

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



4th Quarter of 2023 EIS Alert Inspection
Inspection # BI2023-0192

The Bureau of Internal Oversight (BIO), Audits and Inspections Unit (AIU) will conduct inspections of the Early Identification System (EIS) Alerts quarterly. 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 2023; there was a total of 18 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 18 EIS Alerts completed/closed during the 4th quarter of 2023:

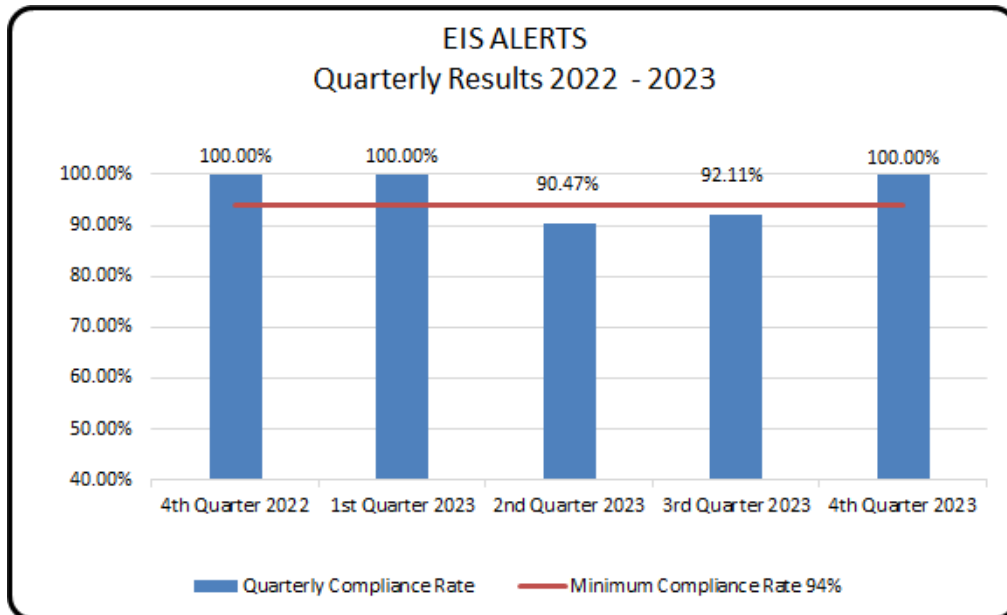
Inspection Element	Not In Compliance	In Compliance	Total Inspected	Compliance Rate
Alert addressed, closed, and returned to EIU within 30 calendar days as required by policy	4	14	18	77.78%
For Alerts not completed within 30 days, determine if an extension was requested by the assigned division and if 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 the new due date	0	4	4	100.00%
Compliance for EIS Alerts completed/Closed during the 4th quarter of 2023	0	18	18	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
EA2023-0143	Alert 2023-0136	Meeting with Supervisor	Yes
EA2023-0160	Alert 2023-0153	No Further Action	Yes
EA2023-0168	Alert 2023-0161	Meeting with Supervisor	Yes
EA2023-0127	Alert 2023-0120	No Further Action	Yes
EA2023-0144	Alert 2023-0137	Meeting with Supervisor	Yes
EA2023-0146	Alert 2023-0139	Meeting with Supervisor	Yes
EA2023-0147	Alert 2023-0140	Meeting with Supervisor	Yes
EA2023-0149	Alert 2023-0142	Meeting with Supervisor	Yes
EA2023-0152	Alert 2023-0145	Referral to PSB	Yes
EA2023-0161	Alert 2023-0154	Meeting with Supervisor	Yes
EA2023-0162	Alert 2023-0155	Meeting with Supervisor	Yes
EA2023-0165	Alert 2023-0158	Meeting with Supervisor	No
EA2023-0166	Alert 2023-0159	Meeting with Supervisor	Yes
EA2023-0167	Alert 2023-0160	Meeting with Supervisor	Yes
EA2023-0169	Alert 2023-0162	Meeting with Supervisor	Yes
EA2023-0170	Alert2023-0163	No Further Action	No
EA2023-0175	Alert 2023-0169	Meeting with the Commander	No
EA2023-0180	Alert 2023-0174	Meeting with Supervisor	Yes

Results:

- 100.00% or 18 out of 18 EIS Alerts had no deficiencies ($18 \div 18 = 100.00\%$).
- The overall result is a 7.89% increase in compliance from the 3rd quarter 2023 inspection.

