

# MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



**Complaint Intake Testing Inspection April 2019**

Inspection # BI2019-0058

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

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

Each vendor has been issued open Purchase Orders for the fiscal year which allows for a sufficient number of random and targeted tests to allow MCSO to assess the complaint intake process. Each vendor determines the number of tests they will conduct on a monthly basis and when and how they will conduct these tests. Additionally, each vendor has submitted testing methodologies and testing paperwork which has been approved by the AIU. These methodologies include the requirement to audio and video record all in-person testing and audio record all phone testing. Each testing vendor will adhere to these methodologies when conducting complaint intake testing for the Office.

**Matrix Procedures:**

- 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 (*Section 12*), *Radio and Enforcement Communications Procedures*:

**12. Complaint or Service Complaint Handling:**

- A. Communications Division personnel shall be properly trained to handle complaint intake from a member of the public, providing complaint materials and information, and the consequences for failing to take complaints.
- B. Communications Division personnel receiving complaint and service complaint calls from members of the public through the 9-1-1 phone line, shall instruct the caller to call Communication Division personnel back on a non-emergency phone line.
- C. Upon receiving the call back, Communications Division personnel shall document the information from the complainant to include: the complainant's name and contact information; location of the complaint occurrence; a report number and the name of the deputy, if known.
  1. Once the complaint information is obtained, Communications Division personnel shall immediately verbally contact the on-duty supervisor of the district or division in which the complaint was directed. This will allow the on-duty supervisor to immediately take action. This procedure applies to all complaints where contact is not restricted by business hours.

- a. Communications Division personnel shall then e-mail the complaint information to that on-duty supervisor of the district or division in which the complaint was directed. It shall be the responsibility of the on-duty supervisor to document the complaint into Blue Team.
  - b. Communications Division personnel shall copy the e-mail sent to the on-duty supervisor with the complaint information, to the Early Identification Unit at [mcso.eis@mcso.maricopa.gov](mailto:mcso.eis@mcso.maricopa.gov) to ensure the complaints entry is entered into Blue Team.
2. Communications personnel receiving complaints shall ensure the maintenance of confidentiality. Communications personnel shall not divulge the name of any persons filing a complaint or provide complainant information to any employee other than the supervisor and/or PSB, or personnel authorized by Office command to properly process and investigate allegations of misconduct. However, at no time shall any individual who receives or handles a complaint, in any way attempt to dissuade a member of the public, from making the complaint or attempting to narrow the grounds of the complaint.
  3. Failure to report an act of misconduct shall be considered misconduct and may result in disciplinary or corrective action, up to and including dismissal from employment.

**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.

AIU reviewed three tests completed during the month of April 2019; two were in-person tests and the third test was conducted using the Office website. All three tests are discussed in further detail under their respective report sub-sections below.

**In-Person Testing**

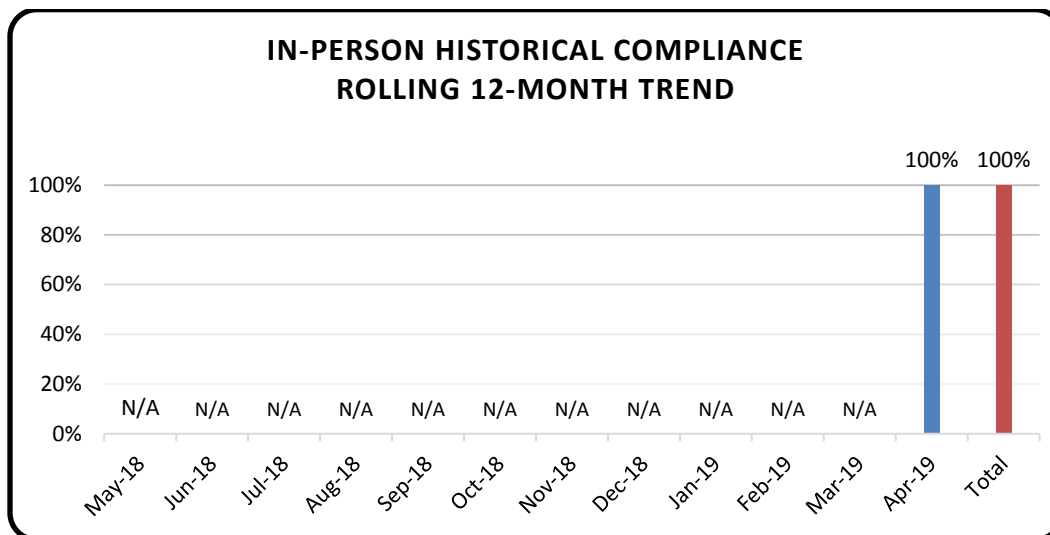
There were two in-person Complaint Intake Tests conducted during the month of April 2019 (Tests 002 and 003). The first test (Test 002) involved a civilian filing an external complaint in person at the district, complaining that a deputy was driving unsafely and that he went through a red light without activating his emergency lights, yelling something to her as he passed. Five days later, PSB sent the complaint tester a written acknowledgement through e-mail that included an IA number and the contact information for the assigned investigator.

