

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



**2nd Quarter of 2024 EIS Alert Inspection**  
Inspection # BI2024-0093

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 2024; there was a total of 25 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 25 EIS Alerts completed/closed during the 2nd 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	21	25	84.00%
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%
<b>Compliance for EIS Alerts completed/Closed during 2nd Quarter of 2024</b>	<b>1</b>	<b>24</b>	<b>25</b>	<b>96.00%</b>

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

<b>EA Number</b>	<b>Alert Number</b>	<b>Interventions Initiated by Command</b>	<b>Administrative Investigation in Progress</b>
EA2023-0150	Alert2023-0143	No Further Action	Yes
EA2023-0164	Alert2023-0157	Meeting with Supervisor	Yes
EA2023-0176	Alert2023-0170	No Further Action	Yes
EA2023-0177	Alert2023-0171	No Further Action	Yes
EA2024-0003	Alert2024-0003	Training	No
EA2024-0012	Alert2024-0012	Meeting with Supervisor	Yes
EA2024-0014	Alert2024-0014	Meeting with Supervisor	Yes
EA2024-0015	Alert2024-0015	No Further Action	No
EA2023-0132	Alert2023-0125	Training	Yes
EA2024-0013	Alert2024-0013	No Further Action	Yes
EA2024-0016	Alert2024-0016	Meeting with Supervisor	No
EA2024-0018	Alert2024-0018	No Further Action	Yes
EA2024-0019	Alert2024-0019	No Further Action	No
EA2024-0020	Alert2024-0020	No Further Action	No
EA2024-0021	Alert2024-0021	Meeting with Supervisor	No
EA2024-0022	Alert2024-0022	Meeting with Supervisor	No
EA2024-0023	Alert2024-0023	Meeting with Supervisor	No
EA2024-0024	Alert2024-0024	Meeting with Supervisor	No
EA2023-0138	Alert2023-0131	No Further Action	Yes
EA2024-0017	Alert2024-0017	No Further Action	Yes
EA2024-0025	Alert2024-0025	Meeting with Supervisor	Yes

EA2024-0026	Alert2024-0026	Meeting with Supervisor	No
EA2024-0027	Alert2024-0027	No Further Action	No
EA2024-0028	Alert2024-0028	Meeting with Supervisor	Yes
EA2024-0030	Alert2024-0030	No Further Action	Yes

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

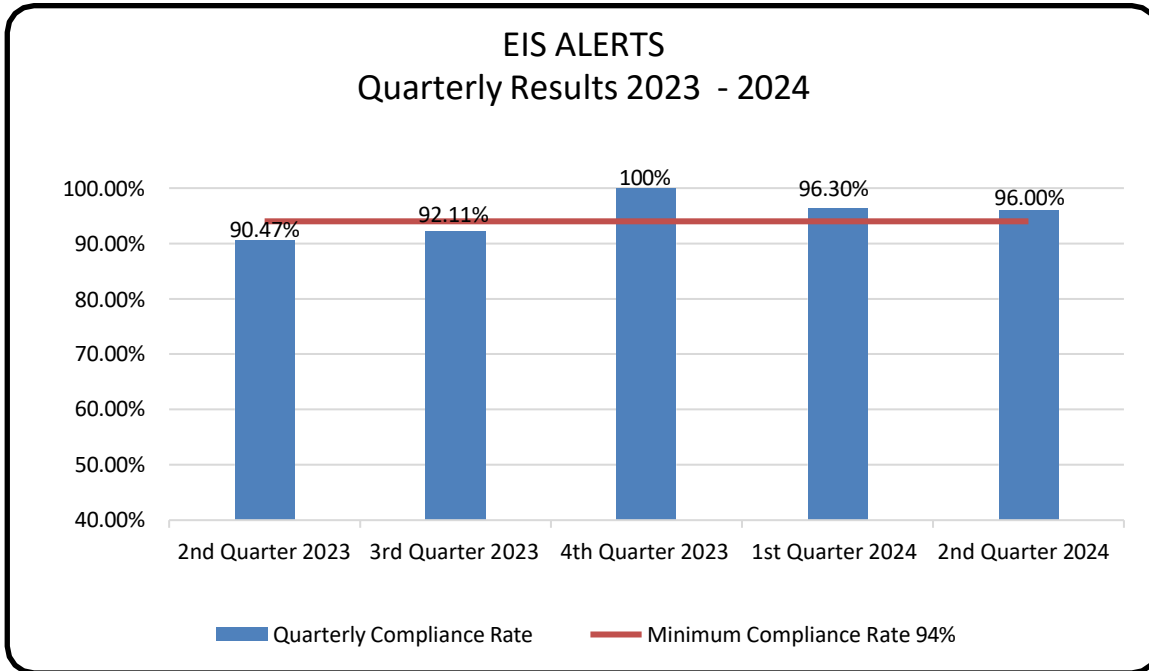
### 4<sup>th</sup> Ave Jail (1 BIO Action Form):

