

# MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



**Complaint Intake Testing Inspection May 2020**

Inspection # BI2020-0066

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 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 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 by using 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 tests and audio record all telephone tests. Each 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:**

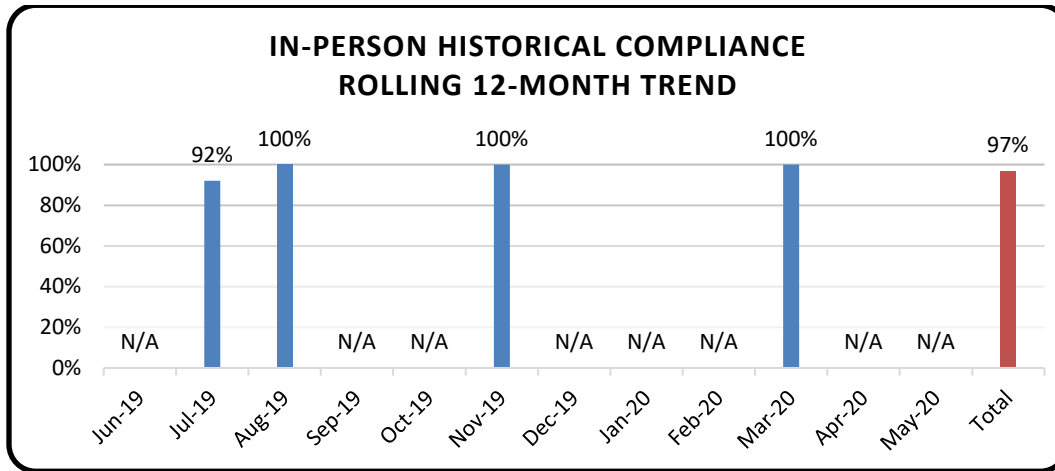
AIU began conducting the inspection of Complaint Intake Testing in January 2019 for tests performed during the month of December 2018. The following charts illustrate rolling 12-month histories of compliance with Office Policy. "N/A" indicates a particular type of test was not performed during that month.

The Complaint Intake Testing vendors conducted two tests during the month of May 2020; one was conducted by mail and one was conducted by e-mail. AIU inspected both 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 May 2020.

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



**Testing by U.S. Mail**

There was one Complaint Intake Test conducted by U.S. Mail during the month of May 2020.

**TEST #:** 50

**DISTRICT/DIVISION:** Sheriff’s Office Headquarters

**TEST SCENARIO:** The tester sent a letter by U.S. mail to the Sheriff’s Office headquarters complaining that she was allegedly sexually harassed by a deputy who had pulled her over and demanded that she remove her mask, saying that she “... looked ‘real fine’ ”. Also, she complained that the deputy was rude and unprofessional in returning her identification to her.

**ACTIONS TAKEN:** Seven days after mailing the letter, the tester received a letter electronically (since no return address was provided by the tester) from PSB providing her with an IA number and the contact information for the assigned investigator.

**RESULTS:** No deficiencies were noted.

**TESTER COMMENTS:** None.

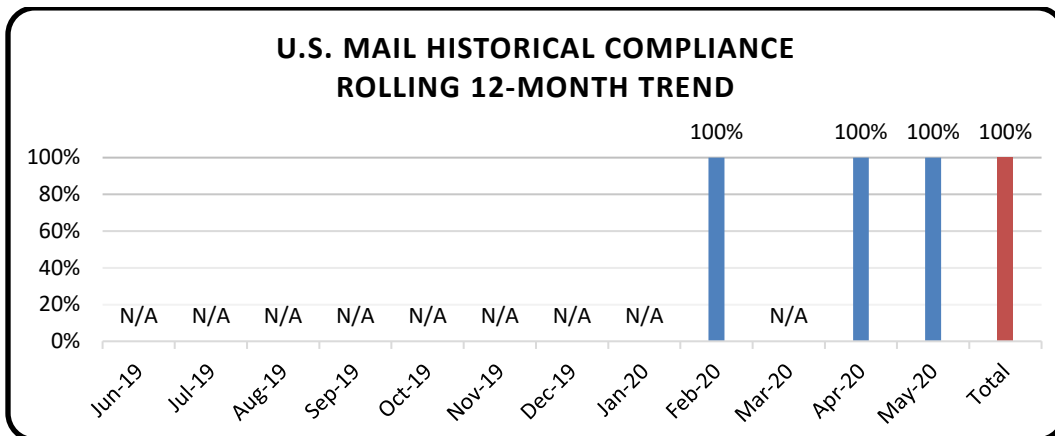
**BIO FOLLOW UP:** None required.