**Action Required:**

With the resulting 100.00% compliance for Inspection BI2023-0192, a total of 0 BIO Action Forms are required.

1st Quarter 2023 Supervisory Interventions

EIS Alerts were inspected to determine if supervisory interventions were successful in preventing reoccurring alerts of a similar nature. 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/trends observed from previous quarterly inspections, and trends observed within units or divisions.

Analysis

For the 1st quarter of 2023, there were seventy-five (75) 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 1st Quarter of 2023

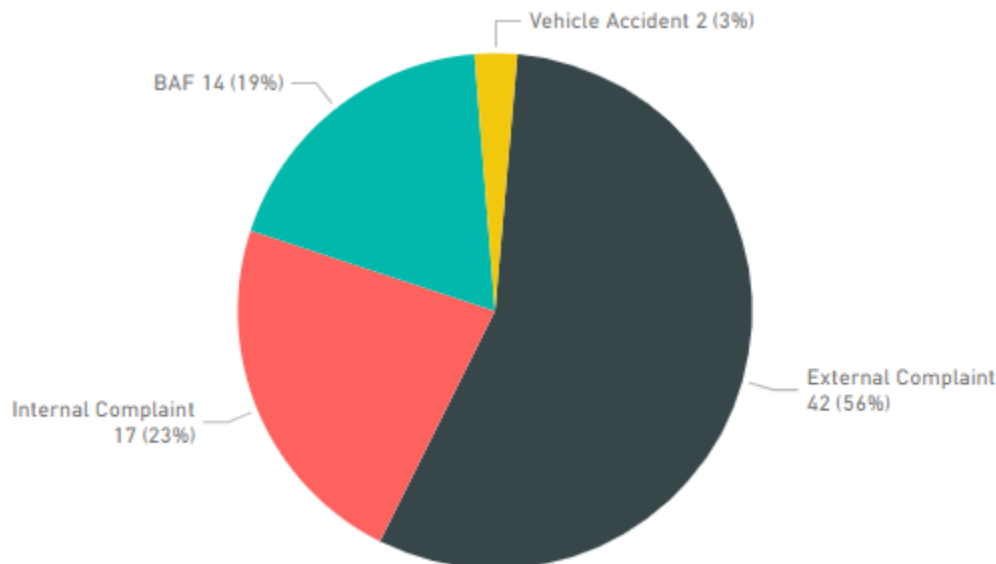


Table 1. Intervention Types by Alert for 1st Quarter of 2023

ALERT TYPE	Meet w/ Supervisor	Multiple Interventions	No Further Action	Referral to PSB	Sup Eval Period	Sup Ride/Workalong	Total
External Complaint	15	2	24			1	42
Internal Complaint	5	1	8	2	1		17
BAF	8	1	5				14
Vehicle Accident		1	1				2
Total	28	5	38	2	1	1	75

During the 2nd and the 3rd quarters of 2023, eighty-nine (89) EIS alerts occurred and were sent to supervisors. To investigate if there were any reoccurring EIS alerts for the same threshold, the list of employees who triggered the alerts was compared to data from the 1st quarter of 2023. Out of the eighty-nine (89) EIS Alerts, seventy-five (75) were not identified as reoccurring alerts. However, fourteen (14) reoccurring alerts were found to be reoccurring for the same thresholds, while seven (7) incidents where an employee triggered an alert were for different thresholds.

