

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



EIS Alerts Inspection Report September 2019

Inspection # BI2019-0141

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, selected 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 September 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	4	11	73.33%
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	100%
If an extension was granted, the Alert was completed and submitted 30 days from original due date	0	1	100%
Compliance for EIS Alerts completed/Closed during September	4	11	73.33%

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
EA2019-000107	Alert2019-0106	Meeting with the Supervisor	Yes
EA2019-000103	Alert2019-0101	Multiple Interventions	Yes
EA2019-000101	Alert2019-0103	No Further Action	Yes
EA2019-000100	Alert2019-0099	Training	Yes
EA2019-000099	Alert2019-0098	Meeting with the Supervisor	Yes
EA2019-000093	Alert2019-0091	Meeting with the Supervisor	Yes
EA2019-000088	Alert2019-0087	No Further Action	Yes
EA2019-000081	Alert2019-0079	No Further Action	Yes

EA2019-000075	Alert2019-0073	Meeting with the Supervisor	No
EA2019-000066	Alert2019-0067	Meeting with the Supervisor	No
EA2019-000048	Alert2019-0044	Meeting with the Supervisor	No
EA2019-000026	Alert2019-0023	Meeting with the Supervisor	Yes
EA2019-000008	Alert2019-0009	Meeting with the Supervisor	No
EA2018-000162	Alert2018-0189	Meeting with the Supervisor	Yes
EA2018-000034	Alert2018-0052	Meeting with the Supervisor	No

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

District 2 (1 BIO Action Form)

EA Number	Alert Number	Deficient Employee	Division	Division Commander
EA2019-000026	Alert2019-0023	Sergeant	District 2	Lieutenant
Deficiency				
The EIS Alert was not returned to EIU within the 30 days. The Sgt retained the alert for majority of the 30 day timeframe.				

District 3 (1 BIO Action Form)

EA Number	Alert Number	Deficient Employee	Division	Division Commander
EA2019-000048	Alert2019-0044	Sergeant	District 3	Captain
Deficiency				
The EIS Alert was not returned to EIU within the 30 days. The Sgt retained the alert for majority of the 30 day timeframe.				

District 4 (1 BIO Action Form)

EA Number	Alert Number	Deficient Employee	Division	Division Commander
EA2018-000162	Alert2018-0189	Sergeant	District 4	Captain
Deficiency				
The EIS Alert was not returned to EIU within the 30 days. The Sgt retained the alert for majority of the 30 day timeframe. Previous BAF2019-0077 on 5/1/2019 and BAF2019-0196 on 9/12/2019 for a similar deficiency.				

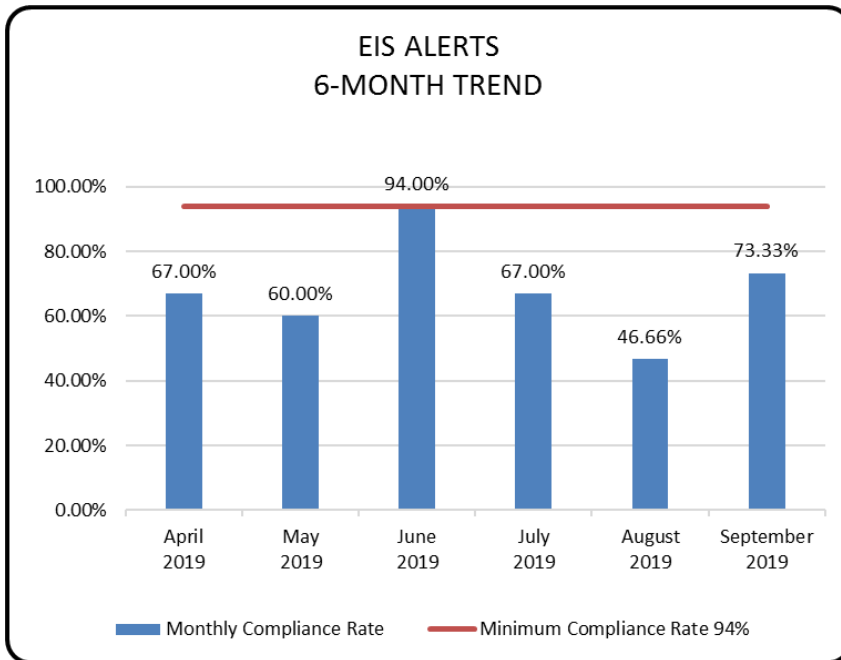
SID (1 BIO Action Form)

EA Number	Alert Number	Deficient Employee	Division	Division Commander
EA2018-000034	Alert2018-0052	Lieutenant	SID	Captain
Deficiency				
The EIS Alert was not returned to EIU within the 30 days.				

Unless noted above in the deficiency table, there was no prior BIO Action Forms similar in nature for the perceived deputy deficiencies.

Results:

- 73.33% or 11 out of 15 EIS Alerts had no deficiencies (11 ÷ 15 = 73.33).
- The overall results were a 26.67% increase in compliance from the August 2019 inspection.



Action Required:

With the resulting **73.33%** compliance for Inspection BI2019-0141, a total of **4 BIO Action Forms** are requested from the affected divisions. The forms shall be completed utilizing Blue Team.

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.

Notes:

All supporting documentation (working papers) is included in the inspection file number *BI2019-0141* and contained within IA Pro.

Date Inspection Started: October 9, 2019
Date Completed: October 11, 2019
Timeframe Inspected: September 1st-30th, 2019
Assigned Inspector: Sgt. Shawn Hatfield S1897

I have reviewed this inspection report.

Lt. D. Reaulo S1678

11/27/2019

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

Date