The second test (Test 003) involved a civilian filing an external complaint in person at the district, complaining that a deputy yelled an inappropriate comment to her after she made an improper street-crossing on foot. Two days later, PSB sent the complaint tester a written acknowledgement through e-mail that included an IA number and the contact information for the assigned investigator.

For both tests, it was determined that MCSO employee compliance with the applicable Office Policy (GH-2, *Internal Investigations*) was 100%, as illustrated in 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 by a supervisor.	0	2	2	100%
If a supervisor was not available, verify that the employee forwarded all pertinent information to a supervisor to contact the complainant and/or entered into Blue Team.	N/A	N/A	N/A	N/A
Determine if original recordings and documents were attached to Blue Team or sent via interoffice mail to PSB.	0	2	2	100%
Verify that the complaint was entered into Blue Team or IAPro.	0	2	2	100%
Determine if the employee attempted to discourage, interfere or delay the complaint.	0	2	2	100%
If alleged conduct is of a criminal nature, determine if the chain of command was notified and if they notified PSB.	N/A	N/A	N/A	N/A
Determine if the minimum amount of information was obtained (date, time, summary, location, name, contact info, witness info, supporting documents/evidence, involved employees, etc.).	0	2	2	100%
Determine if written acknowledgement was provided that the complaint was received, documented, forwarded for investigation and complainant would be contacted by a department representative.	0	2	2	100%
Determine if the complaint was promptly 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>20</b>	<b>20</b>	<b>100%</b>

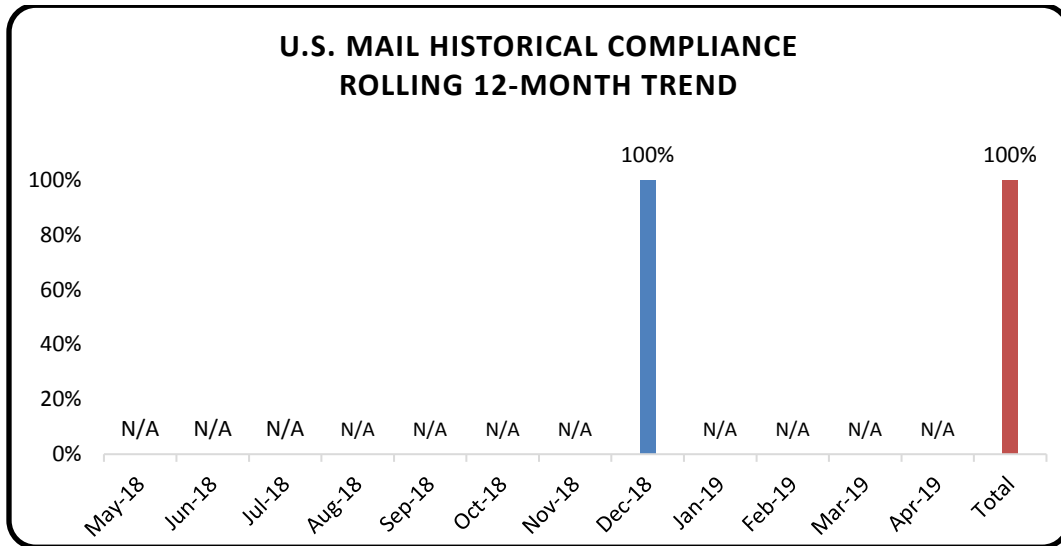
Below is a rolling 12-month historical comparison of compliance for In-Person tests:



**Testing by U.S. Mail**

There were no Complaint Intake Tests conducted by U.S. Mail during the month of April 2019.