#### Compliance Deficiency

District/Division	EA Number	Alert Number	Due Date	Responsible Employee	Current Supervisor
4th Ave Jail	EA2023-0138	Alert2023-0131	9/24/2023	Detn Off Sergeant	Detn Off Lieutenant
Deficiency					
1. The EIS Alert was not returned to EIU before the modified due date. (GH-5.5 Q)					
A. Sergeant forwarded the alert through her chain of command two days before it was due at EIU.					
Note: EIS alert was not received by EIU by the approved extension date.					

**Results:**

- 96.00% or 24 out of 25 EIS Alerts had no deficiencies ( $24 \div 25 = 96.00\%$ ).
- The overall result is a .30% decrease in compliance from the 1st Quarter 2024 inspection.



## 3<sup>rd</sup> Quarter 2023 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.

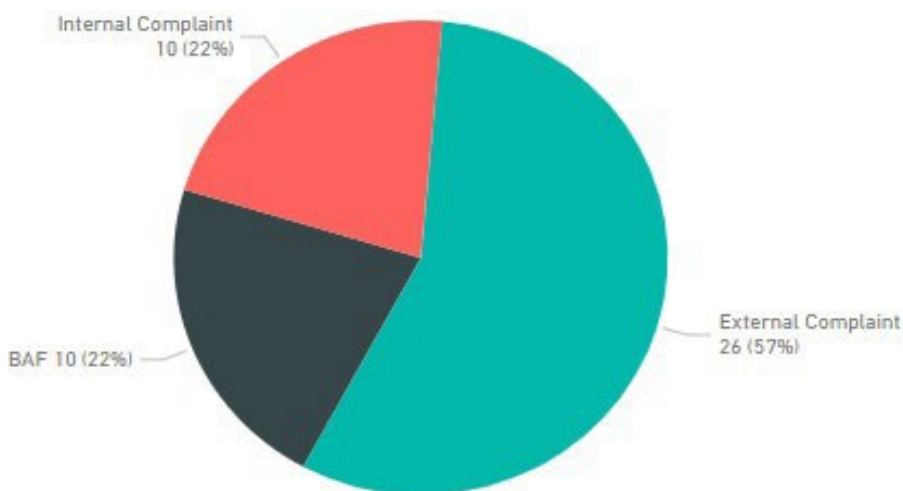
### Purpose

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 3<sup>rd</sup> quarter of 2023, there were forty-six (46) 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 3<sup>rd</sup> Quarter of 2023**



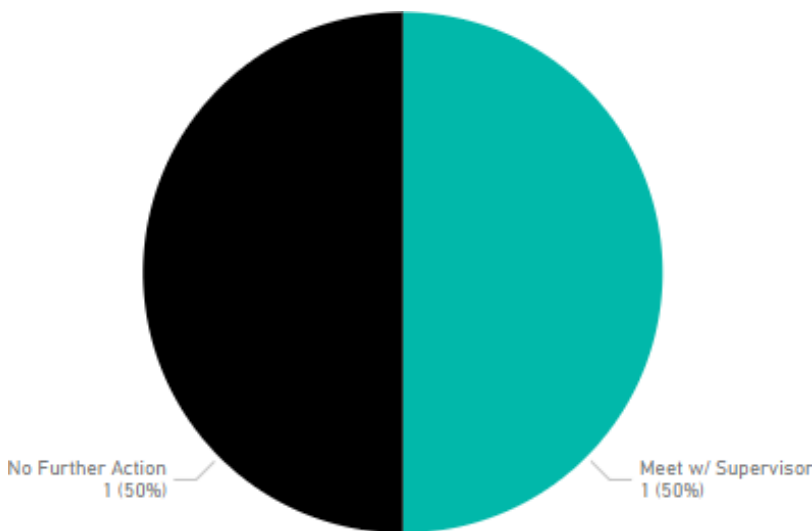
**Table 1. Intervention Types by Alert for the 3<sup>rd</sup> Quarter of 2023**

