

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight
Audits and Inspections Unit



Complaint Intake Testing Inspection October 2022

Inspection # BI2022-0151

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 30th 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 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.

There were four Complaint Intake Tests conducted during the month of October 2022; one was a telephone test, one was conducted online by using the Office's website, and two were in-person tests. 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 two In-Person Complaint Intake Tests conducted during the month of October 2022.

1. TEST #: 120-IP

DISTRICT/DIVISION: District 7

TEST SCENARIO: The tester posed as a Hispanic female who was dining at a restaurant and observed a deputy ask if his meal “was on the house.”

ACTIONS TAKEN: The tester went to the office of District 7 to file a complaint. The Administrative Assistant gave the tester a *Comment and Complaint Form* to complete. The Administrative Assistant then referred the complaint to an on-duty District 7 sergeant. The sergeant obtained details of the complaint, as well as audio and video recorded the interview 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 following day, 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

2. TEST #: 124-IP

DISTRICT/DIVISION: District 3

TEST SCENARIO: The tester posed as a mixed Asian heritage male who observed a deputy purchasing beer in full uniform. The tester also observed the deputy getting into a marked black SUV and when the deputy saw the tester watching him, the deputy said: “What are you looking at?”

ACTIONS TAKEN: The tester went to the office of District 3 to file a complaint and found the lobby locked. The tester then went to his car and called the District 3 direct number and ask to speak to someone about filing a complaint. The call taker transferred the tester to a District staff member who told the tester that a sergeant would meet him in the District’s lobby. Two sergeants came out to the lobby and met with the tester and obtained the details of the complaint. The interview was audio and video recorded by one of the sergeants in accordance with Office Policy. At the conclusion of the interview, one of the sergeants explained the process and informed the tester that the matter would be investigated.

Four days later, PSB called the tester with an IA number and the contact information for the assigned investigator.

RESULTS: No deficiencies were noted. It should be noted that the tester failed to record the telephone conversation that occurred at the beginning of the test. This was the tester's first test and he mistakenly thought he was using a recorded line.

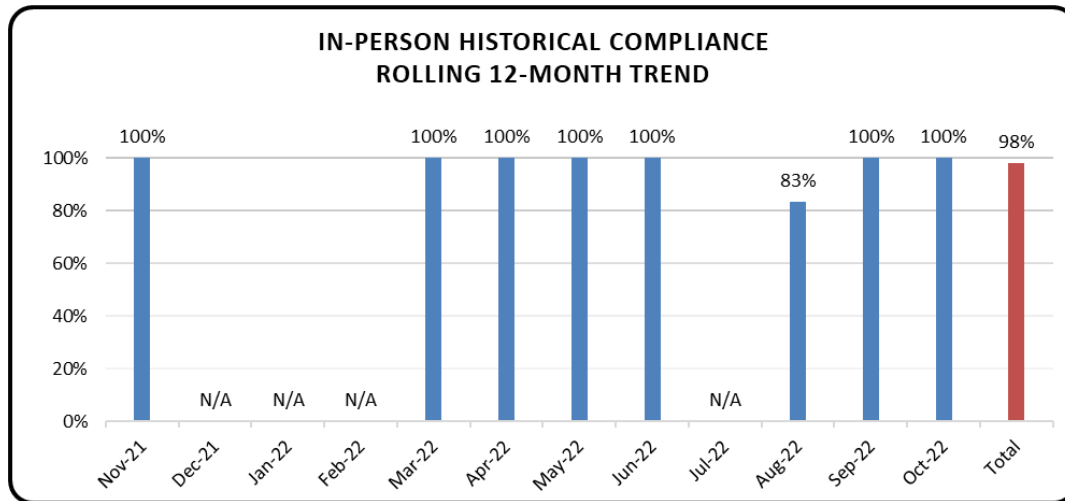
TESTER COMMENTS: N/A

BIO FOLLOW-UP: The tester summary states that he called the District 3 direct line which was answered by a female. He was then transferred to another female who told the tester that a sergeant would meet him in the lobby. BIO attempted to determine if the call went through dispatch, but were unable to do to the tester not remembering further information. AIU learned that EIU had not received any emails from dispatch regarding this test.

