

# MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



**EIS Alerts Inspection Report July 2019**

Inspection # BI2019-0110

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 July 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	5	10	67.00%
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
<b>Compliance for EIS Alerts completed/Closed during July</b>	<b>5</b>	<b>10</b>	<b>67.00%</b>

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
EA2019-000078	Alert2019-0075	Meeting with the Supervisor	Yes
EA2019-000071	Alert2019-0069	Meeting with the Supervisor	No
EA2019-000069	Alert2019-0064	Meeting with the Supervisor	No
EA2019-000068	Alert2019-0065	Meeting with the Supervisor	No
EA2019-000060	Alert2019-0055	Meeting with the Supervisor	Yes
EA2019-000054	Alert2019-0051	Multiple Interventions	Yes
EA2019-000051	Alert2019-0050	Meeting with the Supervisor	Yes
EA2019-000049	Alert2019-0048	No Further Action	No
EA2019-000047	Alert2019-0045	Meeting with the Supervisor	No
EA2019-000045	Alert2019-0042	No Further Action	Yes

EA2018-000324	Alert2018-0349	Meeting with the Supervisor	Yes
EA2018-000293	Alert2018-0325	Multiple Interventions	Yes
EA2018-000260	Alert2018-0291	Multiple Interventions	Yes
EA2018-000232	Alert2018-0260	Multiple Interventions	No
EA2018-000210	Alert2018-0237	No Further Action	No

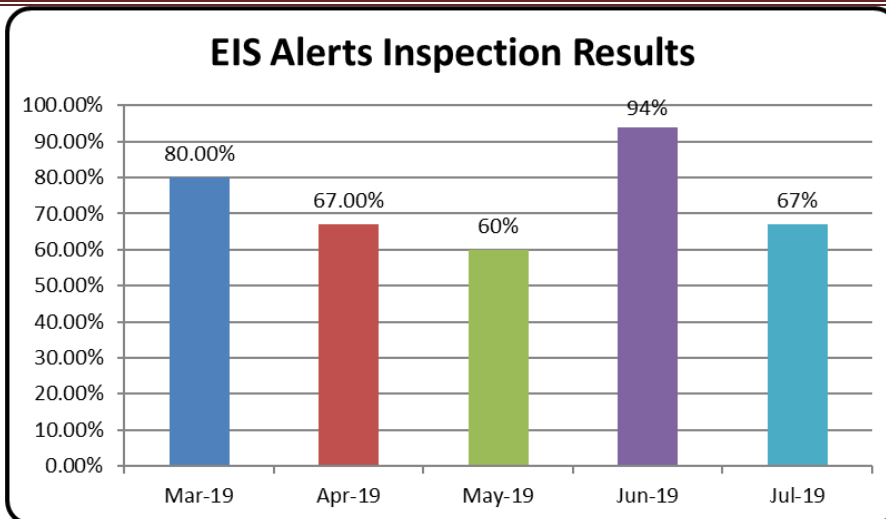
The following perceived deficiencies were identified during the inspection process and require that a BIO Action Form be completed.

IA Number	Deficient Employee	Division	Division Commander	Perceived Deficiency
EA2019-000049	Lieutenant	Transportation	Captain	Alert not completed and returned to EIU within 30 days.
EA2019-000045	Captain	MCD	Chief	Alert not completed and returned to EIU within 30 days.
EA2019-000068	Sergeant	MCD	Captain	Alert not completed and returned to EIU within 30 days.
EA2018-000293	Sergeant	District 4	Captain	Alert not completed and returned to EIU within 30 days. Previous BAF2019-0077 on 5/1/2019 for a similar deficiency.
EA2018-000210	Lieutenant	Transportation	Captain	Alert not completed and returned to EIU within 30 days. No longer an employee, no BIO Action Form Required.

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

**Results:**

- 67% or 10 out 15 EIS Alerts had no deficiencies ( $10 \div 15 = 66.66$  or 67%).
- The overall results were a 27.00% decrease in compliance from the June 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 **67.00%** compliance for *Inspection BI2019-0110*, a total of **4** 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 *BI2019-0110* and contained within IA Pro.

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Date Inspection Started: August 15, 2019  
Date Completed: August 26, 2019  
Timeframe Inspected: July 1-31, 2019  
Assigned Inspector: Sgt. S. Hatfield S1897

I have reviewed this inspection report.

*Lt. D. Reaulo S1678*

9/12/2019

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

Date