

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



4th Quarter of 2024 EIS Alert Inspection
Inspection # BI2024-0184

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 October, November and December was utilized. For the 4th quarter of 2024; there was a total of 16 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 16 EIS Alerts completed/closed during the 4th quarter of 2024:

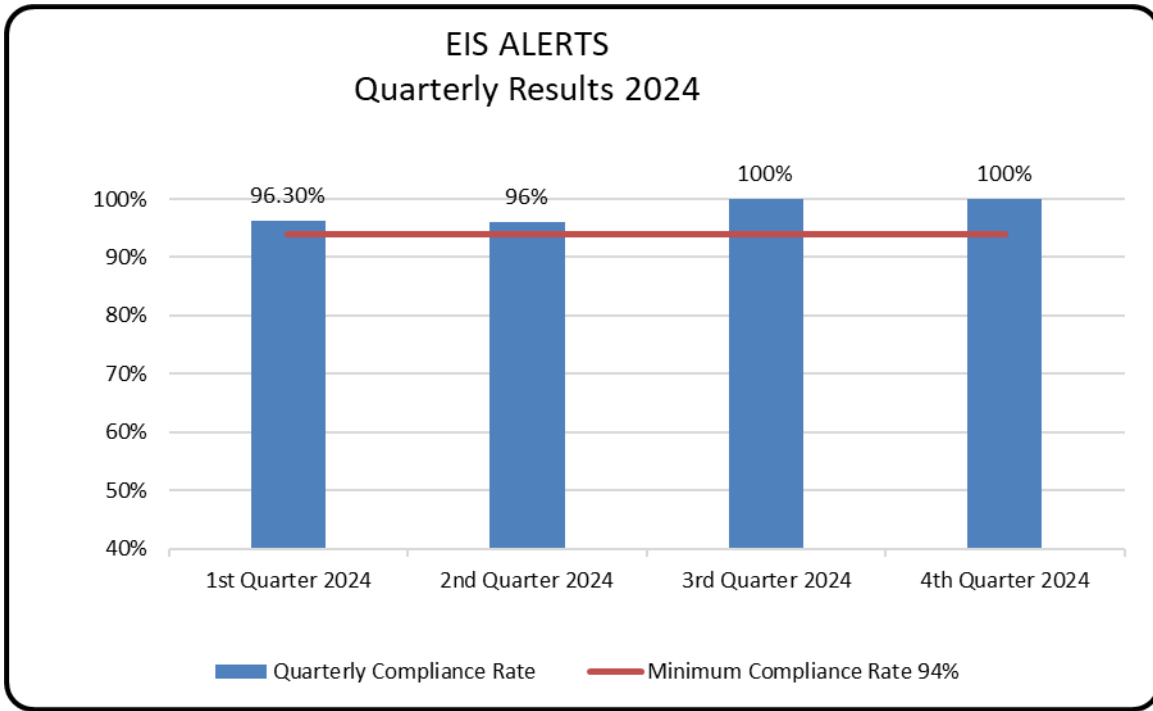
Inspection Element	Not In Compliance	In Compliance	Total Inspected	Compliance Rate
Alert addressed, closed, and returned to EIU within 30 calendar days as required by policy	0	15	15	100%
For Alerts not completed within 30 days, determine if an extension was requested and granted by EIU & submitted within 30 days of the new due date	0	1	1	100%
Compliance for EIS Alerts completed/Closed during 4th Quarter of 2024	0	16	16	100%

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
EA2024-0040	Alert2024-0040	Meeting with Supervisor Training Supervisory Evaluation Period (30, 60, or 90 day period)	No
EA2024-0041	Alert2024-0041	No Further Action	Yes
EA2024-0042	Alert2024-0042	Meeting with Supervisor Meeting with the Commander	No
EA2024-0043	Alert2024-0043	Training	No
EA2024-0044	Alert2024-0044	Meeting with Supervisor	No
EA2024-0045	Alert2024-0045	Supervisor Ride-Along/Work-Along	No
EA2024-0046	Alert2024-0046	No Further Action	Yes
EA2024-0047	Alert2024-0047	Meeting with Supervisor	Yes
EA2024-0048	Alert2024-0048	No Further Action	No
EA2024-0049	Alert2024-0049	Meeting with Supervisor	No
EA2024-0050	Alert2024-0050	Meeting with Supervisor	Yes
EA2024-0051	Alert2024-0051	No Further Action	Yes
EA2024-0052	Alert2024-0052	Meeting with Supervisor	Yes
EA2024-0053	Alert2024-0053	No Further Action	No
EA2024-0054	Alert2024-0054	Meeting with Supervisor	No
EA2024-0055	Alert2024-0055	No Further Action	Yes

Results:

- 100% or 16 out of 16 EIS Alerts had no deficiencies (16 ÷ 16 = 100%).
- The overall result has remained the same in compliance from the 3rd Quarter 2024 inspection.



