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

3rd Quarter of 2024 EIS Alert Inspection
Inspection # BI2024-0137

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 July, August and September was utilized. For the 3rd quarter of 2024, there was a total of 10 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 10 EIS Alerts completed/closed during the 3rd quarter of 2024:
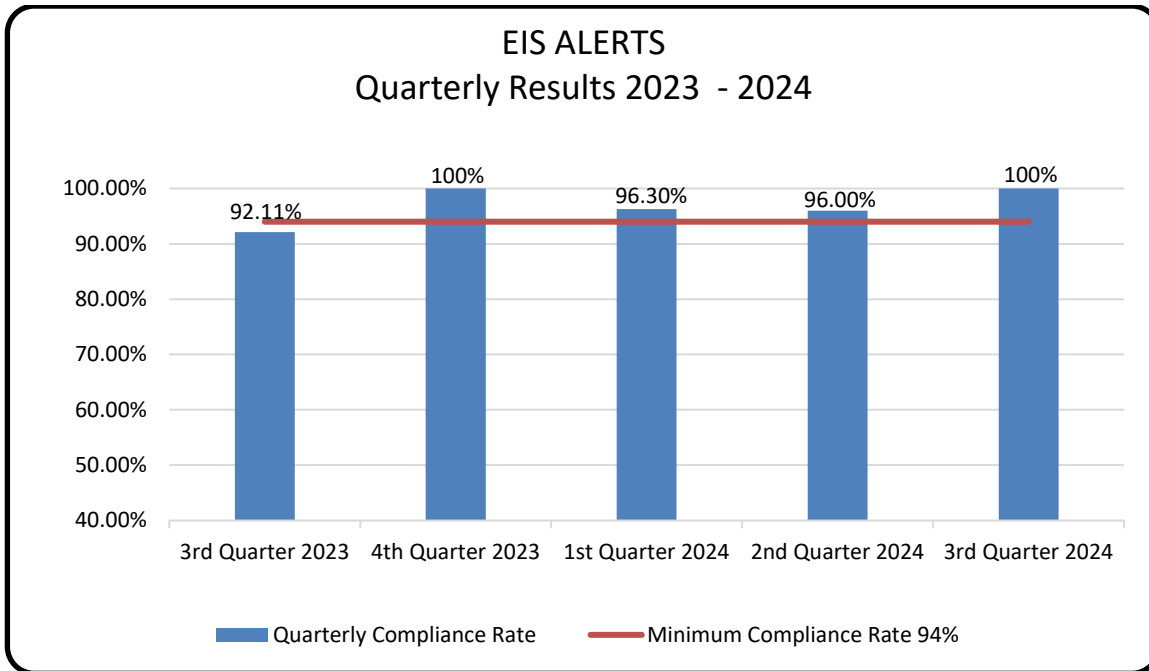
Inspection Element	Not In Compliance	In Compliance	Total Inspected	Compliance Rate
Alert addressed, closed, and returned to EIU within 30 calendar days as required by policy	1	9	10	90.00%
For Alerts not completed within 30 days, determine if an extension was requested by the assigned division and if the extension request was granted by EIU	0	1	1	100.00%
If an extension was granted, the Alert was completed and submitted within 30 days of new due date	0	1	1	100.00%
Compliance for EIS Alerts completed/Closed during 3rd Quarter of 2024	0	10	10	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
EA2024-0031	Alert2024-0031	No Further Action	No
EA2024-0032	Alert2024-0032	Squad Briefing	No
EA2024-0033	Alert2024-0033	Meeting with Supervisor	No
EA2024-0034	Alert2024-0034	Meeting with Supervisor	No
EA2024-0035	Alert2024-0035	Supervisory Evaluation Period (30, 60, or 90 day period)	No
EA2024-0029	Alert2024-0029	Meeting with Supervisor	Yes
EA2024-0036	Alert2024-0036	Referral to Professional Standards Bureau	Yes
EA2024-0037	Alert2024-0037	Referral to Professional Standards Bureau	Yes
EA2024-0038	Alert2024-0038	Meeting with Supervisor	Yes
EA2024-0039	Alert2024-0039	No Further Action	No

Results:

- ➢ 100.00% or 10 out of 10 EIS Alerts had no deficiencies (10 ÷ 10 = 100.00%).
- ➢ The overall result is a 4.00% increase in compliance from the 2nd Quarter 2024 inspection.

