the same threshold. Of the one hundred thirty-five (135) EIS Alerts, one hundred twenty-eight (128) were not reoccurring alerts, four (4) were reoccurring alerts for a different threshold, and three (3) were reoccurring alerts for the same issue.

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

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

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 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
EA2022-0078	Dist 1	External Complaints (Incident)	Meeting with Supervisor	Internal Complaints (Incident)	No Further Action	Yes
EA2022-0068	Dist 3	BIO Action Forms (Incident)	Meeting with Supervisor	External Complaints (Incident)	No Further Action	Yes
EA2022-0076	Major Crimes	BIO Action Forms (Incident)	Meeting with Supervisor	External Complaints (Incident)	No Further Action	Yes
EA2022-0083	Patrol & Enforcement Support	Vehicle Accidents (Incident)	Meeting with Supervisor	BIO Action Forms (Incident)	Multiple Interventions	Yes
EA2022-0056	Dist 3	External Complaints (Incident)	Meeting with Supervisor	External Complaints (Incident)	Multiple Interventions	Yes
EA2022-0102	Dist 1	External Complaints (Incident)	Meeting with Supervisor	External Complaints (Incident)	No Further Action	Yes
EA2022-0081	Dist 7	External Complaints (Incident)	No Further Action	External Complaints (Incident)	No Further Action	Yes

Of the 3 reoccurring alerts for this review period, all three were for External Complaints. Two of the three initial interventions were closed out with a Meeting with Supervisor intervention, with the third being cleared as No Further Action. It was also noted that when the second alert occurred, one was closed with multiple interventions (Meeting w/ Supervisor & Training), and one with No Further Action. MCSO will continue to monitor this trend and make recommendations that alternative or elevated interventions be considered for reoccurring alerts.
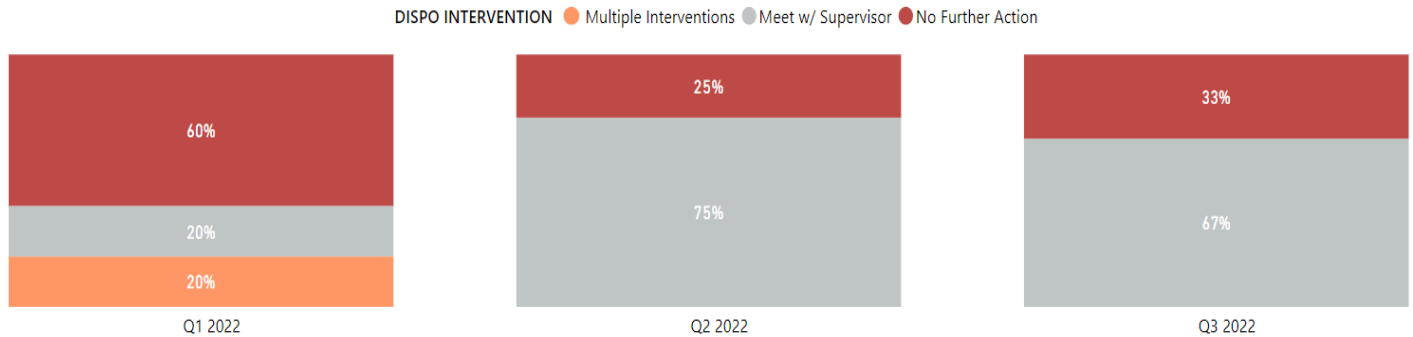
An additional analysis was conducted to determine if any supervisory intervention or follow-up was documented among the involved employees within Supervisor Notes. These notes are not required but are useful to determine if supervisors are using EIS notes to document progress or issues between interventions. 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 every effected employee 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 3rd Quarter, 91.7 percent (33/36) 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 95.7 percent (89/93) of interventions were successful.
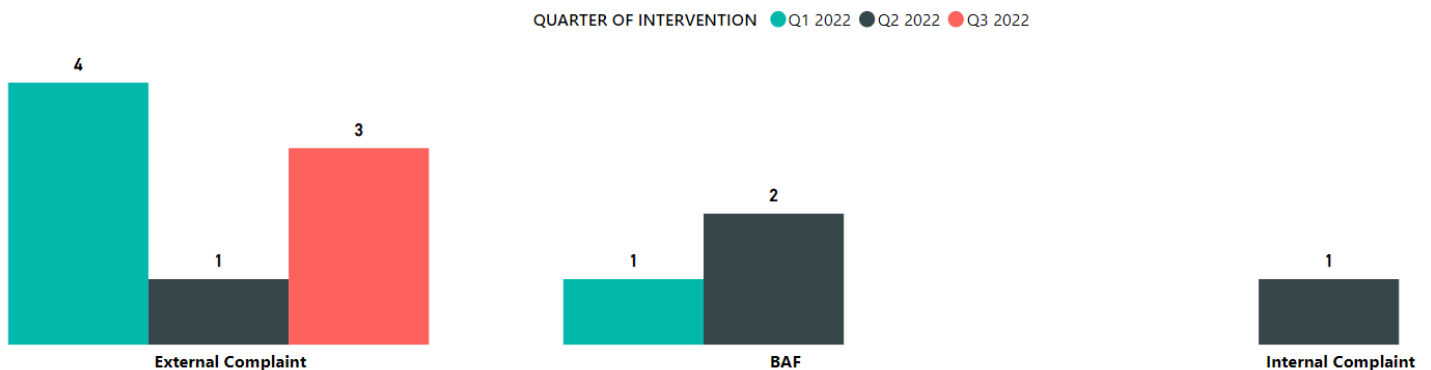
Trends:

When comparing data for completed interventions that resulted in reoccurring alerts from all three quarters of 2022, "Meeting with Supervisor" intervention has been used more frequently between the 2nd and 3rd quarters. When comparing the 2nd and 3rd quarters of 2022, 100% of the reoccurring alerts were for internal/external complaints, compared to 60% from the previous quarter.

As it relates to an intervention response of "No Further Action" between the 2nd and 3rd quarter of 2022, there is a minimal increase in percentage. This increase is directly related to fewer reoccurring alerts are being documented from the previous quarter which will change the percentages slightly. As the quarters progress through 2022, the intervention "No Further Action" is being utilized less. Data is from interventions used during the 1st, 2nd, and 3rd Quarters of 2022.

When comparing the causes for the reoccurring alerts for interventions completed between the 2nd Quarter of 2022 and the 3rd Quarter of 2022, 100% of the total reoccurring alerts are related to external complaints. As it correlates to external complaints, there was a 200% increase in external complaints from the 2nd Quarter versus the 3rd Quarter, but in comparison, there was a 100% decrease in internal complaints between the two quarters. There was also a 100% decrease in BAF reoccurring alerts during the specified period. 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 the 2nd and 3rd Quarter of 2022 that later resulted in a second EIS alert.

Recommendations:

This is a quarterly review of EIS Alert data with the goal to identify overall patterns and trends associated with successful use of interventions. The success of an intervention is evaluated by determining if EIS alerts continue after the intervention has been completed. Overall, for the 1st, 2nd, and 3rd quarters of 2022, there were 92 interventions completed by supervisors. Of those completed interventions, 12 (87%) were determined to be successful due to a reoccurring alert in the following six months. Eight of those interventions were from external complaint alerts. Data shows high percentages of reoccurring alerts are external complaint alerts closed with "Meeting with Supervisor" or "No Further Action" interventions. This trend has continued across three quarterly inspections. Additionally, AIU is monitoring the threshold analysis recommendations from the EIU for external complaints. It has been previously noted that the external complaint threshold appears to be highly sensitive, and evaluation of the alerts by supervisors is limited due to the sensitive nature of administrative investigations. This issue may be a potential explanation for the observed trends associated with external complaint alert interventions.

AIU will continue to monitor this trend and recommends a thorough supervisory review of EIS and Alert information related to external complaint alerts. It is also recommended that supervisors consider alternative interventions when employees have a second alert for the same threshold. The recent BAF Study made recommendations that Squad Briefing interventions may have larger impact for addressing similar issues.

Action Required:

With the resulting 90.47% compliance for Inspection BI2023-0100, 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 *BI2023-0100* and contained within IA Pro.

Date Inspection Started: April 10, 2023

Date Completed: July 12, 2023

Timeframe Inspected: April, May, and June 2023

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

I have reviewed this inspection report.

Lt. Brian Arthur S1806   9/6/23

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