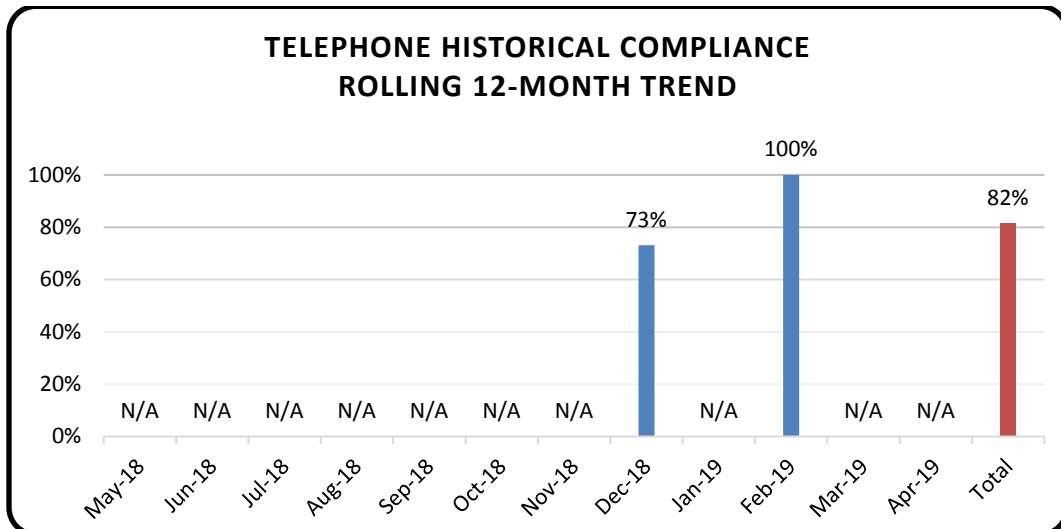
Below is a rolling 12-month historical comparison of compliance for tests conducted by U.S. Mail:



**Testing by Telephone**

There were no Complaint Intake Tests conducted by Telephone during the month of April 2019.

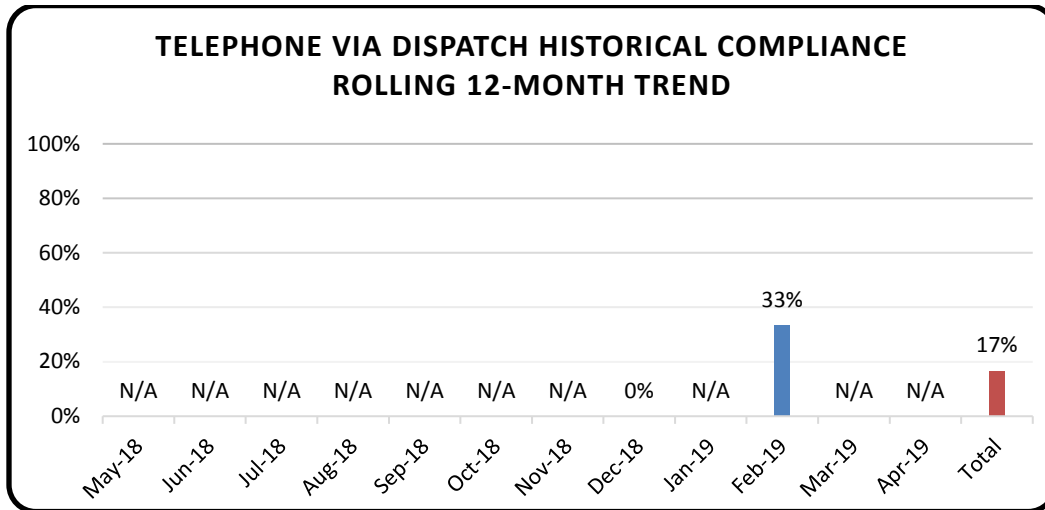
Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone:



**Testing by Telephone via Communications Division**

There were no Complaint Intake Tests conducted by Telephone via Communications Division during the month of April 2019.