EIS ALERTS
Quarterly Results 2023 - 2024

	3rd Quarter 2023	4th Quarter 2023	1st Quarter 2024	2nd Quarter 2024	3rd Quarter 2024
Quarterly Compliance Rate	92.11%	100%	96.30%	96.00%	100%

Legend: Quarterly Compliance Rate | Minimum Compliance Rate 94%

4th 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.
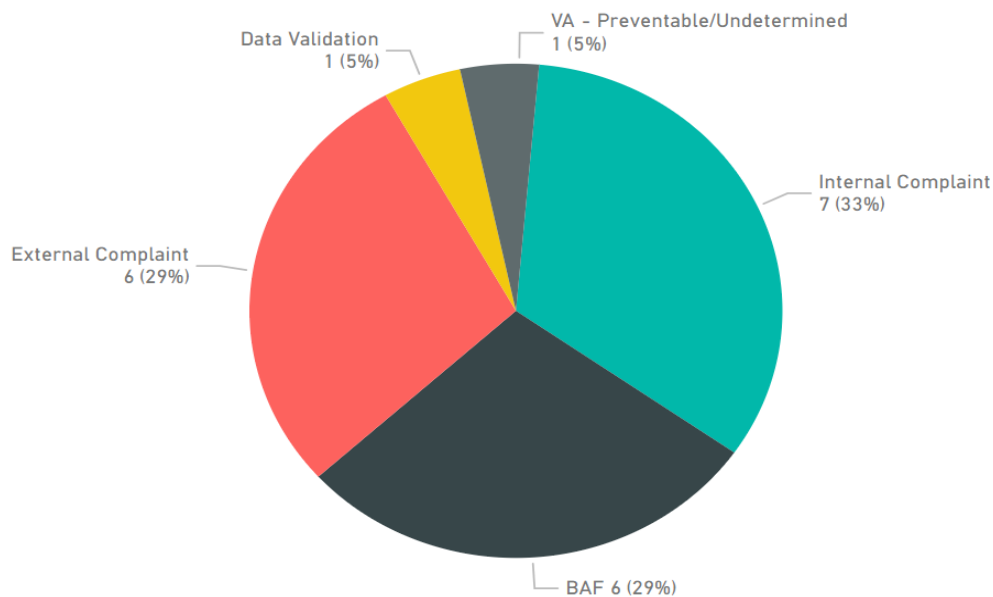
Purpose

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 divisions.

Analysis

In the 4th quarter of 2023, twenty-one (21) EIS Alerts 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 4th Quarter of 2023

Table 1. Intervention Types by Alert for the 3rd Quarter of 2023

ALERT TYPE	Multiple Interv.	Squad Briefing	Meet w/ Commander	Meet w/ Supervisor	No Further Action	Referral to PSB	Total
Internal Complaint				2	4	1	7
BAF		1	1	2	2		6
External Complaint				5	1		6
Data Validation				1			1
VA - Preventable/Undetermined	1						1
Total	1	1	1	10	7	1	21

During the 1st and 2nd quarters of 2024, thirty-five (35) 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 4th quarter of 2023. The comparison showed that Thirty-four (34) out of the thirty-five (35) EIS Alerts were not identified as reoccurring alerts. However, one (1) alert was found to recur for a different threshold.

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 2. Recurrent Alerts with Interventions for the 4th 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
EA2023-0074	District II	External Complaint (Incident)	No Further Action	EA2024-0023	VA - Preventable/ Undetermined (Allegation)	Meeting With Supervisor	No

During the review period, there was no reoccurring alert. The alert shown in Table 2 above is an alert that occurred in a new threshold. The initial alert was an incident-type alert for External Complaints, while the second alert, which occurred within six months of the first alert, was an allegation-type one. Although not mandatory, follow-ups were not documented in the EIS Supervisor Notes for the involved employee.
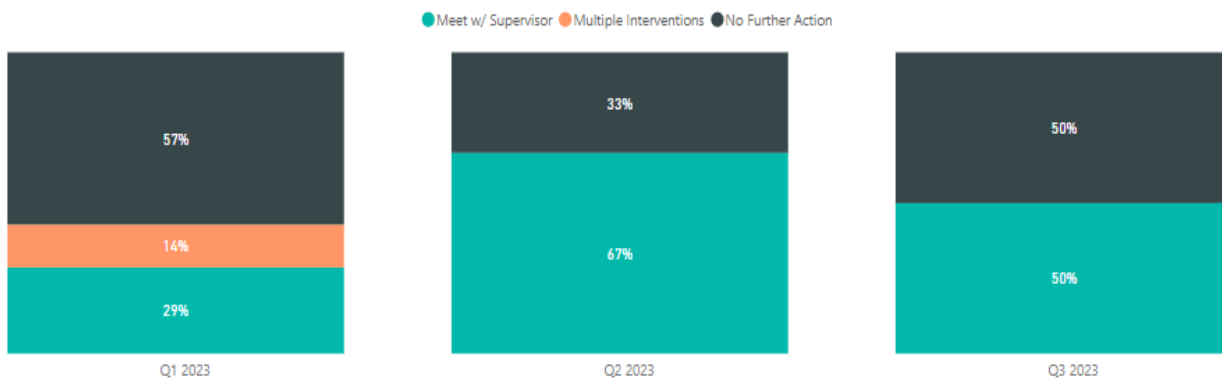
Overall, during the 4th quarter of 2023, interventions for EIS Alerts showed a success rate of 100.00 percent (21/21), with no reoccurring alerts for the same threshold within the subsequent 6-month period. This marks an improvement from the previous quarterly review, where 95.65 percent (47/51) of interventions were successful.

