

# MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight  
Audits and Inspections Unit



**Complaint Intake Testing Inspection March 2023**

Inspection # BI2023-0038

The Bureau of Internal Oversight's (BIO) Audits and Inspections Unit (AIU) conducts Complaint Intake Test inspections on a monthly basis. The purpose of this inspection is to determine employee compliance with Office Policies GH-2, *Internal Investigations* and GI-1, *Radio and Enforcement Communications Procedures* as they relate to the civilian complaint intake process. To ensure consistent inspections, the *Complaint Intake Testing Matrix* developed by the AIU is utilized.

To achieve this, the AIU will conduct monthly inspections of the complaint intake tests completed by an outside vendor selected by the MCSO for this purpose. This vendor is responsible for having testers file fictitious complaints either in person at MCSO facilities, by telephone, by mail, by e-mail, or by using MCSO's website to determine if MCSO employees process the intake of complaints in accordance with MCSO policy.

The vendor has been issued open Purchase Orders for the Fiscal Year ending June 30<sup>th</sup> which allows for random and targeted tests to allow MCSO to assess the complaint intake process. The vendor determines the number of tests it will conduct and when and how it will conduct these tests. Additionally, the vendor has submitted testing methodologies and testing paperwork which have been approved by the AIU. These methodologies include the requirement to audio and video record all in-person tests and audio record all telephone tests. The testing vendor will adhere to these methodologies when conducting complaint intake testing for the Office.

**Compliance Objectives:**

- Are employees providing civilians with appropriate and accurate information about the complaint process?
- Are employees promptly notifying the Professional Standards Bureau (PSB) upon the receipt of a complaint?
- Are employees providing the PSB with accurate and complete information?
- Are employees attempting to discourage, interfere with, or delay civilians from registering a complaint?

**Criteria:**

MCSO Policy GH-2, *Internal Investigations*

MCSO Policy GI-1, *Radio and Enforcement Communications Procedures*

**Conditions:**

AIU began conducting the inspection of Complaint Intake Testing in January 2019 for tests performed during the month of December 2018. The following charts illustrate rolling 12-month histories of compliance with Office Policy. "N/A" indicates a particular type of testing was not performed during that month.

There were two Complaint Intake Tests conducted during the month of March 2023; both were in-person tests. AIU inspected both complaint intake tests. These tests are discussed in further detail under the applicable report sub-sections below.

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**In-Person Testing**

There were two In-Person Complaint Intake Tests conducted during the month of March 2023.

**1. TEST #: 126-IP**

**DISTRICT/DIVISION:** District 4

**TEST SCENARIO:** The tester posed as a Middle Eastern male who was driving down Carefree Highway when a marked Sheriff's vehicle passed him at a rapid rate of speed. The deputy continued to drive very aggressively trying to pass the vehicles in front of the tester; he may have even seen the deputy run a red light.

**ACTIONS TAKEN:** The tester went to the Cave Creek District 4 offices which were closed, so he called the number posted on the door. The call was first answered by an automated message and then MCSO dispatch answered. The dispatcher took the tester's information and the complainant's information and called the on-duty supervisor with the information. The dispatcher did not email the on-duty supervisor and EIU with the details of the complaint as required by Policy GI-1.

The sergeant called the tester and left a voicemail and then called the tester a second time and the tester answered. The sergeant informed the tester he was at the Anthem office and asked the tester if he would like to wait for him to drive to the Cave Creek Office and the tester agreed. The sergeant immediately drove to the Cave Creek office and took the tester's complaint.

The interview was audio and video recorded by the sergeant in accordance with Office Policy. At the conclusion of the interview, the sergeant explained the process and informed the tester that the matter would be investigated.

The next day later, PSB called the tester with an IA number and the contact information for the assigned investigator.

**RESULTS:** Communications Division personnel did not e-mail the complaint information to the on-duty supervisor of the district or division in which the complaint was directed. Also, Communication Division personnel did not copy the e-mail sent to the on-duty supervisor with the complaint information, to the Early Intervention Unit at [mcsso.eis@mcsso.maricopa.gov](mailto:mcsso.eis@mcsso.maricopa.gov) to ensure that the complaints are entered into Blue Team. Policy GI-1.12.D.1.a. and b.