It was determined that MCSO employee 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	1	1	100%
Determine if the complaint was taken in a courteous manner.	N/A	N/A	N/A	N/A
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"> <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	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%
<b>Overall compliance for testing conducted by U.S. Mail</b>	<b>0</b>	<b>9</b>	<b>9</b>	<b>100%</b>

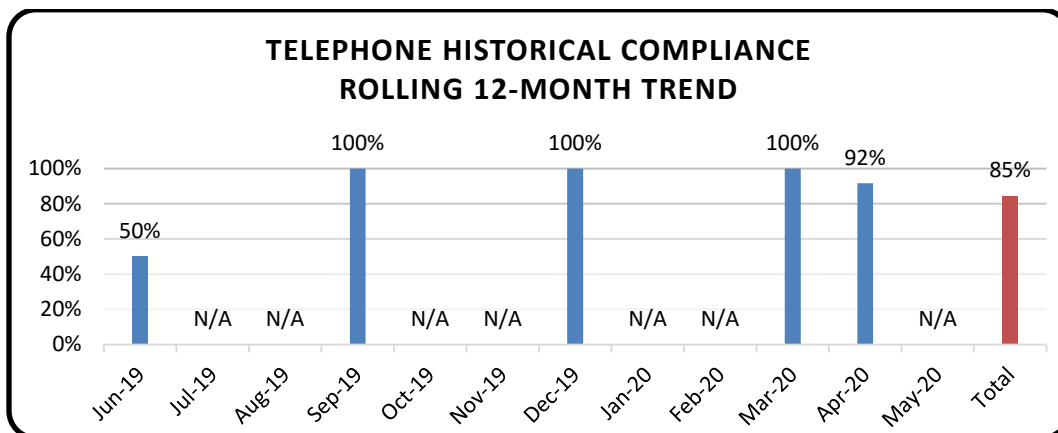
Below is a rolling 12-month historical comparison of compliance for tests conducted by U.S. Mail:



**Testing by Telephone**

There were no Complaint Intake Tests conducted by Telephone during the month of May 2020.

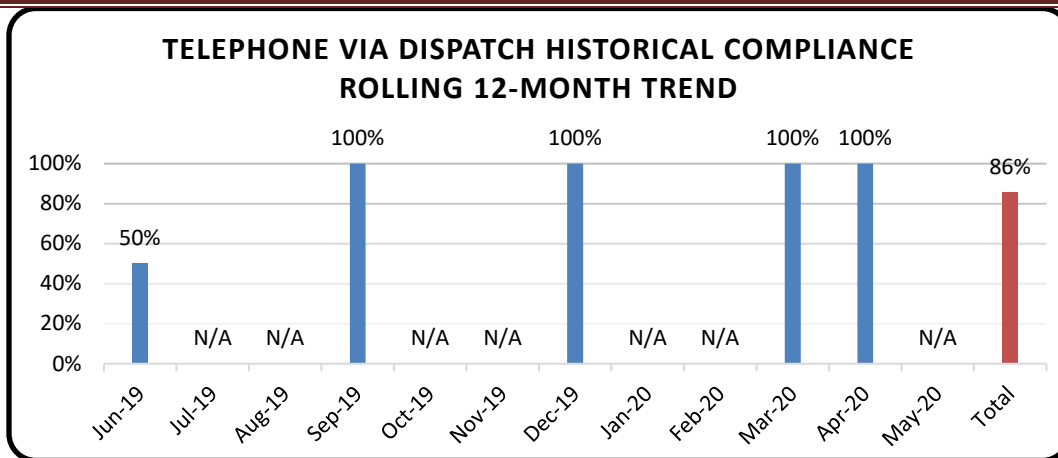
Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone:



**Testing by Telephone via Communications Division**

There were no Complaint Intake Tests conducted by Telephone via the Communications Division for the month of May 2020 (see above section “Testing by Telephone”).

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



### Testing by E-Mail

There was one Complaint Intake Test conducted by E-mail during the month of May 2020.

**TEST #:** 49

**DISTRICT/DIVISION:** District 6

**TEST SCENARIO:** The tester e-mailed the commander of District 6 directly. The tester, who posed as a male, complained that he observed a deputy allegedly shouting in demeaning and racially insensitive manner to a Hispanic driver pulled over to the side of the road.

