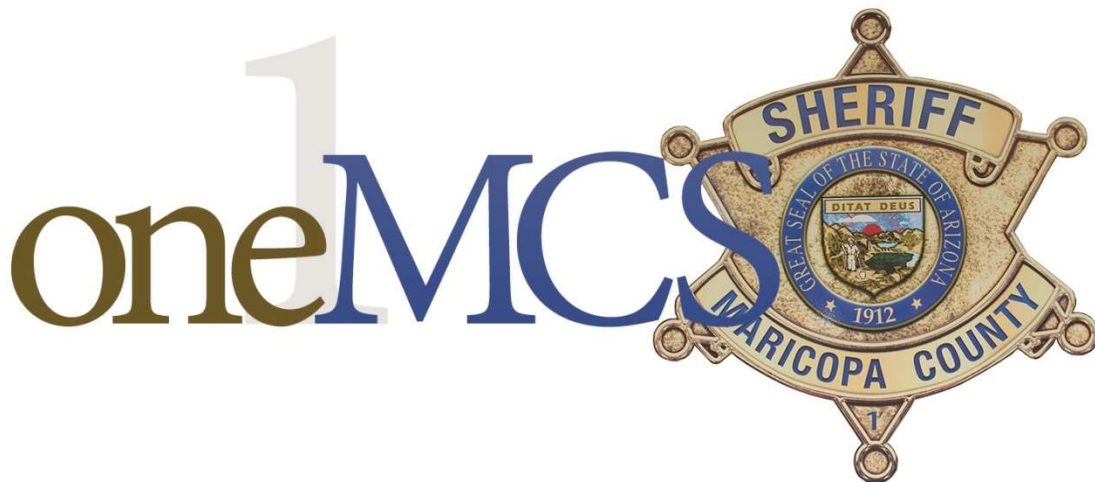


MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



EIS Alerts Inspection Report March 2020

Inspection # BI2020-0040

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 March 2020:

| 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 | 3 | 12 | 15 | 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 | 0 | 1 | 1 | 100.00% |
| If an extension was granted, the Alert was completed and submitted within 30 days of new due date | 1 | 0 | 1 | 00.00% |
| Compliance for EIS Alerts completed/Closed during January 2020 | 3 | 12 | 15 | 80.00% |

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 |
|---------------|----------------|------------------------------------|--|
| EA2019-000117 | Alert2019-0179 | Meeting with Supervisor | Yes |
| EA2019-000098 | Alert2019-0097 | No Further Action | Yes |
| EA2020-0002 | Alert2020-0001 | Employee Services | Yes |
| EA2020-0006 | Alert2020-0005 | Meeting with Supervisor | No |
| EA2020-0007 | Alert2020-0014 | Meeting with Supervisor | Yes |
| EA2020-0014 | Alert2020-0007 | No Further Action | Yes |
| EA2020-0017 | Alert2020-0021 | Re-Assignment | Yes |
| EA2020-0018 | Alert2020-0020 | Employee Services | Yes |
| EA2020-0027 | Alert2020-0023 | Meeting with Supervisor | No |
| EA2020-0031 | Alert2020-0028 | Meeting with Supervisor | No |
| EA2020-0037 | Alert2020-0041 | Meeting with Supervisor | No |
| EA2020-0039 | Alert2020-0039 | Meeting with Supervisor | No |
| EA2020-0040 | Alert2020-0038 | Meeting with Supervisor | No |
| EA2020-0042 | Alert2020-0043 | N/A | No |
| EA20200044 | Alert2020-0044 | No Further Action | Yes |

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)

Compliance Deficiency

| Division | EA Number | Alert Number | Deficient Employee | Patrol Chief West |
|---|-------------|----------------|--------------------|-------------------|
| District 2 | EA2020-0007 | Alert2020-0014 | Captain | Deputy Chief |
| Deficiency | | | | |
| <p>The EIS Alert was not returned to EIU within 30 days of initial assignment. (GH-5.5.Q) Sergeant submitted Alert to Lieutenant on day 10. Lieutenant returned to Sergeant for corrections on day 10. Sergeant resubmitted to Lieutenant on day 24. Lieutenant sent alert to Captain on day 25. Captain 1st review alert on day 33. Captain forwarded completed alert to EIS on day 46.</p> | | | | |

Lakes (1 BIO Action Form)