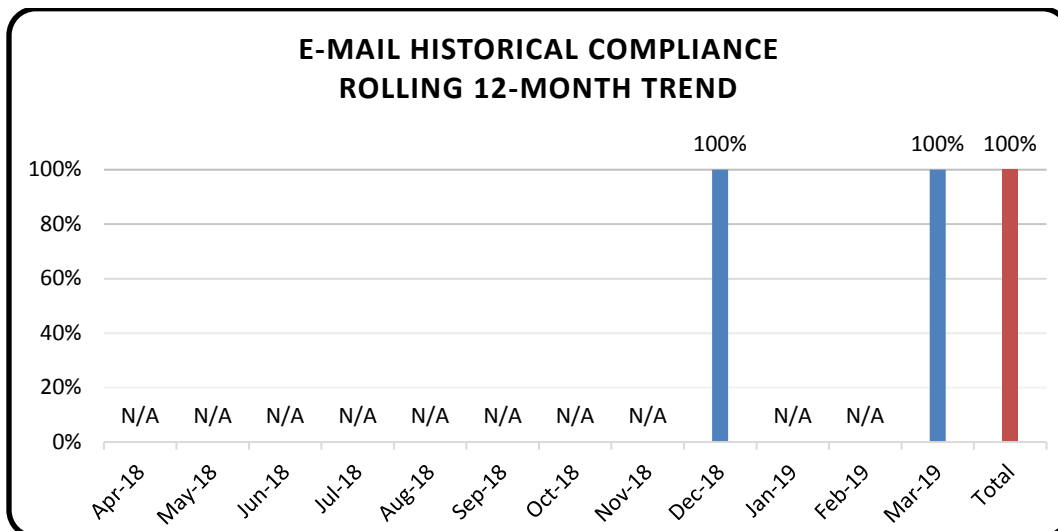
Below is a rolling 12-month historical comparison of compliance for tests received via Communications Division:



**Testing by E-Mail**

There were no Complaint Intake Tests conducted by E-mail during the month of April 2019.

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



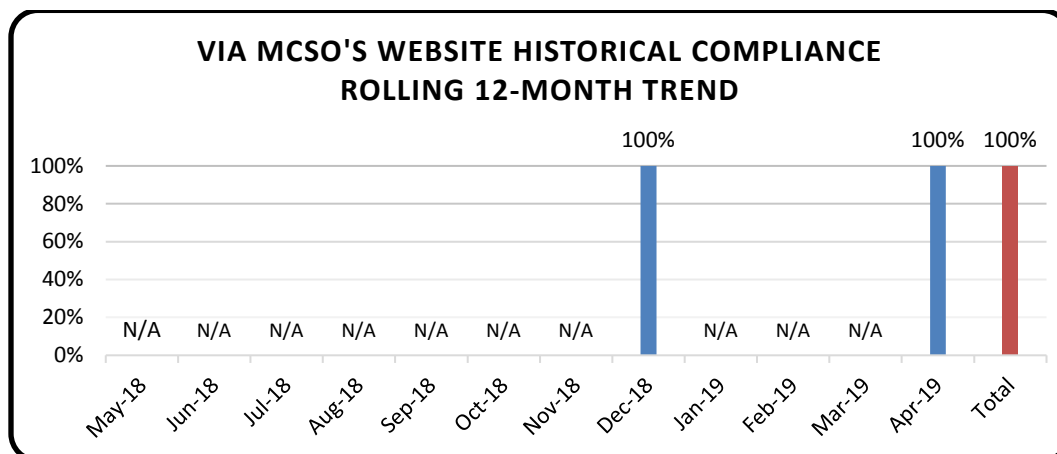
**Testing by MCSO’s Website**

There was one Complaint Intake Test (Test 35) conducted during the month of April 2019 using the Office’s website. On a Friday in April, the tester posed as a civilian filing an external complaint by completing the MCSO website form, complaining that two deputies sped into the parking lot of a convenience store going too fast and then appeared to stand around drinking sodas for an extended period of time instead of working. Four days later, the assigned investigator sent the complaint tester a written acknowledgement by e-mail that included an SC (Service Complaint) number and the contact information for the assigned investigator.