1st Quarter 2024 Supervisory Interventions

AIU inspects EIS Alerts to assess the effectiveness of supervisory interventions in preventing similar alerts from reoccurring. The inspection analyzes IAPRO data of employees who received an EIS alert and had an approved supervisory intervention completed during a quarter and examines the subsequent six months to identify any reoccurring alerts for these employees.

Purpose

The purpose of evaluating supervisory interventions is to assess their effectiveness. Inspectors examine employees who experienced reoccurring alerts within six months after a supervisory intervention for the same threshold. For employees with reoccurring alerts, the analysis includes reviewing EIS alert types, dispositions/interventions, supervisor follow-up, changes or trends noted from previous quarterly inspections, and trends observed across units or divisions.

Analysis

In the 1st quarter of 2024, there were sixteen (16) EIS Alerts that underwent completed supervisory interventions. The chart and table below offer a detailed breakdown of these EIS Alerts by alert type and the interventions chosen by supervisors.

Figure 1. Alert Types for the 1st Quarter of 2024

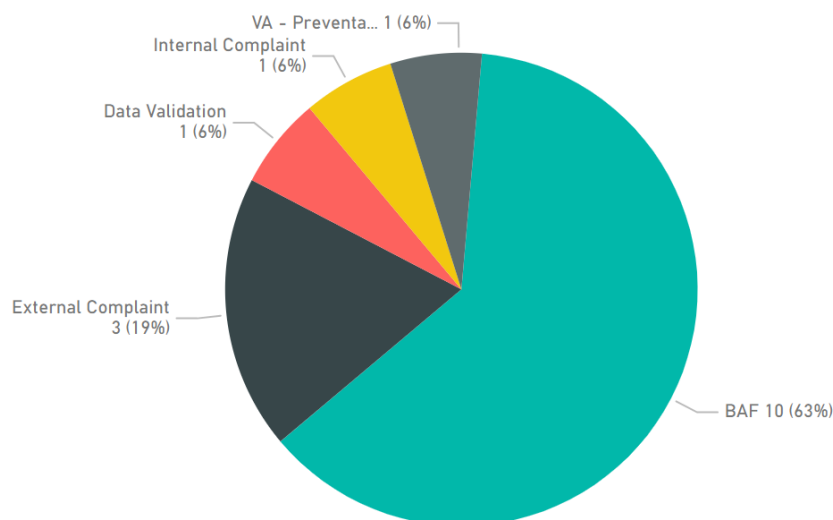


Table 1. Intervention Types by Alert for the 1st Quarter of 2024

ALERT TYPE	Meet w/ Supervisor	No Further Action	Training	Total
BAF	7	2	1	10
External Complaint	1	1	1	3
Data Validation		1		1
Internal Complaint	1			1
VA - Preventable/Undetermined	1			1
Total	10	4	2	16

During the 2nd and 3rd quarters of 2024 thirty-six (36) EIS alerts were generated and forwarded to supervisors. To investigate the occurrence of reoccurring EIS alerts for the same threshold, the list of employees triggering these alerts was compared with data from the 1st quarter of 2024. The comparison showed that thirty-five (35) out of the thirty-six (36) EIS Alerts were not identified as reoccurring alerts. However, one (1) alert was found to recur for the same thresholds.

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

Figure 2. Interventions for Reoccurring EIS Alerts

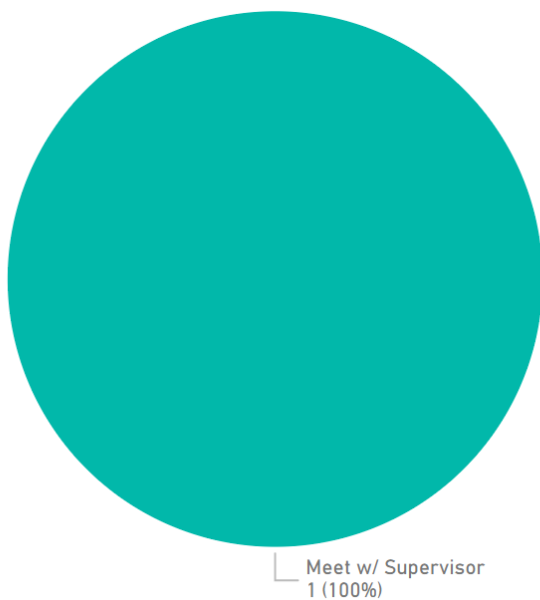


Table 2. Interventions for Reoccurring EIS Alert Type

ALERT TYPE	Meet w/ Supervisor	Total
External Complaint	1	1
Total	1	1

Results

The table below presents the initial intervention applied by supervisors for employees experiencing reoccurring alerts for the same issue(s), the type of reoccurring alert, and whether there was supervisor documentation in Blue Team.