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.	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 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"> 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 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%
Overall compliance for In-Person testing	0	24	24	100%

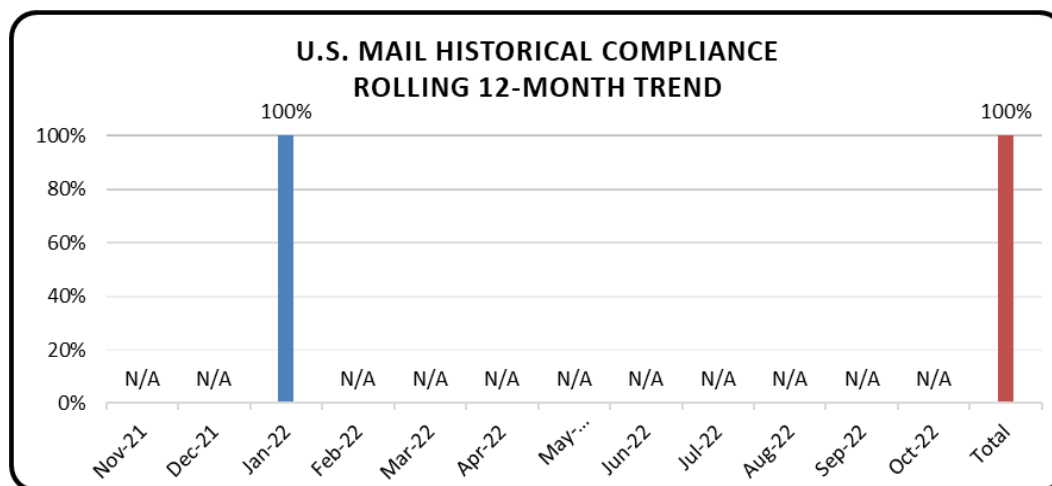
Below is a rolling 12-month historical comparison of compliance for In-Person tests:



Testing by U.S. Mail

There were no Complaint Intake Tests conducted by U.S. Mail during the month of October 2022.

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



Testing by Telephone

There was one Complaint Intake Test conducted by Telephone during the month of October 2022.

TEST #: 104

DISTRICT/DIVISION: PSB

TEST SCENARIO: The tester posed as a female who observed a deputy who was called to an apartment building for a noise complaint about her neighbors being very rude. The tester overheard the deputy make a racial slur under his breath as he left.

ACTIONS TAKEN: The tester called the MCSO toll-free 24-hour hotline number to file a complaint. The call was answered by a PSB employee who recorded the conversation as required by Policy and entered the complaint in the BlueTeam system the same day. The following day later the tester received a phone call from PSB providing her with an IA number and the contact information for the assigned investigator.

RESULTS: No deficiencies were noted.

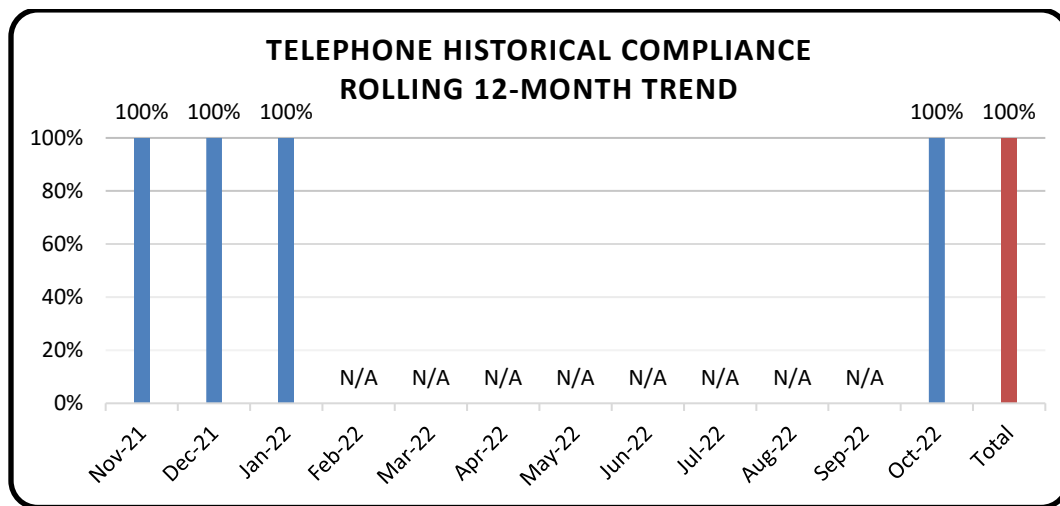
TESTER COMMENTS: N/A.