**ACTIONS TAKEN:** The tester received an e-mail response from the District 6 commander the same day acknowledging the receipt of the complaint and indicating that it was forwarded to PSB and to expect contact soon. Four days later, the tester received a letter electronically from PSB providing her with an IA number and the contact information for the assigned investigator.

**RESULTS:** No deficiencies were noted.

**TESTER COMMENTS:** The tester indicated she felt "... that the MCSO responses were professional and timely."

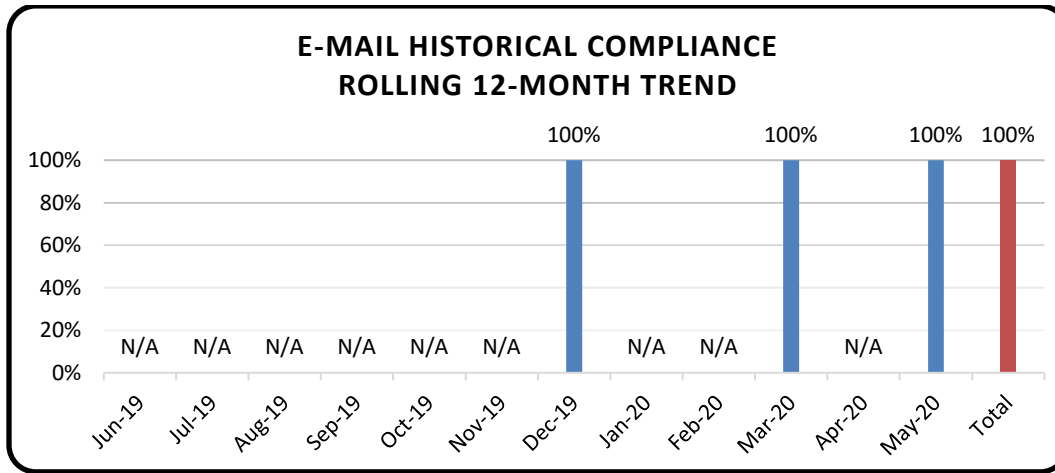
**BIO FOLLOW UP:** None required.

It was determined that MCSO employee 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	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"> <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	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%
<b>Overall compliance for testing conducted by E-mail</b>	<b>0</b>	<b>10</b>	<b>10</b>	<b>100%</b>

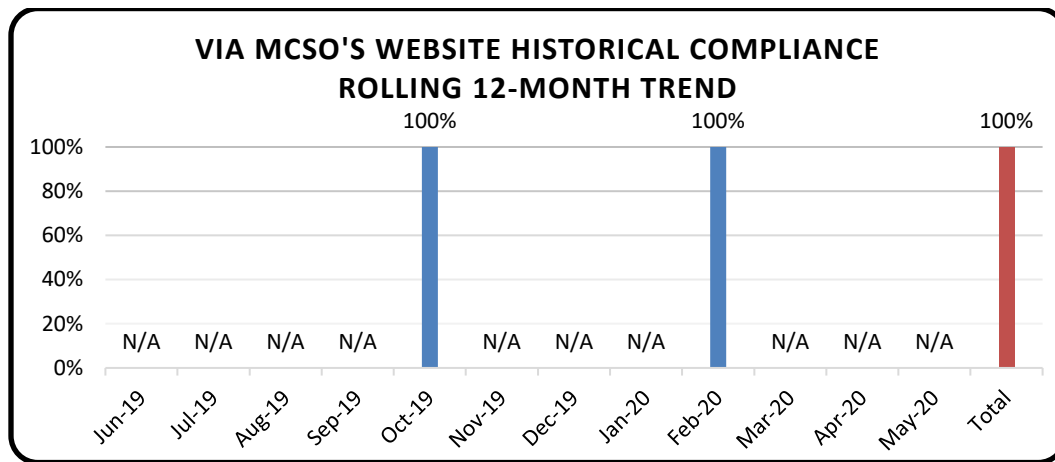
Below is a rolling 12-month historical comparison of compliance for tests conducted by E-mail:



**Testing Online via MCSO’s Website**

There were no Complaint Intake Tests conducted during the month of May 2020 using the Office’s website.

