

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



Complaint Intake Testing Inspection March 2021

Inspection # BI2021-0039

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 in order to determine if MCSO employees process the intake of complaints in accordance with MCSO policy.

The vendor has been issued open Purchase Orders for Fiscal Year ending June 30th which allows for a sufficient number of random and targeted tests to allow MCSO to assess the complaint intake process. The vendor determines the number of tests it will conduct on a monthly basis and when and how it will conduct these tests. Additionally, the 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 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.

The Complaint Intake Testing vendor conducted four tests during the month of March 2021; two were conducted by telephone and two were conducted by e-mail. AIU inspected all four complaint intake tests. These tests are discussed in further detail under the applicable report sub-sections below.

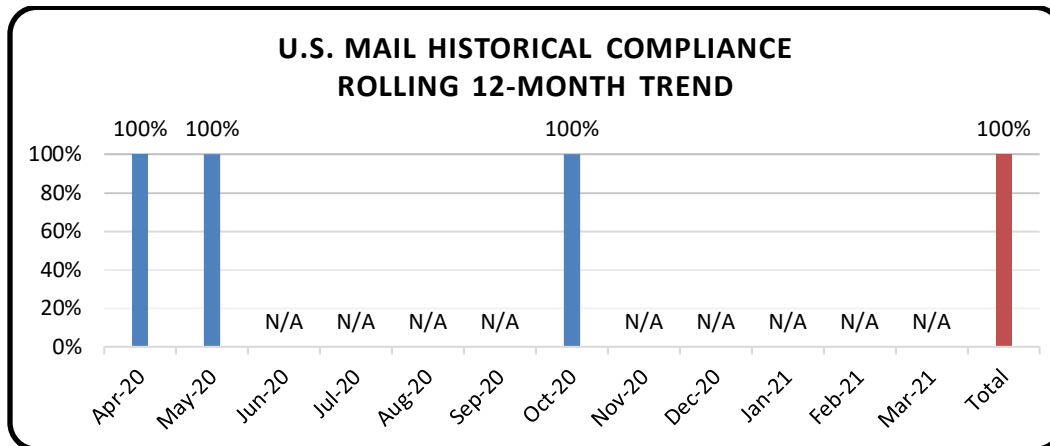
In-Person Testing

There were no In-Person Complaint Intake Tests conducted during the month of March 2021 or during the past 12 months.

Testing by U.S. Mail

There were no Complaint Intake Tests conducted by U.S. Mail during the month of March 2021.

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

**Testing by Telephone**

There were two Complaint Intake Tests conducted by Telephone during the month of March 2021.

1. TEST #: 61

DISTRICT/DIVISION: District 6

TEST SCENARIO: The tester called District 6 directly to file a complaint on behalf of her friend. A deputy allegedly made racially insensitive remarks directed at the friend who was Asian.

ACTIONS TAKEN: The employee who received the phone call took the tester's contact information so the on-duty supervisor could call the tester and get the complaint details; the on-duty supervisor was not available when the initial call was made. Approximately 30 minutes later, a sergeant called the tester back. The sergeant obtained details of the complaint from the tester and told her that this matter would be referred to PSB and investigated.

The tester received a phone call from PSB within the timeframe required by Policy providing her with an IA number and the contact information for the assigned investigator.

RESULTS: No deficiencies were noted.

TESTER COMMENTS: The tester was put *on hold for nearly five minutes – that felt quite long, but [the Administrative Assistant] was very cordial. ... Both [the sergeant] and [the Administrative Assistant] were very professional.*

BIO FOLLOW UP: None required.

2. TEST #: 63

DISTRICT/DIVISION: District 3

TEST SCENARIO: The tester called District 3 directly to file a complaint. The tester stated that two deputies allegedly made homophobic remarks directed at a couple of men who asked for directions.

ACTIONS TAKEN: The administrative employee who received the phone call immediately referred the tester to the on-duty supervisor (sergeant). The sergeant obtained details of the complaint from the tester and told her that this matter would be referred to PSB and investigated.