ALERT TYPE	Squad Briefing	Employee Services	Meet w/ Supervisor	No Further Action	Training	Total
External Complaint	1	1	14	9	1	26
BAF			7	3		10
Internal Complaint			7	3		10
<b>Total</b>	<b>1</b>	<b>1</b>	<b>28</b>	<b>15</b>	<b>1</b>	<b>46</b>

During the 4<sup>th</sup> quarter of 2023 and the 1<sup>st</sup> quarter of 2024, twenty-eight (28) 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 3<sup>rd</sup> quarter of 2023. The comparison showed that twenty-six (26) out of the twenty-eight (28) EIS Alerts were not identified as reoccurring alerts. However, two (2) alerts were 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	No Further Action	Total
BAF	1		1
External Complaint		1	1
<b>Total</b>	<b>1</b>	<b>1</b>	<b>2</b>

## 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 3<sup>rd</sup> Quarter of 2023**

Original EA Alert #	Division	Initial Type of Alert	Initial Intervention	2nd EA Alert #	2nd Type of Alert	2nd Intervention	Supervisor Blue Team Documentation
EA2023-0129	District II	BAF (Incident)	Meeting With Supervisor	EA2023-0175	BAF (Incident)	Meeting With Commander	Yes
EA2023-0156	District III	External Complaint (Incident)	No Further Action	EA2023-0186	External Complaint (Incident)	Meeting With Supervisor	Yes

During the review period, there were two (2) reoccurring alerts: one (1) related to “External Complaints” and the other (1) to the “BIO Action Form” (BAF). Neither of these reoccurring alerts had corresponding initial and second interventions. However, all reoccurring alerts were incident alerts for the employees involved. Supervisors used "Meeting with the Supervisor" alerts and "No Further Action" as an initial intervention for the other reoccurring alerts. It should be noted that the intervention was escalated for both reoccurring alerts.

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, all 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 (EA2023-0129) pertained to seven (7) BAFs within twelve months and was resolved with a "Meeting with Supervisor" intervention. Subsequently, the employee received a second alert (EA2023-0175) for 7 BAFs within the same timeframe, with four of the BAFs overlapping with the first alert and three new ones. In the response provided in Attachment B for EA2023-0175, the supervisor acknowledged the alert and discussed the BAFs in question with the employee, resulting in a meeting with the division commander as an escalated intervention. The EIU alert review group reviewed the completed Attachment B and endorsed the "Meeting with Commander" intervention.

The second alert (EA2023-0156) was triggered by two (2) External Complaints within 6 months and was closed with a "No Further Action" intervention. Initially, the supervisor opted for a combination of "No Further Action" along with an informal meeting with the employee. The subsequent reoccurring alert (EA2023-0186) concluded with a "Meeting with Supervisor" intervention. Here, the supervisor did not observe a consistent pattern among the external complaint allegations that prompted the second alert, hence a "Meeting with Supervisor" intervention followed an informal meeting with the employee.

Overall, during the 3rd quarter of 2023, interventions for EIS Alerts showed a success rate of 95.65 percent (44/46), with no reoccurring alerts for the same threshold within the subsequent 6-month period. This marks an improvement from the previous quarterly review, where 92.16 percent (47/51) of interventions were successful.

