

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



EIS Alerts Inspection Report March 2019

Inspection # BI2019-0044

The Bureau of Internal Oversight (BIO), Audits and Inspections Unit (AIU) will conduct inspections of the Early Identification System (EIS) Alerts on a monthly 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, will select a sample of 15 EIS Alerts closed/completed during the month 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:

After AIU received 15 closed EIS Alert cases selected by the Court Monitor Team, 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 the 15 EIS Alerts completed/closed during March 2019:

| Inspection Element | Not In Compliance | In Compliance | Compliance Rate |
|--|-------------------|---------------|-----------------|
| Alert addressed, closed, and returned to EIU within 30 calendar days as required by policy | 3 | 12 | 80.00% |
| 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* | N/A | N/A | N/A |
| If an extension was granted, the Alert was completed and submitted 30 days from original due date* | N/A | N/A | N/A |
| Compliance for EIS Alerts completed/Closed during March | 3 | 12 | 80.00% |

*This requirement in Policy GH-5, *Early Identification System* was not effective until 1-04-19; therefore, this inspection point did not apply to the 3 EIS Alerts identified as exceeding the 30-calendar day timeframe.

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

| IA Number | Event Number | Interventions Initiated by Command | Administrative Investigation in Progress |
|---------------|----------------|------------------------------------|--|
| EA2018-000028 | Alert2018-0031 | Meeting with the Supervisor | No |
| EA2018-000052 | Alert2018-0033 | No Further Action | No |
| EA2018-000054 | Alert2018-0027 | No Further Action | No |
| EA2018-000157 | Alert2018-0184 | Meeting with the Supervisor | No |
| EA2018-000167 | Alert2018-0195 | Meeting with the Supervisor | No |
| EA2018-000188 | Alert2018-0215 | Meeting with the Supervisor | No |
| EA2018-000199 | Alert2018-0226 | No Further Action | Yes |
| EA2018-000201 | Alert2018-0228 | Meeting with the Supervisor | Yes |

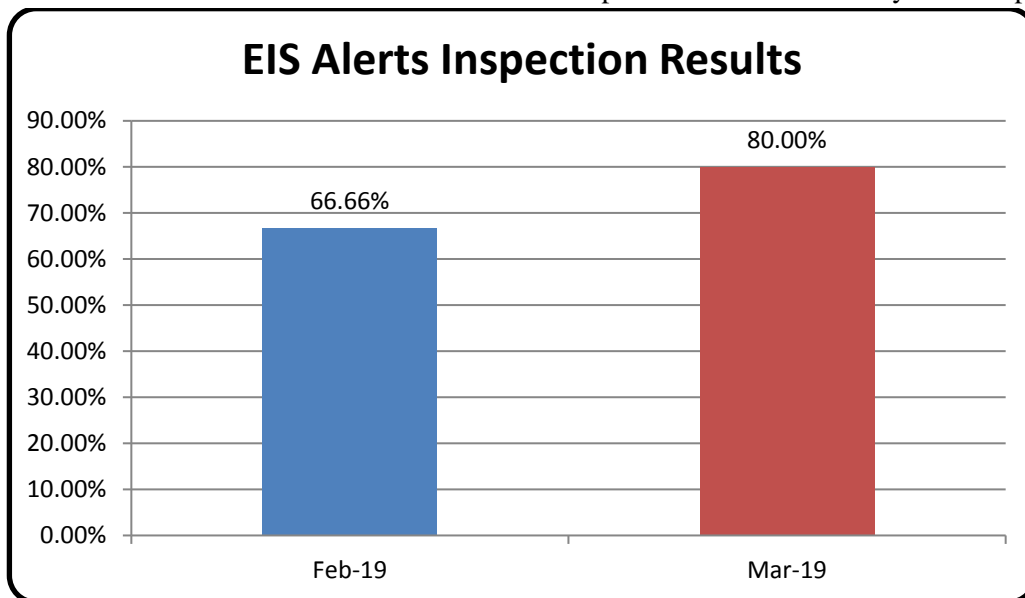
| | | | |
|---------------|----------------|-----------------------------|-----|
| EA2018-000202 | Alert2018-0229 | No Further Action | No |
| EA2018-000207 | Alert2018-0234 | Meeting with the Supervisor | Yes |
| EA2018-000209 | Alert2018-0236 | Meeting with the Supervisor | No |
| EA2018-000214 | Alert2018-0241 | No Further Action | No |
| EA2018-000215 | Alert2018-0243 | No Further Action | No |
| EA2019-000025 | Alert2019-0025 | Meeting with the Supervisor | Yes |
| EA2019-000031 | Alert2019-0029 | Meeting with the Supervisor | Yes |

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

| IA Number | Supervisor Assigned the Alert | Division | Division Commander | Perceived Deficiency |
|---------------|-------------------------------|-------------|--------------------|--|
| EA2018-000157 | Lieutenant | Extradition | Captain | Alert not completed and returned to EIU within 30 days |
| EA2018-000188 | Sergeant | District 3 | Captain | Alert not completed and returned to EIU within 30 days |
| EA2018-000199 | Lieutenant | District 3 | Captain | Alert not completed and returned to EIU within 30 days |

Results:

- 80% or 12 out of 15 EIS Alerts had no deficiencies ($12 \div 15 = 0.8$ or 80%).
- The overall results were a 13.34% increase in compliance from the February 2019 inspection.



Recommendations:

1. It is recommended that commanders continue to emphasize the importance of completion of the *Early Identification System Alert Response Form* (Attachment B) and submitting the completed EIS Alert to the chain of command via Blue Team and returning it to the EIU within the allotted 30 days. Exceptions to the completion of an EIS Alert within the established timeframe is limited to the employee being on an approved leave, as specified in Office Policy GC-1, *Leaves and Absences*.
2. If the completion of an EIS Alert will exceed the 30-calendar day timeframe, the supervisor assigned to complete the Alert shall request an extension by submitting a *Request for Alert Extension* memorandum through their chain of command to the division commander and submitted for approval to the EIU **via email** prior to the expiration of the original established timeframe.

Action Required:

With the resulting **80.00%** compliance for *Inspection BI2019-0044*, a total of **3** BIO Action Forms are requested from the affected divisions. **The forms shall be completed utilizing Blue Team.**

Notes:

All supporting documentation (working papers) is included in the inspection file number *BI2019-0044* and contained within IA Pro

Date Inspection Started: April 8th, 2019
Date Completed: April 10th, 2019
Timeframe Inspected: March 1-31, 2019
Assigned Inspector: Sgt. S. Hatfield S1897

I have reviewed this inspection report.

Lt. D. Reaulo S1678
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Commander, Audits & Inspections Unit
Bureau of Internal Oversight

5/1/2019
Date