Trends

Comparing data for completed interventions resulting in reoccurring alerts for all four quarters of 2023 revealed that "No Further Action" (47.37%) was the most utilized, followed by "Meeting with Supervisor" (42.11%), and "Multiple Interventions" (10.53%). Further comparison showed that the 2nd and 3rd quarters of 2023 had the same usage level of "No Further Action" for EIS Alert interventions. Comparing the reoccurring EIS alert data for all four quarters of 2023 showed "External Complaints" (73.68%) as the most reoccurring alert, followed by "BAF" (26.32%) and "Internal Complaint" did not reoccur during these quarters. However, the 3rd quarter of 2023 had the lowest reoccurring alerts with no reoccurring alerts during the 4th quarter of 2023.
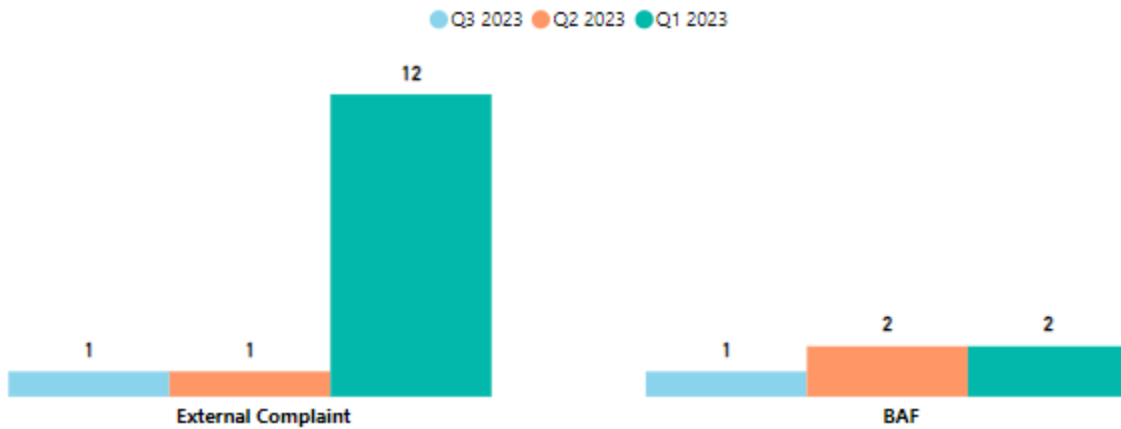
The "No Further Action" and "Meeting with the Supervisor" interventions were reduced by 100.00% between the 3rd and 4th quarters of 2023. It could be due to the absence of reoccurring alerts during the 4th quarter of 2023. The intervention, "No Further Action," is routinely used in response to internal/external complaints.

Figure 2. Percentage Reoccurring Alert Intervention by Quarters

Comparing the reasons behind reoccurring alerts for interventions completed in all four quarters of 2023 showed that "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 number of reoccurring alerts. Figure 3 below provides an overview of the thresholds that initially triggered alerts in the first three quarters of 2023, resulting in at least a second EIS alert. Note that there was no reoccurring alert in the 4th quarter of 2023.

Figure 3. 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 100.00% for interventions. AIU observed that there were no reoccurring alerts in the 4th quarter of 2023. AIU further noted that supervisors are opting for escalated interventions when there are reoccurring alerts for the same threshold.

Action Required:

With the resulting 100.00% compliance for Inspection BI2024-0137, a total of 0 BIO Action Forms are required.

Notes:

All supporting documentation is included in the inspection file number *BI2024-0137* and contained within IA Pro.

Date Inspection Started: September 9, 2024

Date Completed: October 15, 2024

Timeframe Inspected: July, August & September 2024

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

I have reviewed this inspection report.

Capt. Dominick Reaulo   __10/22/2024__

Captain D. Reaulo S1678   Date
Division Commander
Bureau of Internal Oversight