**TESTER COMMENTS:** N/A

**BIO FOLLOW-UP:** BIO followed up with the Communications Division through the BIO Action Form process to address the two Policy GI-1 requirements that were not met.

**2. TEST #: 121-IP****DISTRICT/DIVISION:** District 7

**TEST SCENARIO:** The tester posed as a Middle Eastern male who observed a damaged vehicle running in a parking lot for an extended period of time. Just as he was about to call the Sheriff's Office to report he saw a deputy driving by so he flagged the deputy down to report the vehicle. The tester said the deputy was very rude and even accused him of having something to do with the vehicle.

**ACTIONS TAKEN:** The tester went to District 7's office and was greeted by the administrative assistant. The tester told the assistant he would like to file a complaint; she gave him the MCSO complaint intake form and said he could fill it out in the conference room while she got a supervisor for him. An on-duty sergeant joined the tester in the conference room and took the tester's complaint.

The interview was audio and video recorded by the sergeant in accordance with Office Policy. At the conclusion of the interview, the sergeant explained the process and informed the tester that the matter would be investigated.

The next day later, PSB called the tester with an IA number and the contact information for the assigned investigator.

**RESULTS:** No deficiencies were noted.

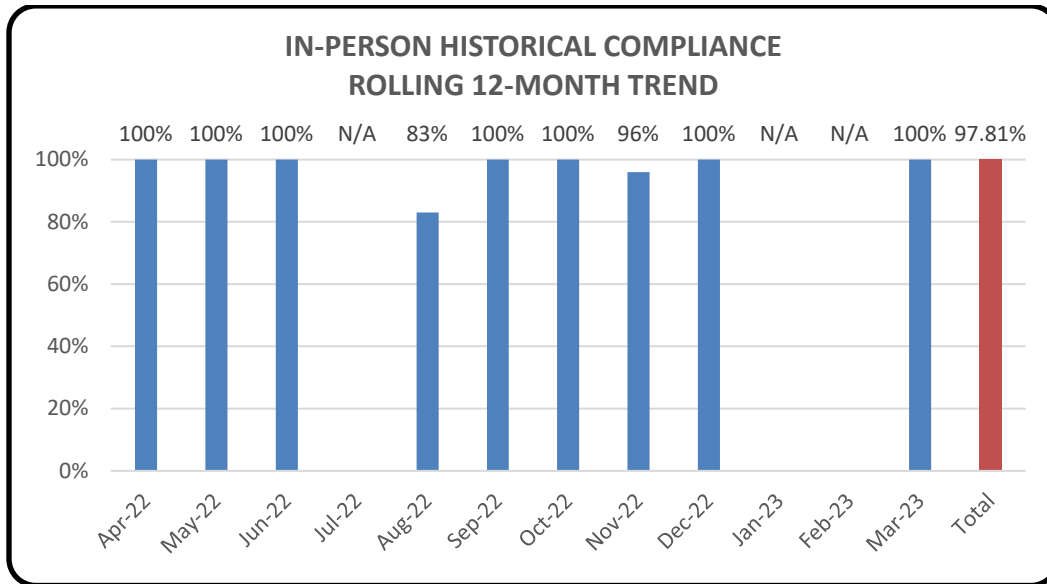
**TESTER COMMENTS:** N/A

**BIO FOLLOW-UP:** None required

It was determined that MCSO employees' compliance with the applicable Office Policy (GH-2, *Internal Investigations*) was 100%, as illustrated by the table below:

Inspection Element	Not In Compliance	In Compliance	Total	Compliance Rate
Determine if the complaint was accepted.	0	2	2	100%
Determine if the complaint was taken in a courteous manner.	0	2	2	100%
If the complainant did not speak, read, or write in English, or was deaf or hard of hearing, determine if the complaint was accepted.	N/A	N/A	N/A	N/A
Determine if the complaint was referred to the on-duty supervisor.	0	2	2	100%
If a supervisor was not available, verify that the employee obtained pertinent information and had a supervisor make contact with the complainant as soon as possible.	N/A	N/A	N/A	N/A
Determine if original recordings and documents were attached to BlueTeam or sent via interoffice mail to PSB.	0	2	2	100%
Verify that the complaint was entered into BlueTeam or IAPro.	0	2	2	100%
Determine if the employee attempted to discourage, interfere or delay the complaint.	0	2	2	100%
If the alleged conduct is of a criminal nature, determine that the chain of command was notified, who then notified PSB.	N/A	N/A	N/A	N/A
Verify that the complaint was audio and/or video recorded.	0	2	2	100%
Determine if the following minimum amount of information was obtained: <ul style="list-style-type: none"> <li>• Complainant's name</li> <li>• Complainant's contact information</li> <li>• Location of the complaint occurrence</li> <li>• Report number and deputy name, if known</li> </ul>	0	2	2	100%
Determine if verbal or written acknowledgment was provided that the complaint was received, documented, forwarded for investigation, and that complainant would be contacted by a department representative.	0	2	2	100%
Determine if the complaint was immediately forwarded to PSB.	0	2	2	100%
Determine if the complaint notification was sent within 7 days including IA# and investigator name and contact number.	0	2	2	100%
Determine if the employee reported accurate information in the complaint.	0	2	2	100%
<b>Overall compliance for In-Person testing</b>	<b>0</b>	<b>24</b>	<b>24</b>	<b>100%</b>

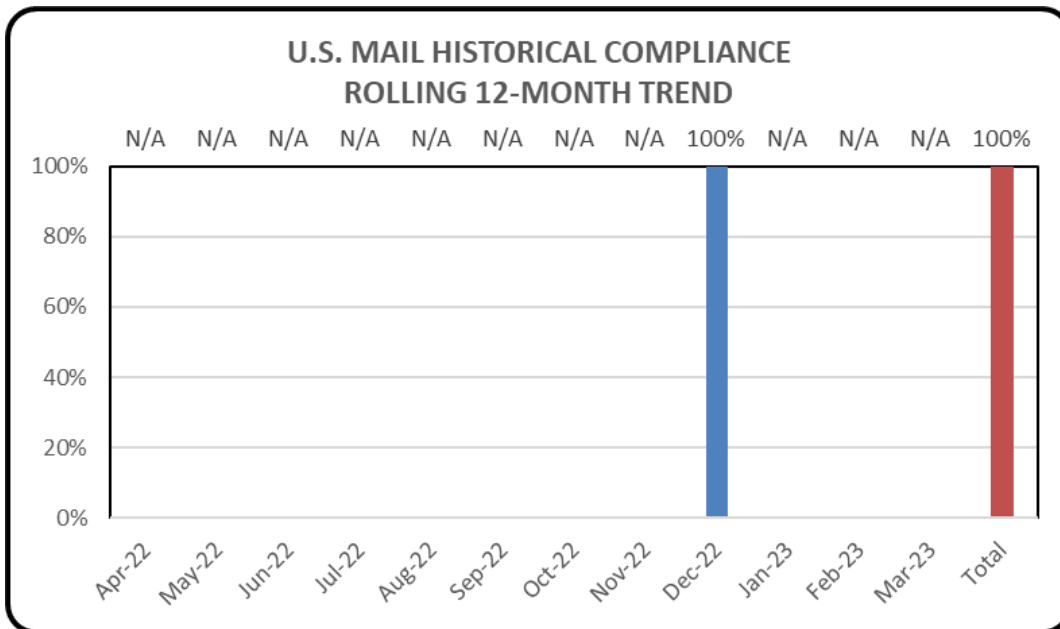
Below is a rolling 12-month historical comparison of compliance for In-Person tests:



**Testing by U.S. Mail**

There were no Complaint Intake Tests conducted by U.S. Mail during the month of March 2023.