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

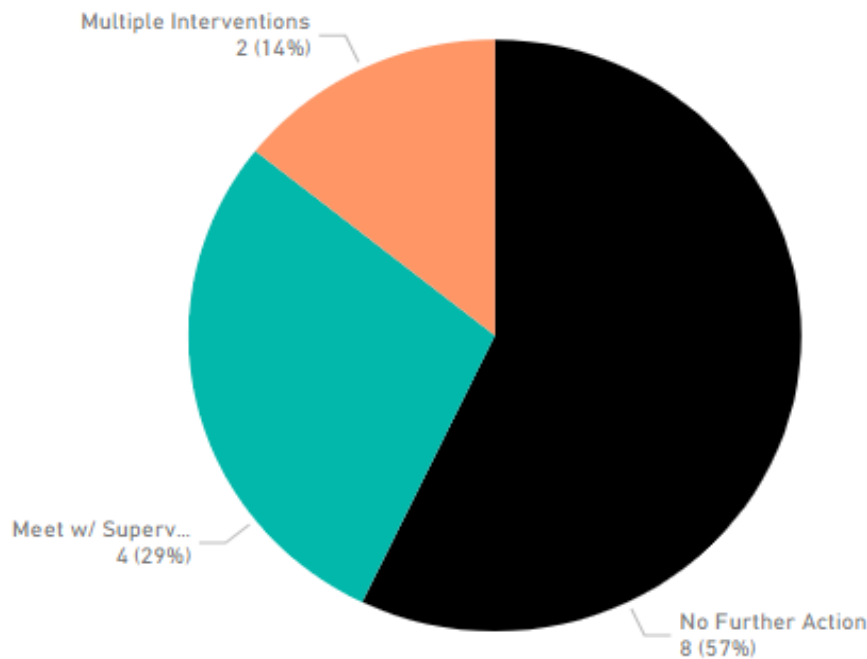


Table 2. Interventions for Reoccurring EIS Alert Type

ALERT TYPE	Meet w/ Supervisor	Multiple Interventions	No Further Action	Total
External Complaint	3	2	7	12
BAF	1		1	2
Total	4	2	8	14

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 documented with 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 1st Quarter of 2023

Original EA Alert #	Divisions	Initial Type of Alert	Initial Intervention	2nd Type of Alert	2nd Intervention	Supervisor Blue Team Documentation
EA2022-0109	District II	External Complaint (Incident)	No Further Action	External Complaint (Incident)	Meeting With Supervisor	No
EA2022-0142	District III	External Complaint (Incident)	Multiple Intervention	External Complaint (Incident)	Meeting With Supervisor	No
EA2023-0009	District III	External Complaint (Incident)	No Further Action	External Complaint (Incident)	Meeting With Supervisor	No
EA2023-0014	District III	External Complaint (Incident)	Meeting With Supervisor	External Complaint (Incident)	No Further Action	Yes
EA2023-0017	District I	External Complaint (Incident)	Multiple Intervention	External Complaint (Incident)	Meeting With Supervisor	Yes
EA2023-0019	District VII	BAF (Incident)	No Further Action	BAF (Incident)	Multiple Intervention	Yes
EA2023-0024	District II	External Complaint (Supervisor Alert)	No Further Action	External Complaint (Supervisor Alert)	No Further Action	Yes
EA2023-0025	District II	External Complaint (Supervisor Alert)	No Further Action	External Complaint (Incident)	No Further Action	Yes

EA2023-0028	District II	External Complaint (Incident)	No Further Action	External Complaint (Incident)	Meeting With Supervisor	No
EA2023-0060	District VII	BAF (Incident)	Meeting With Supervisor	BAF (Incident)	Meeting With Supervisor	Yes
EA2023-0061	District III	External Complaint (Supervisor Alert)	No Further Action	External Complaint (Supervisor Alert)	No Further Action	Yes
EA2023-0064	District I	External Complaint (Incident)	No Further Action	External Complaint (Supervisor Alert)	No Further Action	Yes
EA2023-0070	District III	External Complaint (Incident)	Meeting With Supervisor	External Complaint (Incident)	Meeting With Supervisor	No
EA2023-0061**	District III	External Complaint (Supervisor Alert)	No Further Action	External Complaint (Supervisor Alert)	Meeting With Supervisor	Yes
EA2023-0007	District III	BAF (Incident)	Meeting With Supervisor	External Complaint (Supervisor Alert)	Meeting With Supervisor	Yes
EA2023-0008	District III	BAF (Incident)	No Further Action	External Complaint (Incident)	Entered into EIS	Yes
EA2023-0011	District IV	External Complaint (Incident)	No Further Action	BAF (Incident)	Multiple Intervention	No
EA2023-0023	District II	BAF (Incident)	Meeting With Supervisor	External Complaint (Supervisor Alert)	No Further Action	Yes
EA2023-0029	District II	External Complaint (Incident)	Supervisor Ride along	BAF (Incident)	Meeting With Supervisor	No
EA2023-0041	Estrella Jail	External Complaint (Incident)	Meeting With Supervisor	External Complaint (Incident)	Meeting With Supervisor	Yes
EA2023-0057	District V (Lakes)	External Complaint (Incident)	No Further Action	BAF (Incident)	Meeting With Supervisor	No
EA2023-0058	District I	External Complaint (Incident)	Meeting With Supervisor	BAF (Incident)	Meeting With Supervisor	Yes
EA2023-0025*	District II	External Complaint (Supervisor Alert)	No Further Action	BAF (Incident)	Meeting With Supervisor	Yes