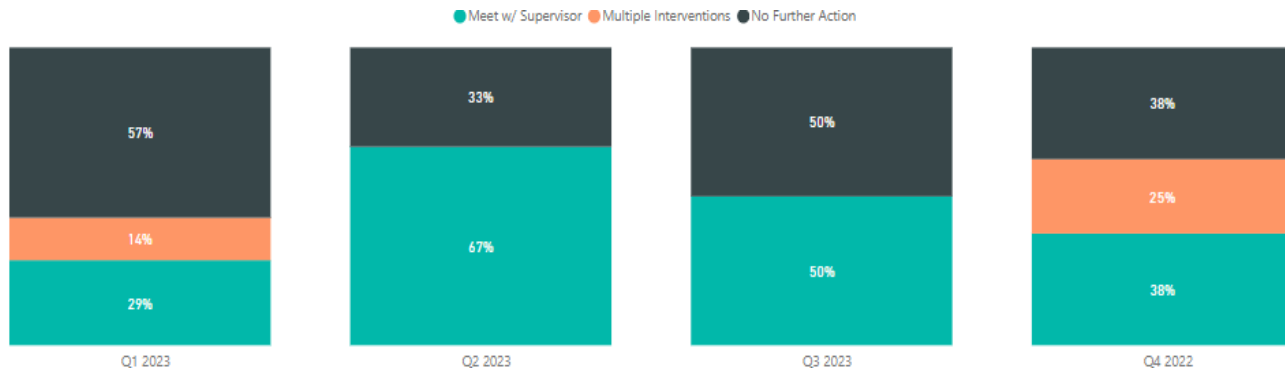
## Trends

Comparing data for completed interventions resulting in reoccurring alerts for the last quarter of 2022 and the first three quarters of 2023 revealed that "No Further Action" (44.44%) was the most utilized, followed by "Meeting with Supervisor" (40.74%), and "Multiple Interventions" (14.81%). Further comparison showed that the 3rd quarter of 2022 and 3rd 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 4th quarter of 2022 and the first three quarters of 2023 showed "External Complaints" (62.96%) as the most reoccurring alert, followed by "BAF" (37.04%) and "Internal Complaint" did not reoccur during these quarters. However, the 3rd quarter of 2023 had the lowest reoccurring alerts.

The use of the "No Further Action" intervention remained unchanged at 0.00% between the 2nd and 3rd quarter of 2023. It could be due to the drop in reoccurring alerts during the 3rd 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 unchanged use of "No Further Action" interventions. There was a considerable decrease in the use of "Meeting with Supervisor" between the 2nd and 3rd quarters of 2023 (200.00%). On the other hand, the

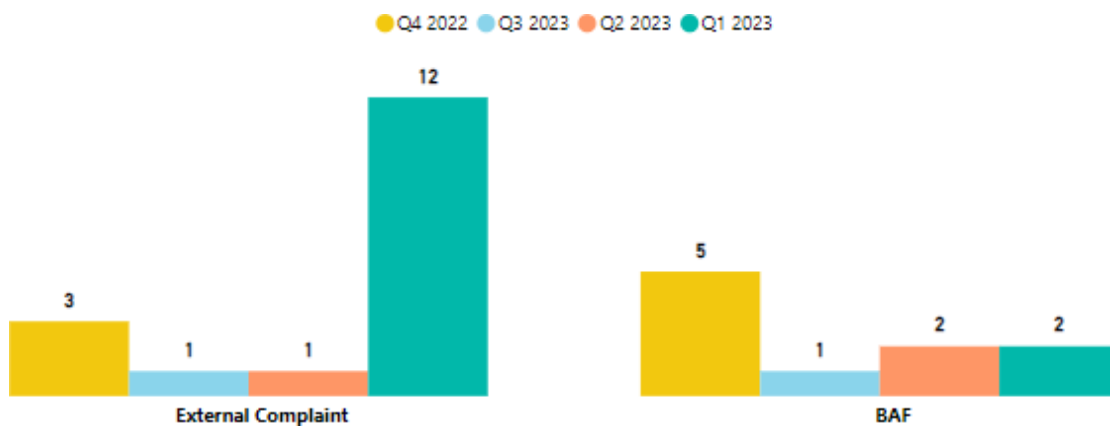
“Multiple Interventions” was not a utilized intervention option in the 3rd quarter of 2023. However, “Meeting with Supervisor” and “No Further Action” were equally utilized interventions for the alerts.

**Figure 3. Percentage Reoccurring Alert Intervention by Quarters**



Comparing the reasons behind reoccurring alerts for interventions completed in the last quarter of 2022 and the first three quarters of 2023 showed that occurrences of "External Complaints" dropped in the 2nd quarter of 2023 compared to the 1st quarter and remained steady in the 3rd quarter. The 1st quarter of 2023 saw a notable increase in reoccurring alerts related to "External Complaints." The recurrence of BAFs' alerts was consistent between the 1st and 2nd quarters but decreased sharply in the 3rd quarter of 2023. 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 3rd quarter of 2023, 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 a decline in the frequency of reoccurring alerts and a success rate of 95.65% for interventions. AIU observed that neither of the two reoccurring alerts was closed with the same intervention as the initial one. Instead, both reoccurring alerts received a higher level of intervention for the second occurrence. AIU further noted that supervisors are opting for escalated interventions when there are reoccurring alerts for the same threshold.

**Action Required:**

With the resulting 96.00% compliance for Inspection BI2024-0093, a total of 1 BIO Action Form is required.

**Notes:**

All supporting documentation is included in the inspection file number *BI2024-0093* and contained within IA Pro.

Date Inspection Started: April 13, 2024  
Date Completed: July 24, 2024  
Timeframe Inspected: April, May & June 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

8/23/2024  
Date