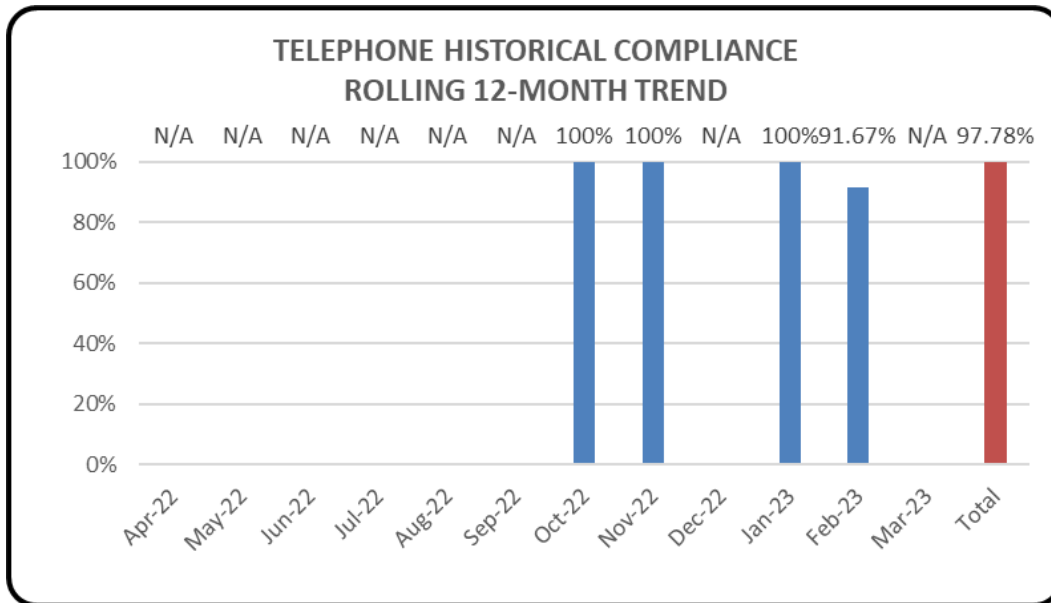
Below is a rolling 12-month historical comparison of compliance for tests conducted by U.S. Mail:



**Testing by Telephone**

There were no Complaint Intake Tests conducted by Telephone during the month of March 2023.

Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone:



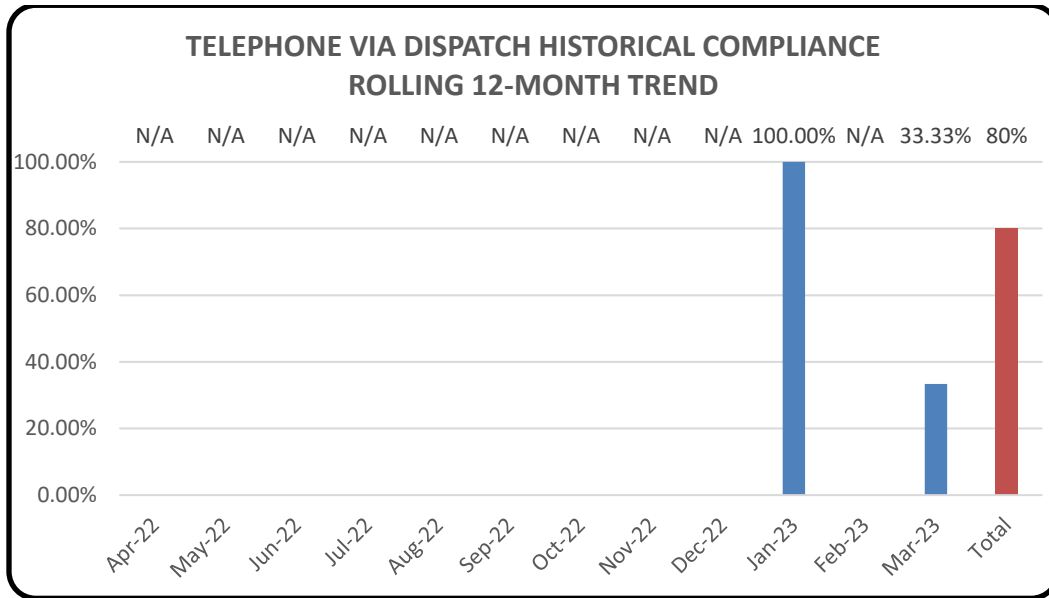
**Testing by Telephone via Communications Division**

There was one Complaint Intake Test conducted by Telephone via the Communications Division for the month of March 2023. See the above section titled “In-Person Testing” for the description of Test 126.