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

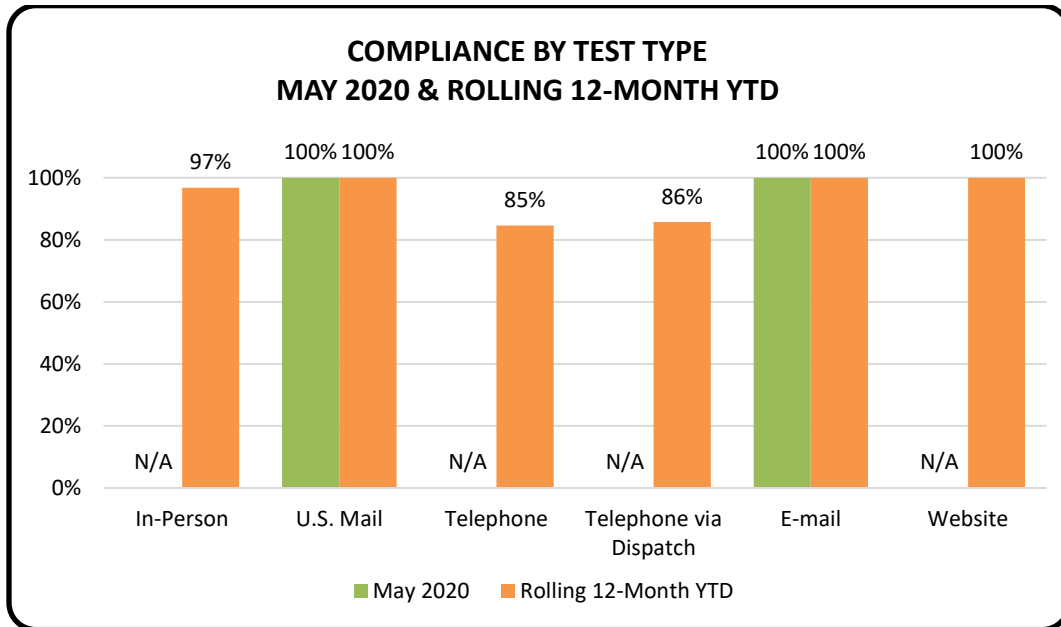


**Overall Compliance for May 2020:**

Compliance Rate by Method of Testing May 2020	Compliance Rate
Tests conducted In Person	N/A
Tests conducted by U.S. Mail	100%
Tests conducted by Telephone	N/A
Tests conducted via Dispatch	N/A
Tests conducted via E-mail	100%
Tests conducted by filing a complaint Online	N/A
<b>Overall Compliance for all Complaint Intake Tests Inspected – May 2020</b>	<b>100%</b>

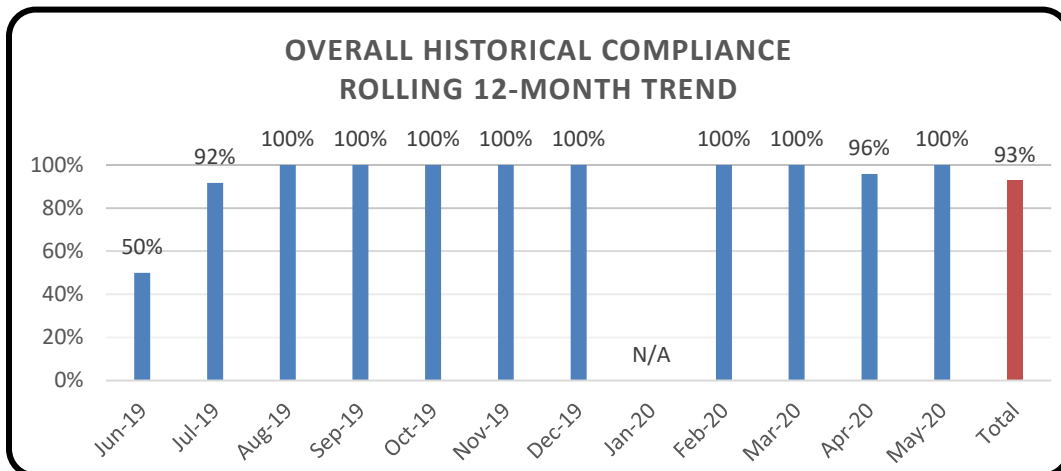


Below is a chart illustrating compliance rate by type of test conducted for the month of May 2020 as compared with the corresponding year-to-date compliance rate:



**History of Overall Compliance:**

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



There were no deficiencies was noted during the inspection period.

**Action Required:**

With the resulting **100%** compliance rate for Inspection #BI2020-0066, **no BIO Action Forms** are requested.

Date Inspection Started: June 3, 2020  
Date Completed: June 5, 2020  
Timeframe Inspected: May 1<sup>st</sup> to May 31<sup>st</sup>, 2020  
Assigned Inspector: Connie Phillips B3345

I have reviewed this inspection report.

*Lt. Todd Brice*

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

6-23-2020

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Date