* EA2023-0025 appears in the table twice due to having a reoccurring alert for the same threshold and an additional alert for a different threshold in the 2nd and 3rd quarters of 2023.

** EA2023-0061 appeared twice in the table due to having another alert for the same threshold in the 2nd and 3rd quarters of 2023.

As for the 14 reoccurring alerts in this review period, 12 were for External Complaints and 2 for BIO Action Forms. The two BIO Action Forms (BAFs) have corresponding initial and 2nd interventions. For the 12 external complaints, 6 have the same initial and second interventions. Supervisors' intervention varied for external complaints. Although "No Further Action" was the most intervention choice, the supervisors also used "Multiple interventions" and "Meeting with the Supervisor." Of the reoccurring alerts for External Complaints (EA2023-0024, EA2023-0025, EA2023-0061¹) were Supervisory Alerts and not Incident Alerts for the involved employee. MCSO will continue to watch the supervisory intervention trend and recommend that alternative or elevated interventions be considered for reoccurring alerts where and when necessary.

¹ EA2023-0061 appeared twice because of a third alert with the same allegation.

An additional analysis checked whether any 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, thirteen 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.

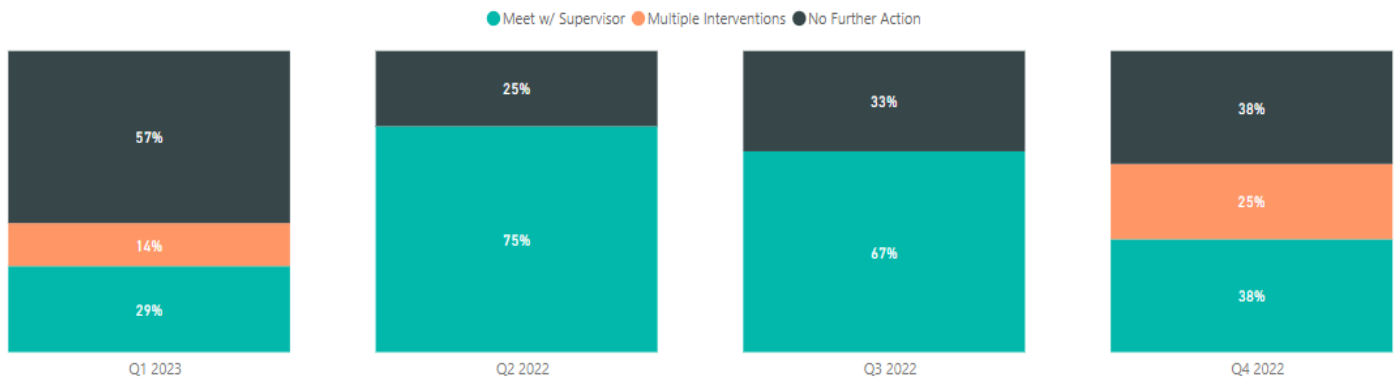
Overall, for EIS Alert interventions completed during the 1st quarter of 2023, 81.30 percent (61/75) of interventions were successful and did not have a reoccurring alert for the same threshold during the following 6-month period. This percentage is slightly down from the previous quarterly inspection, where 83.30 percent (40/48) of interventions were successful.