BIO FOLLOW-UP: None required.

It was determined that MCSO 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 the complaint.	0	1	1	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	1	1	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	1	1	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	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 Telephone	0	11	11	100%

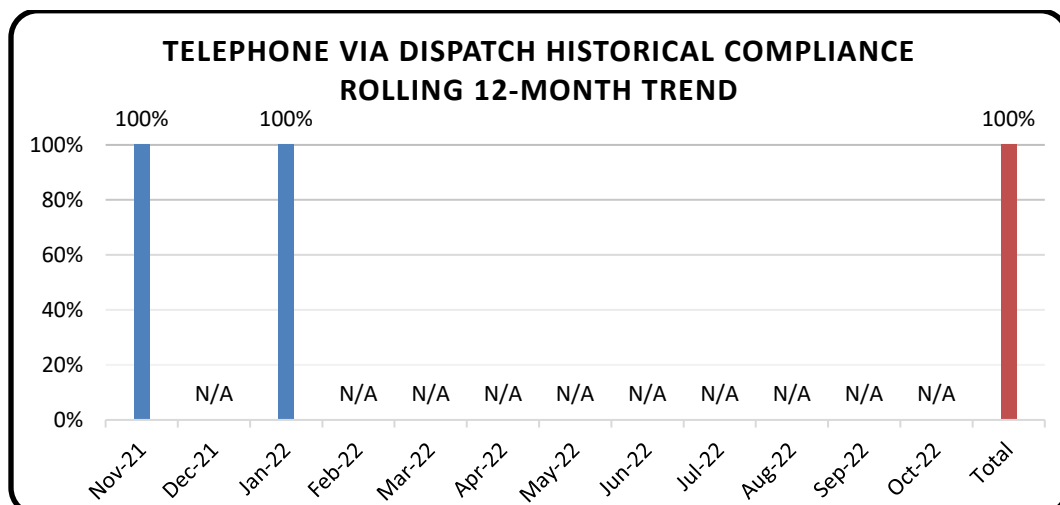
Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone:



Testing by Telephone via Communications Division

There were no Complaint Intake Tests conducted by Telephone via the Communications Division for the month of October 2022.

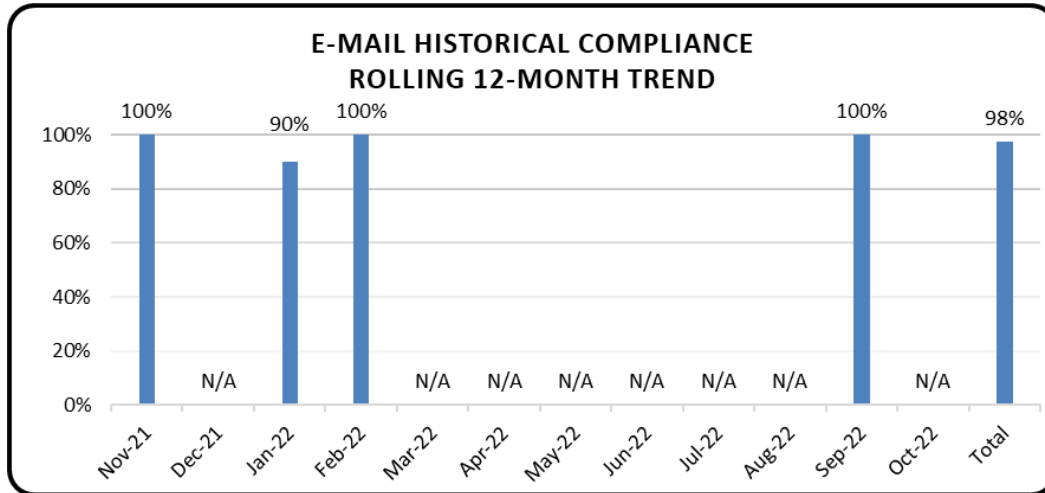
Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone via the Communications Division:



Testing by E-Mail

There were no Complaint Intake Tests conducted by E-mail during the month of October 2022.