The tester received a phone call from PSB within the timeframe required by Policy providing her with an IA number and the contact information for the assigned investigator.

RESULTS: No deficiencies were noted.

TESTER COMMENTS: *[The sergeant] was very professional and earnestly expressed concern about my complaint — of all the testing we have done I believe his response was the most serious and affirmative that this would be investigated.*

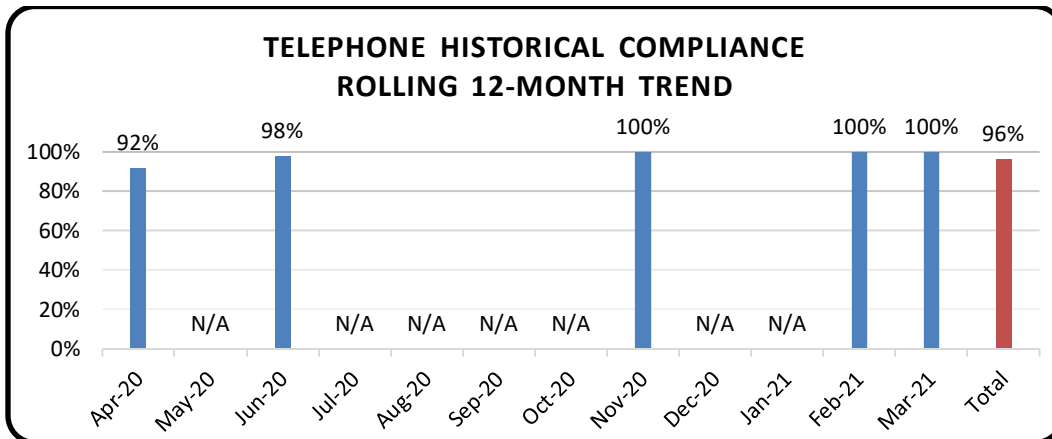
BIO FOLLOW UP: None required.

It was determined that MCSO employee compliance with 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.	0	1	1	100%
Determine if original recordings and documents were attached to BlueTeam or sent via interoffice mail to PSB.	0	2	2	100%
Verify that complaint was entered into BlueTeam or IAPro.	0	2	2	100%
Determine if the employee attempted to discourage, interfere or delay complaint.	0	2	2	100%
If 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"> • Complainant's name • Complainant's contact information • Location of the complaint occurrence • Report number and deputy name, if known 	0	2	2	100%
Determine if verbal or written acknowledgement 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%
Overall compliance for testing by Telephone	0	25	25	100%

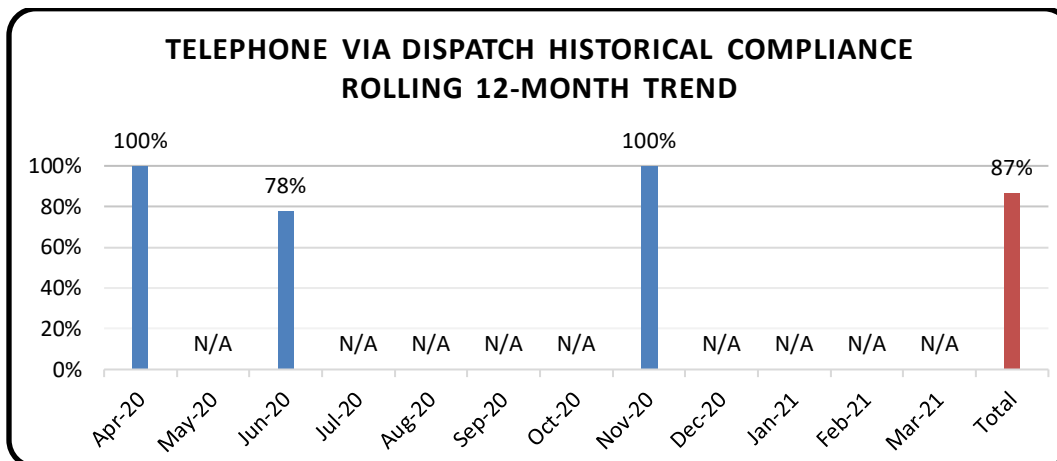
Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone:



Testing by Telephone via Communications Division

There were no Complaint Intake Tests conducted by Telephone via the Communications Division for the month of March 2021.