Table 3. Recurrent Alerts with Interventions for the 1st Quarter of 2024

Original EA Alert #	Division	Initial Type of Alert	Initial Intervention	2nd EA Alert #	2nd Type of Alert	2nd Intervention	Supervisor Blue Team Documentation
EA2024-0014	District III	External Complaint (Incident)	Meeting With Supervisor	EA2024-0029	External Complaint (Incident)	Multiple Interventions	Yes
EA2024-0014	District III	External Complaint (Incident)	Meeting With Supervisor	EA2024-0045	External Complaint (Incident)	Sup Ride/Workalong	Yes

During the review period, there was one (1) reoccurring alert that caused: two (2) more related to "External Complaints" alerts. This reoccurring alert had different initial, second, and third interventions. However, all the reoccurring alerts were incident alerts for the employees involved. Supervisors used "Meeting with Supervisor" as an initial intervention; "Multiple Interventions" was used for the second intervention, while "Sup Ride/Work along" was selected for the third alert. It should be noted that the intervention was escalated for the reoccurring alert.

An additional analysis was conducted to determine if any interventions or follow-ups were documented by supervisors in the EIS Supervisor Notes for the employees involved. While not mandatory, EIS Supervisor Notes documentation helps track progress or issues between interventions. The results are detailed in Table 3 above, titled "Supervisor Blue Team Documentation." A "Yes" in this column indicates that a supervisor note was logged for the employee following an intervention, with information related to the EIS Alert. In this quarter, one of the two affected employees had Supervisor Notes entered, indicating a review of the EIS Alert and ongoing monitoring or investigation related to the alerts.

A further review was conducted on the reoccurring alerts for the same threshold. The Alert Review Group examines all finalized EIS Alerts and returns alerts to supervisors if the justification for a chosen intervention is deemed insufficient. The following provides a summary of the reoccurring alerts identified this quarter:

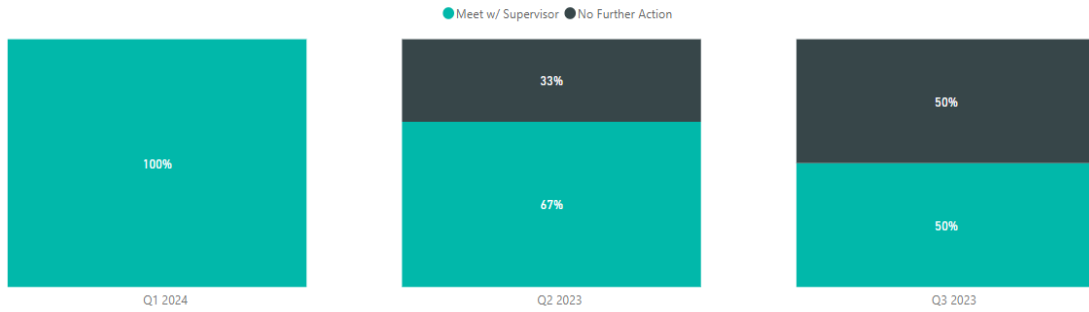
The first alert (EA2024-0014) pertained to three (3) External Complaints within 6 months and was closed with a "Meeting with Supervisor" intervention. Subsequently, the employee received a second alert (EA2024-0029) for 4 External Complaints within the reviewed timeframe, with one of the External Complaints overlapping with the first alert and three new ones, which was closed with a "Multiple Interventions". The Attachment B response for EA2024-0029 showed that the supervisor acknowledged the alert and discussed the External Complaints with the employee, resulting in a "Meeting with Supervisor". This was followed by the District's Commander meeting reviewing information provided by the supervisor with different perspectives and suggesting training. Hence, "Meeting with the Commander" and "Training" were also identified as an escalated intervention. The third alert (EA2024-0045) was triggered by 4 other External Complaints within the same timeframe. Of the four complaints two overlapped with the second alert and two were new. The EIU alert review group evaluated the completed Attachment B and endorsed the "Supervisor Ride/Work along" intervention. Employee's command took proactive steps to ensure the employee had multiple perspectives and opportunities to practice different techniques while communicating with the public.