Compliance Deficiency

| Division | EA Number | Alert Number | Deficient Employee | Current Supervisor | Commander |
|--|---------------|-----------------|--------------------|--------------------|-----------|
| Lakes | EA2019-000117 | Alert2019-00179 | Sergeant | Lieutenant | Captain |
| Deficiency | | | | | |
| <p>The EIS Alert was not returned to EIU within 30 days of initial assignment. (GH-5.5.Q) Sergeant sent to Lieutenant on day 26. Lieutenant sent to Captain on day 30. Captain sent alert to EIS on day 38.</p> | | | | | |

Transportation (1 BIO Action Form)

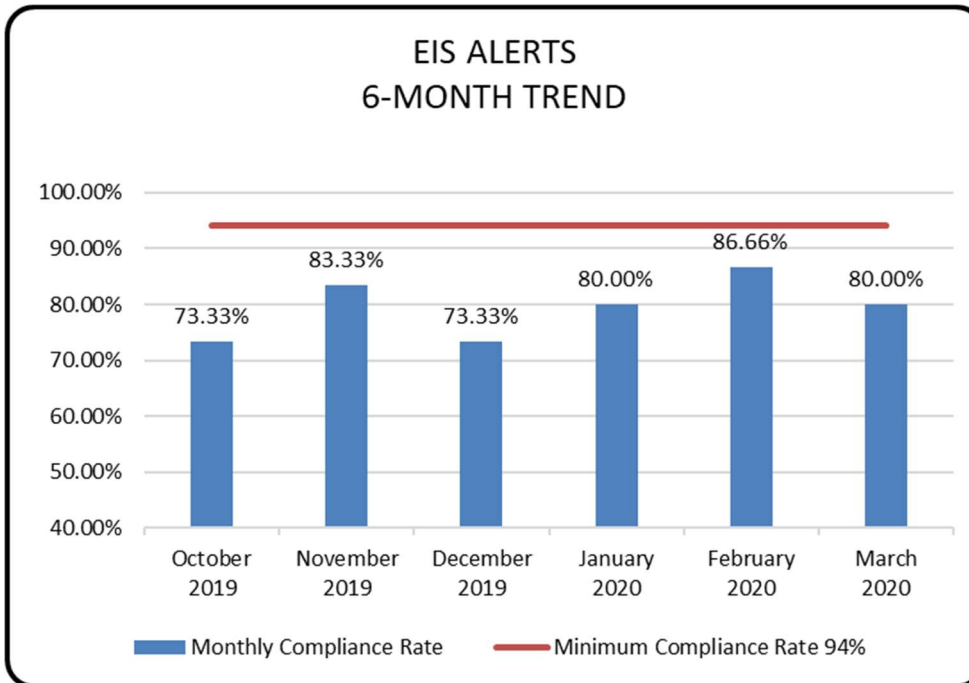
Compliance Deficiency

| Division | EA Number | Alert Number | Deficient Employee | Current Supervisor | Commander |
|---|---------------|----------------|--------------------|--------------------|-----------|
| Transportation | EA2019-000098 | Alert2019-0097 | Sergeant | Lieutenant | Captain |
| Deficiency | | | | | |
| <p>The EIS Alert was not returned to EIU within 30 days of initial assignment. (GH-5.5.Q) Sergeant sent alert to Lieutenant on day 89. Lieutenant sent alert to Captain on day 89. Captain 1st reviewed alert on day 126. Captain forwarded completed alert to EIS on day 207 (02/25/2020) Note: Extension Memorandum was generated on day 11 and extension granted to 10/17/2019. **This deficiency occurred while the employee was assigned to Estrella Jail**</p> | | | | | |

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

Results:

- 80.00% or 12 out of 15 EIS Alerts had no deficiencies ($12 \div 15 = 80.00\%$).
- The overall results were a 6.66% decrease in compliance from the February 2020 inspection.



Action Required:

With the resulting 80.00% compliance for Inspection BI2020-0040 a total of **3 BIO Action Forms** is 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 *BI2020-0040* and contained within IA Pro.

Date Inspection Started: April 6th, 2020
Date Completed: April 7th, 2020
Timeframe Inspected: March 2020
Assigned Inspector: Sgt. R. T. Bierwalter S1263

I have reviewed this inspection report.

Lt. Todd Brice

Lt. Todd Brice S1767
Deputy Commander, Audits & Inspections Unit
Bureau of Internal Oversight

4-20-20

Date