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

Inspection Element	Not In Compliance	In Compliance	Total	Compliance Rate
Determine if the complaint was accepted.	0	1	1	100%
Determine if the complaint was taken by a supervisor.	0	1	1	100%
If a supervisor was not available, verify that the employee forwarded all pertinent information to a supervisor to contact the complainant and/or entered into Blue Team.	N/A	N/A	N/A	N/A
Determine if original recordings and documents were attached to Blue Team or sent via interoffice mail to PSB.	0	1	1	100%
Verify that the complaint was entered into Blue Team or IAPro.	0	1	1	100%
Determine if the employee attempted to discourage, interfere or delay the complaint.	0	1	1	100%
If alleged conduct is of a criminal nature, determine if the chain of command was notified and if they notified PSB.	N/A	N/A	N/A	N/A
Determine if the minimum amount of information was obtained (date, time, summary, location, name, contact info, witness info, supporting documents/evidence, involved employees, etc.).	0	1	1	100%
Determine if written acknowledgement was provided that the complaint was received, documented, forwarded for investigation and complainant would be contacted by a department representative.	0	1	1	100%
Determine if the complaint was promptly forwarded to PSB.	0	1	1	100%
Determine if the complaint notification was sent within 7 days, including IA# and investigator name and contact number.	0	1	1	100%
Determine if the employee reported accurate information in the complaint.	0	1	1	100%
<b>Overall compliance for tests conducted online</b>	<b>0</b>	<b>10</b>	<b>10</b>	<b>100%</b>

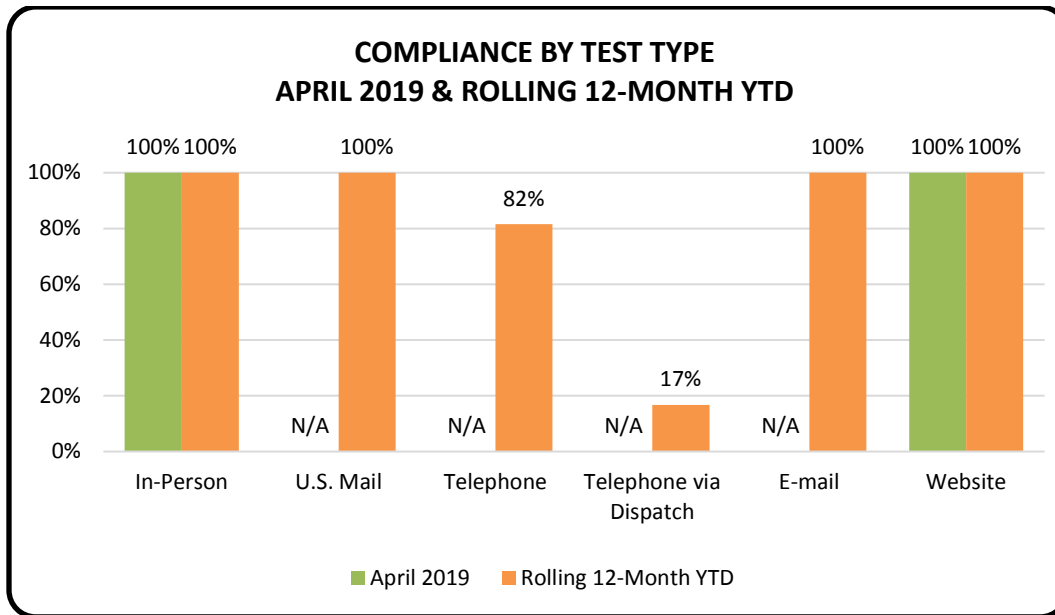
Below is a rolling 12-month historical comparison of compliance for filing a complaint online:



**Overall Compliance for April 2019:**

Compliance Rate by Method of Test	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	N/A
Tests conducted via E-mail	N/A
Tests conducted via filing a complaint Online	100%
<b>Overall Compliance for all Complaint Intake Tests Inspected</b>	<b>100%</b>

Below is a chart illustrating compliance rate by type of test conducted for the month of April 2019 as compared with the corresponding year-to-date compliance rate.