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

**Testing Online via MCSO's Website**

There was one Complaint Intake Test conducted online during the month of October 2022 using the Office's website.

TEST #: 112

DISTRICT/DIVISION: District 1

TEST SCENARIO: The tester posed as a woman who was almost hit by the deputy as he was pulling out of a parking lot in front of her while on his phone. The tester said she honked at the deputy who then proceeded to pull her over and yell at her for honking at him and told her she should be driving more carefully.

ACTIONS TAKEN: The tester filed the complaint through the MCSO website at www.mcso.org/i-want-to/share-comments-or-complaints and received an automated confirmation response a short time later. Three days later, the tester received an e-mail response from PSB with an IA number and the name and contact information of the assigned investigator.

RESULTS: No deficiencies were noted.

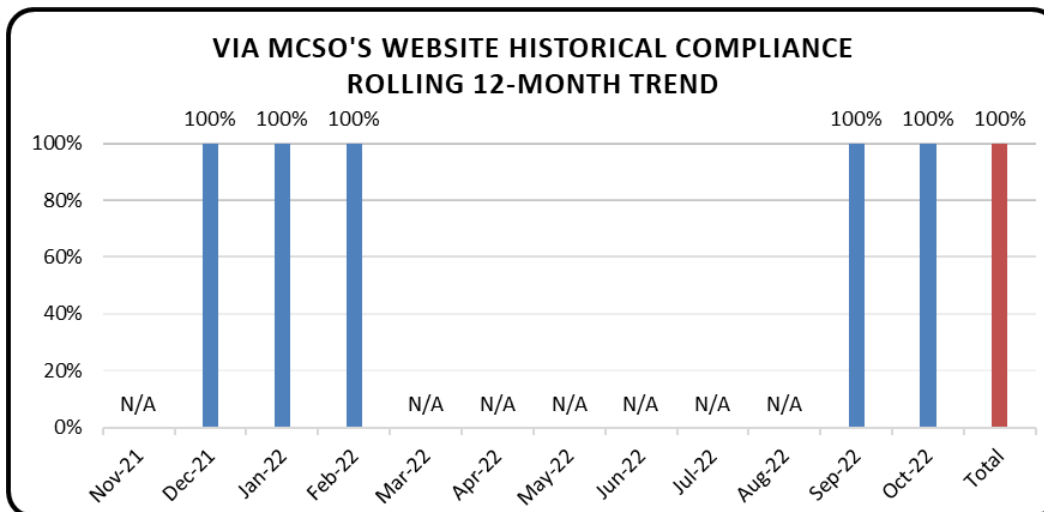
TESTER COMMENTS: N/A

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 the complaint.	0	1	1	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.	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 acknowledgment 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 the Website	0	10	10	100%