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 two Complaint Intake Tests conducted by E-mail during the month of March 2021.

1. TEST #: 62

DISTRICT/DIVISION: District 1

TEST SCENARIO: The tester e-mailed the commander of District 1 directly. According to the tester's e-mail, a deputy was observed allegedly littering in the parking lot of a fast food restaurant after sitting in his vehicle for at least two hours.

ACTIONS TAKEN: When the tester reported that she did not receive an IA number within the seven days allowed by policy, AIU checked the e-mail address provided to the tester and discovered that it was incorrect; therefore, the test could not be completed.

RESULTS: N/A – Test not completed due to incorrect e-mail address used.

TESTER COMMENTS: N/A

BIO FOLLOW UP: N/A

2. TEST #: 64**DISTRICT/DIVISION:** PSB

TEST SCENARIO: The tester e-mailed PSB directly. The tester posed as a Hispanic male. According to the tester's e-mail, the tester observed a deputy allegedly asleep in his MCSO vehicle while parked outside of a restaurant.

ACTIONS TAKEN: Less than 10 minutes after sending the e-mail, the tester received a response from PSB requesting additional information about the complaint. The tester then responded and PSB indicated that the assigned investigator would contact the tester. Approximately two hours later, the tester received an e-mail containing the IA number and contact information for the assigned investigator.

RESULTS: No deficiencies were noted.

TESTER COMMENTS: ... *this is the first time that I received questions back after filing a digital complaint – really felt like someone noticed. ... This was perhaps the fastest IA# via email we've received – all done in 2 hrs & 20 minutes. Definitely gave the impression the MCSO takes complaints seriously.*

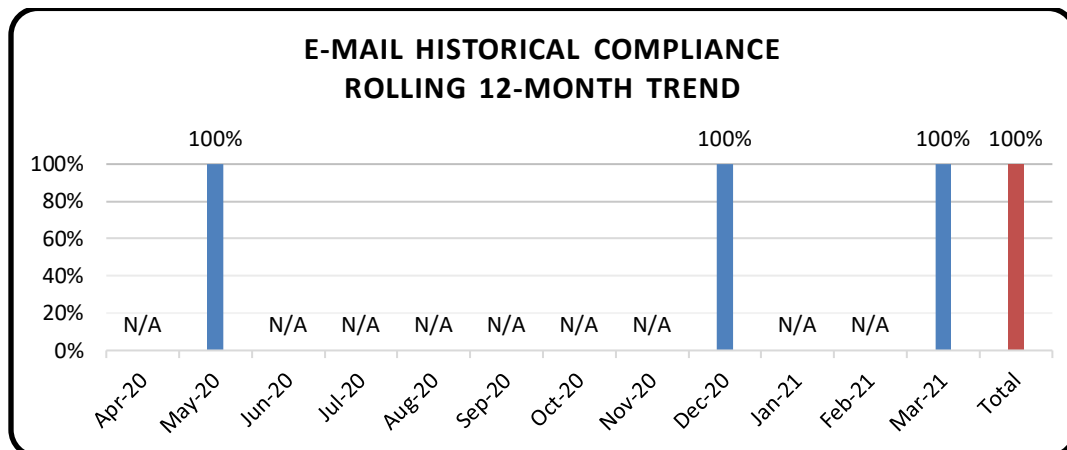
BIO FOLLOW UP: N/A

It was determined that MCSO employee compliance with applicable Office Policy (GH-2, *Internal Investigations*) was 100% for the one completed E-mail test, as illustrated by 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 in a courteous manner.	0	1	1	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.	N/A	N/A	N/A	N/A
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	1	1	100%