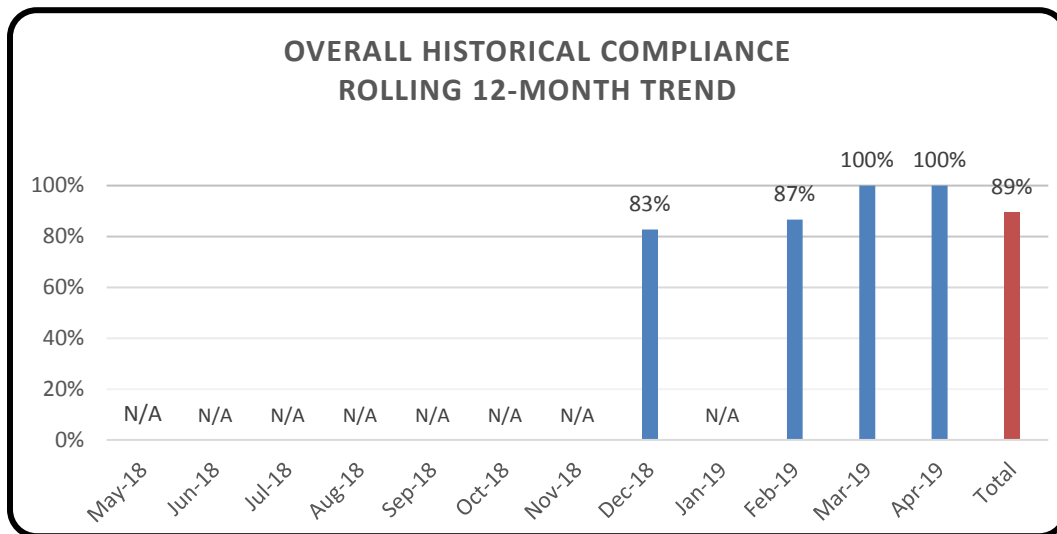


There were no deficiencies noted for the month of April 2019.

**History of Overall Compliance:**

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



**Recommendation:**

1. It is recommended that commanders continue to provide mentoring and guidance and review MCSO Policy GH-2 to ensure that the requirements for the intake of complaints are being followed, specifically Complaint Intake Procedures requirements listed in GH-2.2.
2. It is recommended that commanders continue to provide mentoring and guidance and review MCSO Policy GI-1, paragraph 12.C.1 to ensure that the requirements for the intake of complaints are being followed, specifically the requirements that:
  1. Once the complaint information is obtained, Communications Division personnel shall immediately verbally contact the on-duty supervisor of the district or division in which the complaint was directed. This will allow the on-duty supervisor to immediately take action. This procedure applies to all complaints where contact is not restricted by business hours.
    - a. Communications Division personnel shall then e-mail the complaint information to that on-duty supervisor of the district or division in which the complaint was directed. It shall be the responsibility of the on-duty supervisor to document the complaint into Blue Team.
    - b. Communications Division personnel shall copy the e-mail sent to the on-duty supervisor with the complaint information, to the Early Identification Unit to ensure the complaints entry is entered into Blue Team.

**Action Required:**

With the resulting **100%** overall compliance for *Inspection BI2019-0058*, no BIO Action Forms are requested.

**Notes:**

All supporting documentation (working papers) is included in the inspection file number *BI2019-0058* and contained within IAPro.

Date Inspection Started: May 8, 2019  
Date Completed: May 15, 2019  
Timeframe Inspected: April 1<sup>st</sup> – 30<sup>th</sup>, 2019  
Assigned Inspector: Connie Phillips B3345

I have reviewed this inspection report.

*Lt. D. Reaulo S1678*

5/21/2019

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

Date