Trends

Comparing data for completed interventions resulting in reoccurring alerts for the last three quarters of 2022 and the 1st quarter of 2023 revealed that "No Further Action" (45.00%) was the most utilized, followed by "Meeting with Supervisor" (41.00%), and "Multiple Interventions" (14.00%). Further comparison showed that the 2nd and 4th quarters of 2022 maintained the same level of usage of "Meeting with Supervisor"; the 2nd and 3rd quarters of 2022 had the same level of usage of "No Further Action"; and the 4th quarter of 2022 and 1st quarter of 2023 have the same level of usage of "Multiple Interventions" for EIS Alert interventions. Comparing the reoccurring EIS alert data for the last three quarters of 2022 and the 1st quarter of 2023 showed "External Complaints" (66%) as the most reoccurring alert, followed by "BAF" (31.00%) and "Internal Complaint" (3.00%). However, 3rd quarter of 2022 had the least number of reoccurring alerts. It suffices to mention that "Internal Complaints" did not reoccur in the 1st quarter of 2023.

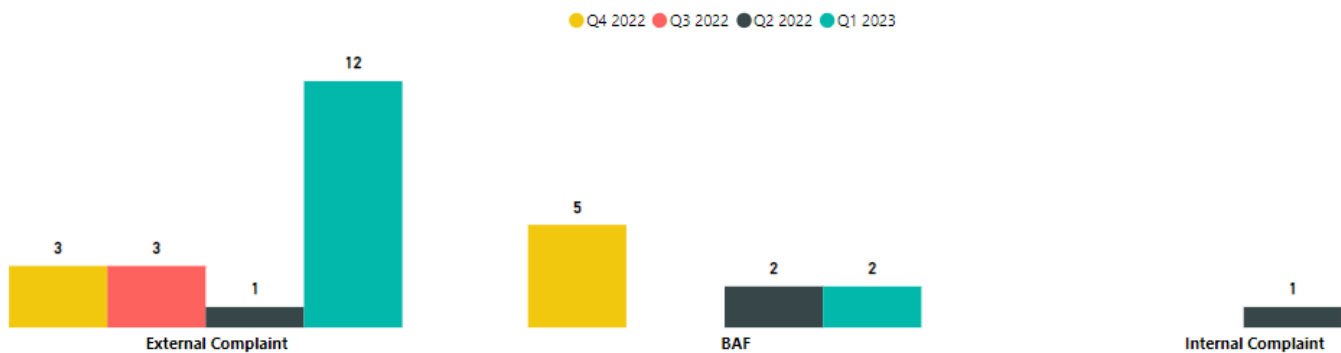
The intervention response of "No Further Action" between the 4th quarter of 2022 and the 1st quarter of 2023 increased significantly (63.00%). It could be due to the rise in the number of reoccurring alerts during the 1st quarter of 2023. The intervention, "No Further Action," is routinely used in response to internal/external complaints. The increase in the reoccurring "external complaints" alerts further explains the significant increase in "No Further Action" interventions. There was a slight increase in the use of "Meeting with Supervisor" between the 4th quarter of 2022 and the 1st quarter of 2023 (25.00%). On the other hand, the "Multiple Interventions" remained steady between the 4th quarter of 2022 and the 1st 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 three quarters of 2022 and the 1st quarter of 2023 revealed that “External Complaints” soared in the 1st quarter of 2023 compared to the 4th quarter of 2022. The 3rd and the 4th quarters experienced reoccurrences for “External Complaints.” The recurrence of BAFs’ alert intervention dropped in number in the 1st quarter of 2023 compared to the 4th quarter of 2022. 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 1st 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 an upward trend in the reoccurring alerts and a success rate of 81.00% for interventions. AIU noted that six of the fourteen reoccurring alerts were closed out with the same interventions as the initial ones. Three of the reoccurring alerts reduced the level of intervention for the second alert. AIU recommends that supervisors consider alternative or elevated interventions when employees have a second alert for the same threshold.

Notes:

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

Date Inspection Started: October 26th, 2023
Date Completed: January 9th, 2024
Timeframe Inspected: October, November, and December 2023
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

2/16/2024

Date