Overall, during the 1st quarter of 2024, interventions for EIS Alerts showed a success rate of 93.75 percent (15/16), with no reoccurring alerts for the same threshold within the subsequent 6-month period. This marks a slight reduction from the previous quarterly review, where 100 percent (21/21) of interventions were successful.

Trends

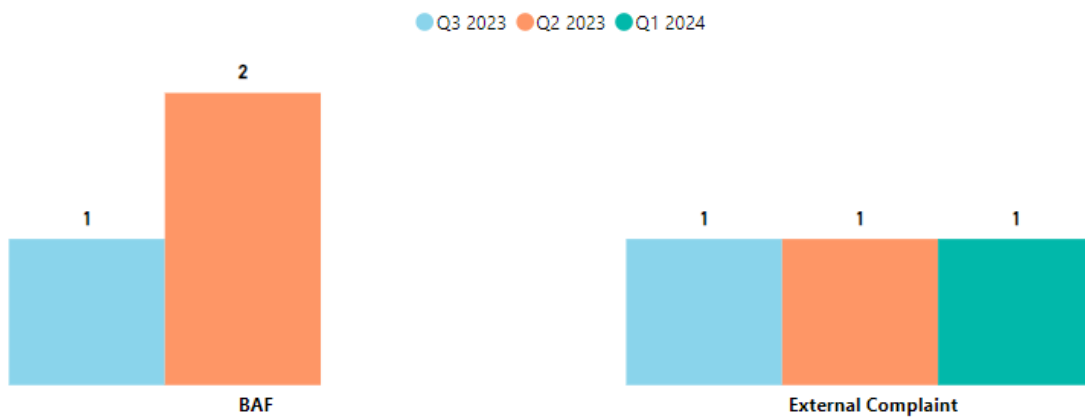
Comparing data for completed interventions resulting in reoccurring alerts for the last three quarters of 2023 and the first quarter of 2024 revealed that "Meeting with Supervisor" (60.00%) was the most utilized, followed by "No Further Action" (40.00%) as interventions by supervisors. Further comparison showed that during the 2nd and 3rd quarters of 2023 the same level of usage of "No Further Action" was chosen for EIS Alert interventions. Comparing the reoccurring EIS alert data for the 1st quarter of 2024 and the last three quarters of 2023 showed "BAF" (50.00%) and "External Complaints" (50.00%) were the most reoccurring alerts, while the "Internal Complaints" and "V-Preventable/Undetermined" did not reoccur during these quarters. It should be noted, the 4th quarter of 2023 had no reoccurring alerts.

Figure 3. Percentage Reoccurring Alert Intervention by Quarters



Comparing the reasons behind reoccurring alerts for interventions completed in the 1st quarter of 2024 and the last three quarters of 2023 showed that occurrences of "External Complaints" remained consistent during the 2nd and 3rd quarters of 2023 and dropped in the 4th quarter of 2023, then reoccurred again in the 1st quarter of 2024. The recurrence of BAFs' alerts experienced a consistent decrease between the 2nd and 3rd quarters of 2023, without any alerts in the 4th quarter of 2023 and the 1st quarter of 2024. It is important to note that percentages can vary significantly between quarters due to fluctuations in the overall number of reoccurring alerts. Figure 4 below provides an overview of the thresholds that initially triggered alerts in the 1st quarter of 2024, subsequently resulting in at least a second EIS alert.

Figure 4. Reoccurring Alert Types by Quarter



Conclusion and Recommendations

Overall, the analysis conducted during this review revealed an increase in the frequency of reoccurring alerts and a success rate of 93.75% for interventions. AIU observed that the only reoccurring alert was not closed with the same intervention as the initial one. Instead, the reoccurring alert received a higher level of intervention for the second and third occurrences. AIU further noted that supervisors opted for escalated interventions when there were reoccurring alerts for the same threshold. Therefore, AIU recommends that supervisors continue to explore alternative or elevated interventions when employees have a second alert for the same threshold.

Action Required:

With the resulting 100% compliance for Inspection BI2024-0184, a total of 0 BIO Action Forms are required.

Notes:

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

Date Inspection Started:	October 26 th , 2024
Date Completed:	January 15 th , 2025
Timeframe Inspected:	October, November, and December 2024
Assigned Inspector:	Sr. Internal Auditor Kateryna A. Ellis B4299

I have reviewed this inspection report.

Lt Andrew Rankin S1839

01/21/2025

Lieutenant A. Rankin S1839
Commander, Audits & Inspections Unit
Bureau of Internal Oversight

Date