It was determined that MCSO employee compliance with the applicable Office Policy (GI-1, *Radio and Enforcement Communication Procedures*) was 33.33%, as illustrated in the table below:

Inspection Element	Not In Compliance	In Compliance	Total	Compliance Rate
Determine if the employee attempted to gather the complainant’s name and contact info, location of occurrence, report #, and name of deputy, if known.	0	1	1	100%
Determine if the employee immediately verbally contacted the on-duty division/district supervisor and e-mailed info to him/her.	1	0	1	0%
Determine if the employee e-mailed EIU.	1	0	1	0%
<b>Overall compliance for testing by Telephone via Communications Division</b>	<b>2</b>	<b>1</b>	<b>3</b>	<b>33.33%</b>

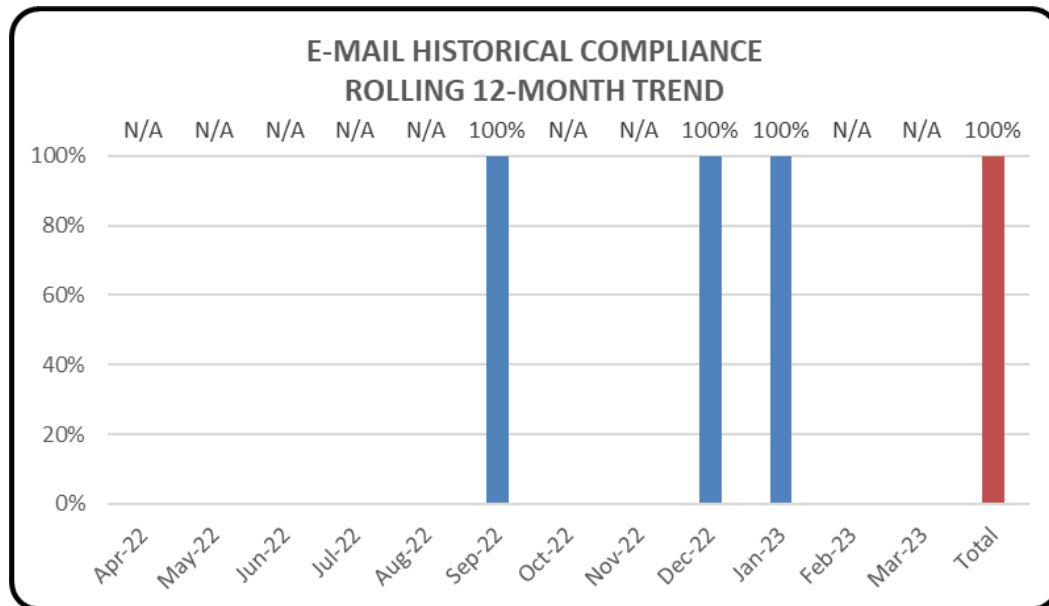
Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone via the Communications Division:



**Testing by E-Mail**

There were no Complaint Intake Tests conducted by E-Mail for the month of March 2023.

Below is a rolling 12-month historical comparison of compliance for tests conducted by E-mail:

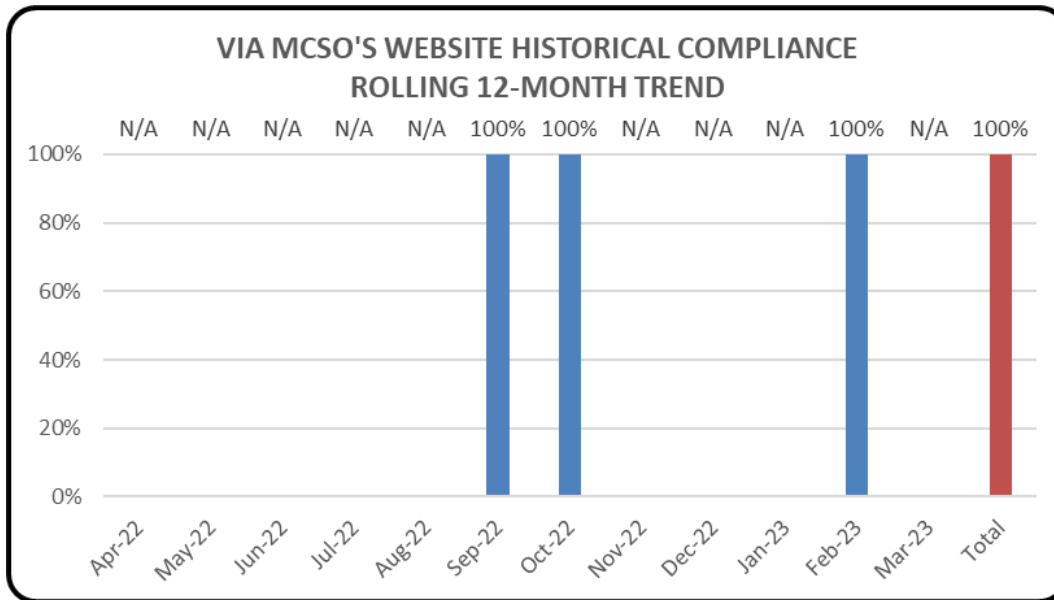


**Testing Online via MCSO's Website**

There were no Complaint Intake Tests conducted online during the month of March 2023 using the Office's website.

Below is a rolling 12-month historical comparison of compliance for filing a complaint Online:

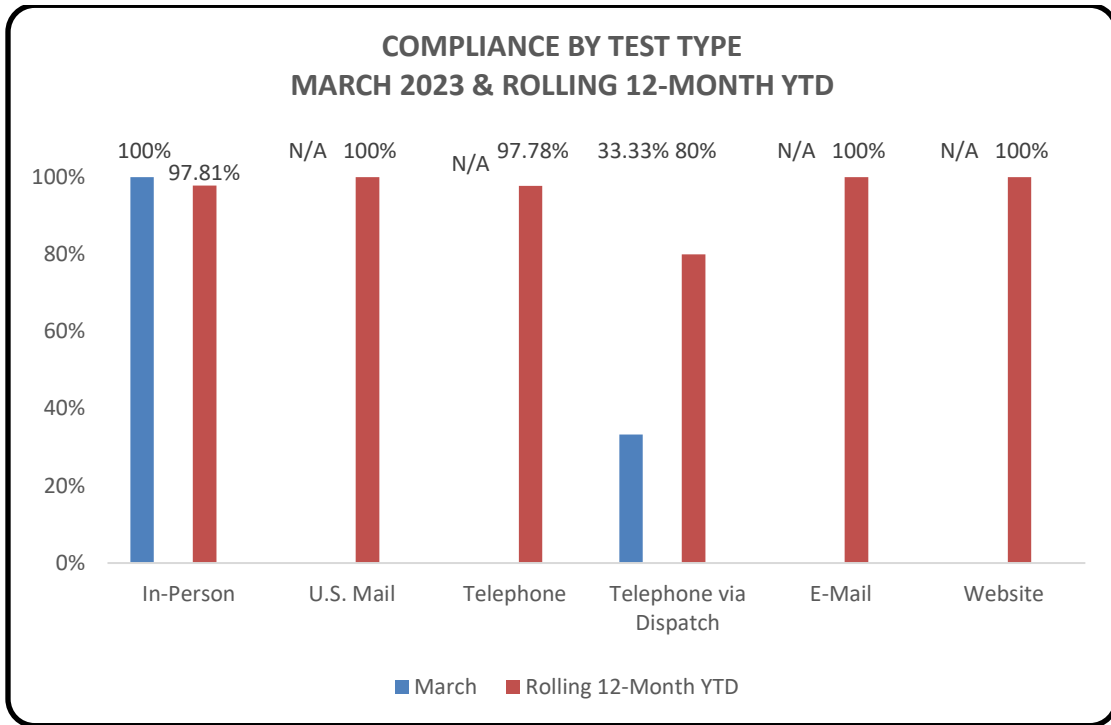




**Overall Compliance for March 2023:**

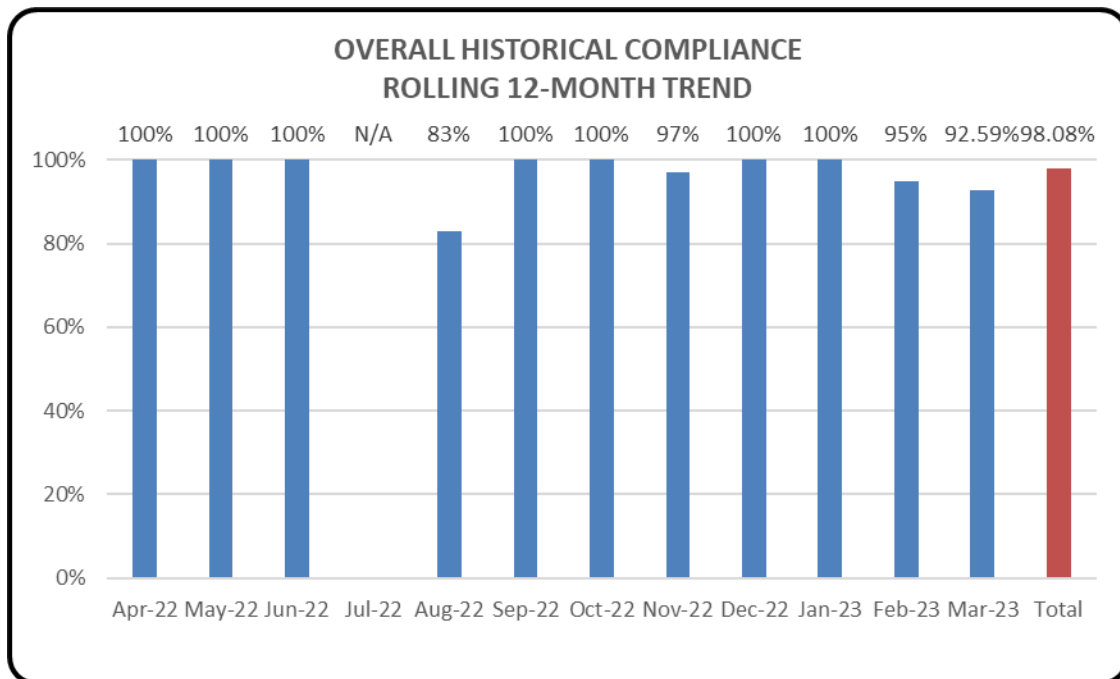
Compliance Rate by Method of Testing March 2023	Compliance Rate
Tests conducted In Person	100%
Tests conducted by U.S. Mail	N/A
Tests conducted by Telephone	N/A
Tests conducted via Dispatch	33.33%
Tests conducted via E-mail	N/A
Tests conducted by filing a complaint Online/Website	N/A
<b>Overall Compliance for all Complaint Intake Tests Inspected – March. 2023</b>	<b>92.59%</b>

Below is a chart illustrating the compliance rate by type of test conducted for the month of March 2023 as compared with the corresponding year-to-date compliance rate:



**History of Overall Compliance:**

Below is a rolling 12-month historical comparison of compliance for all Complaint Intake Testing:



## Communications Division (1 BIO Action Form):

### Compliance Deficiency

District/Division	Date of Event	Responsible Employee	Current Supervisor	Commander:
Communications	3/07/23	Civilian Supervisor	Assist. Communications Manger	Communication Division Manager
Deficiency				
1. The complaint information was not emailed to the district on-duty supervisor. (GH-1.12.D.1.a) 2. The complaint information was not cc emailed to the Early Intervention Unit (EIU) at <a href="mailto:mcsos.eis@maricopa.gov">mcsos.eis@maricopa.gov</a> . (GI-1.12.D.1 b)				

Unless noted above in the deficiency table, there were no prior BIO Action Forms similar in nature or supervisor notes addressing the deficiencies.

#### **Action Required:**

The compliance rate is **92.59%** for *Inspection BI2023-0038*; **1** BIO Action Form is requested from the affected divisions.

**The form shall be completed utilizing Blue Team.**

Date Inspection Started: April 04, 2023  
 Date Completed: April 10, 2023  
 Timeframe Inspected: March 1<sup>st</sup> to March 31<sup>st</sup>, 2023  
 Assigned Inspectors: Ronda Jamieson B3178

I have reviewed this inspection report.

*Capt. Dominick Reaulo*

Captain Dominick Reaulo S1678  
 Division Commander  
 Bureau of Internal Oversight

5/4/2023

Date