Verify that complaint was entered into BlueTeam or IAPro.	0	1	1	100%
Determine if the employee attempted to discourage, interfere or delay complaint.	0	1	1	100%
If 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.	N/A	N/A	N/A	N/A
Determine if the following minimum amount of information was obtained: <ul style="list-style-type: none"> Complainant’s name Complainant’s contact information Location of the complaint occurrence Report number and deputy name, if known 	0	1	1	100%
Determine if verbal or written acknowledgement was provided that the complaint was received, documented, forwarded for investigation and that complainant would be contacted by a department representative.	0	1	1	100%
Determine if the complaint was immediately 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%
Overall compliance for testing by E-mail	0	10	10	100%

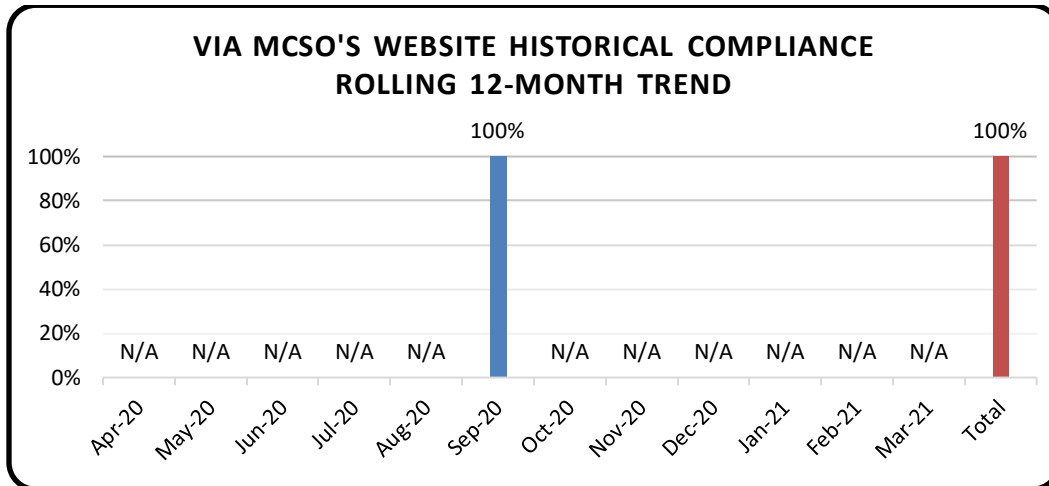
Below is a rolling 12-month historical comparison of compliance for tests conducted by E-mail:



Testing Online via MCSO’s Website

There were no Complaint Intake Tests conducted online during the month of March 2021 using the Office’s website.

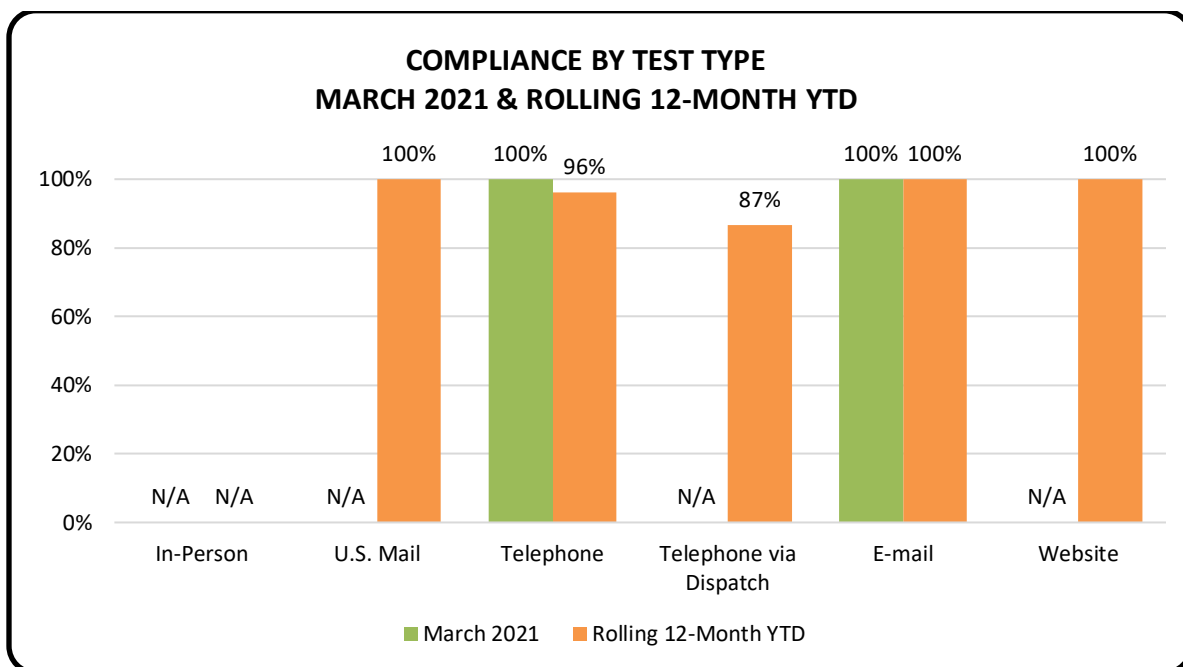
Below is a rolling 12-month historical comparison of compliance for filing a complaint Online:



Overall Compliance for March 2021:

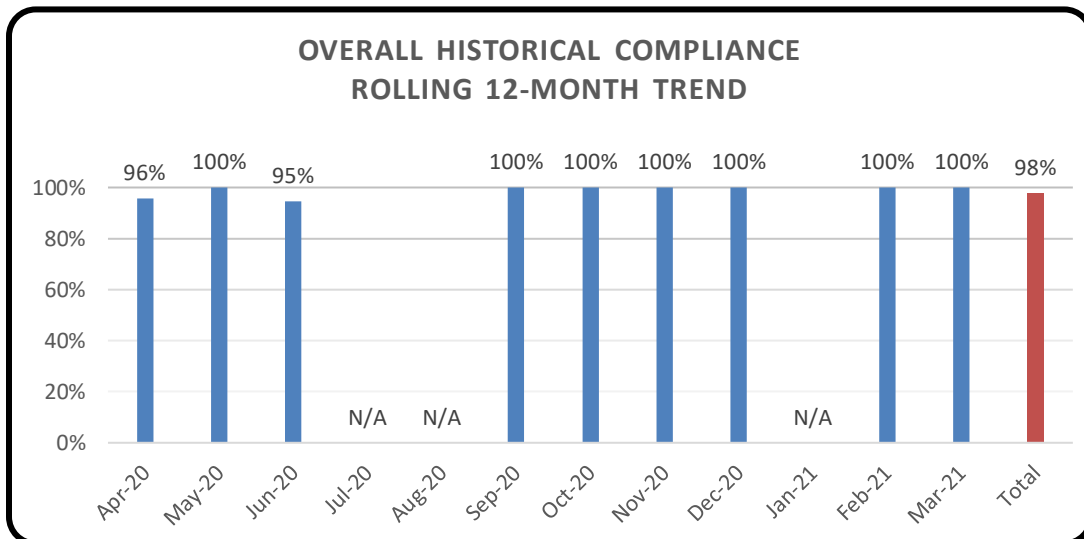
Compliance Rate by Method of Testing March 2021	Compliance Rate
Tests conducted In Person	N/A
Tests conducted by U.S. Mail	N/A
Tests conducted by Telephone	100%
Tests conducted via Dispatch	N/A
Tests conducted via E-mail	100%
Tests conducted by filing a complaint Online	N/A
Overall Compliance for all Complaint Intake Tests Inspected – March 2021	100%

Below is a chart illustrating compliance rate by type of test conducted for the month of March 2021 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:

**Action Required:**

With the resulting **100%** compliance rate for Inspection #BI2021-0039, **no BIO Action Forms** are requested.

Date Inspection Started: March 18, 2021
 Date Completed: April 12, 2021
 Timeframe Inspected: March 1st to March 31st, 2021
 Assigned Inspector: Connie Phillips B3345

I have reviewed this inspection report.

Lt. Jonathan Halverson S1674

Lt. Jonathan Halverson S1674
 Commander, Audits and Inspections Unit
 Bureau of Internal Oversight

4/13/2021

Date