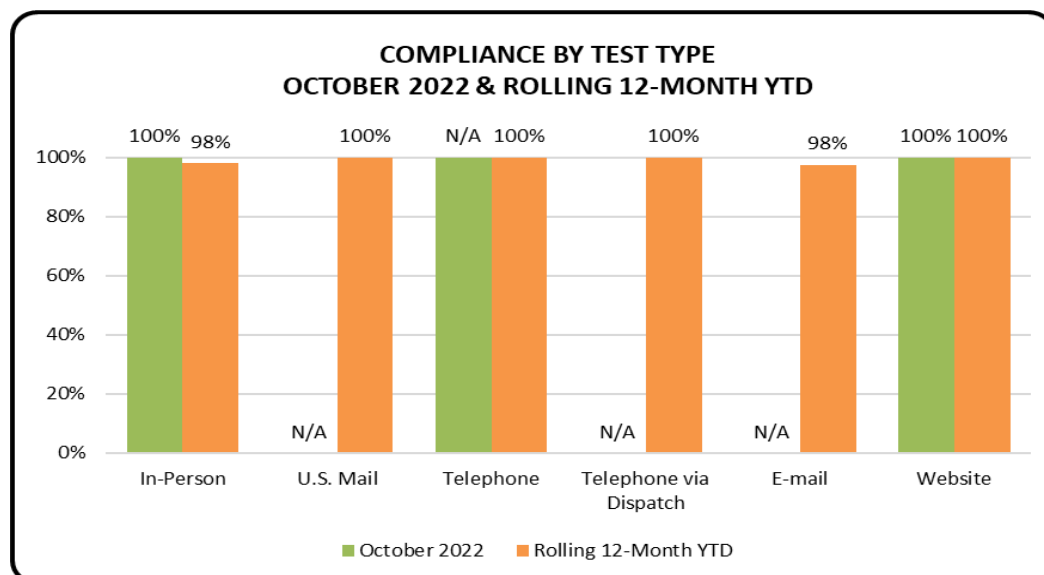
Below is a rolling 12-month historical comparison of compliance for filing a complaint Online:



Overall Compliance for October 2022:

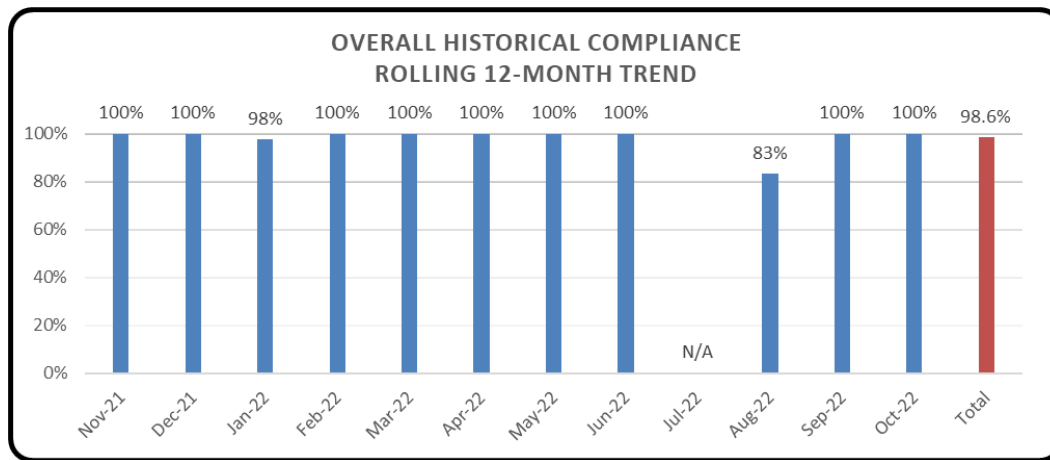
Compliance Rate by Method of Testing October 2022	Compliance Rate
Tests conducted In Person	100%
Tests conducted by U.S. Mail	N/A
Tests conducted by Telephone	100%
Tests conducted via Dispatch	N/A
Tests conducted via E-mail	N/A
Tests conducted by filing a complaint Online	100%
Overall Compliance for all Complaint Intake Tests Inspected – October 2022	100%

Below is a chart illustrating the compliance rate by type of test conducted for the month of October 2022 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 noted during the inspection period

Action Required:

The compliance rate is **100%** for Inspection #BI2022-0151; **no BIO Action Forms** are requested.

Date Inspection Started: October 27, 2022
 Date Completed: November 08, 2022
 Timeframe Inspected: October 1st to October 31st, 2022
 Assigned Inspector: Ronda Jamieson B3178

I have reviewed this inspection report.

Lt. Brian Arthur

Lt. T. Brian Arthur S1806
 Commander, Audits and Inspections Unit
 Bureau of Internal Oversight

12/6/22

Date