

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight
Audits and Inspections Unit



Complaint Intake Testing Inspection January 2023

Inspection # BI2023-0009

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:

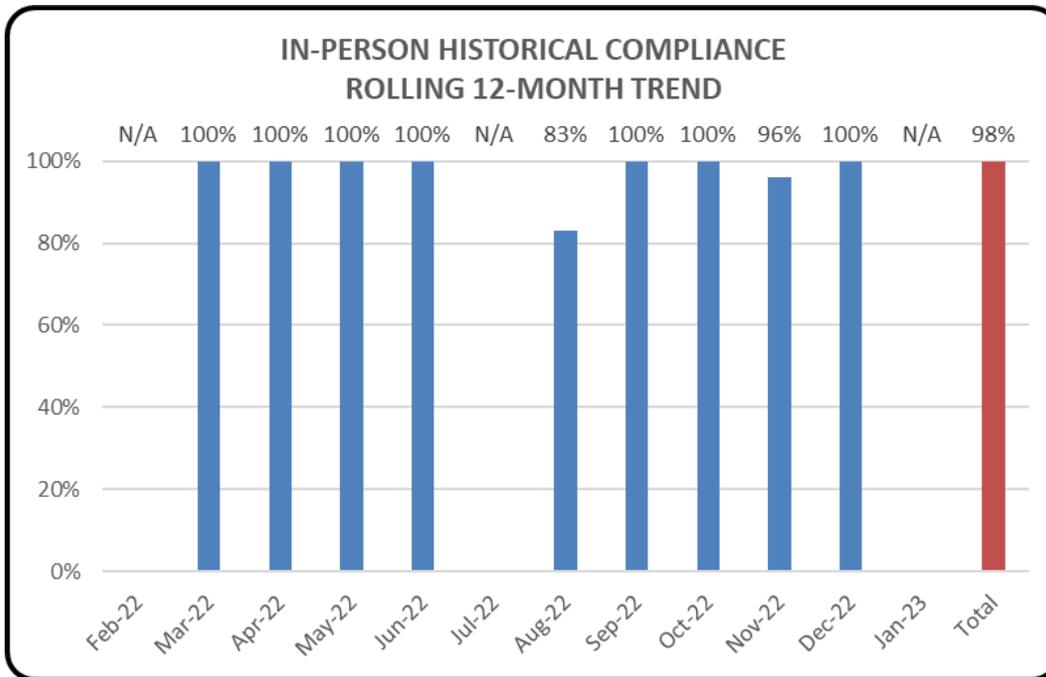
AIU began conducting the inspection of Complaint Intake Testing in January 2019 for tests performed during the month of December 2018. The following charts illustrate rolling 12-month histories of compliance with Office Policy. "N/A" indicates a particular type of testing was not performed during that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

There were two Complaint Intake Tests conducted during the month of January 2023; one was an email test and the other was a telephone test. AIU inspected all two 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 January 2023.

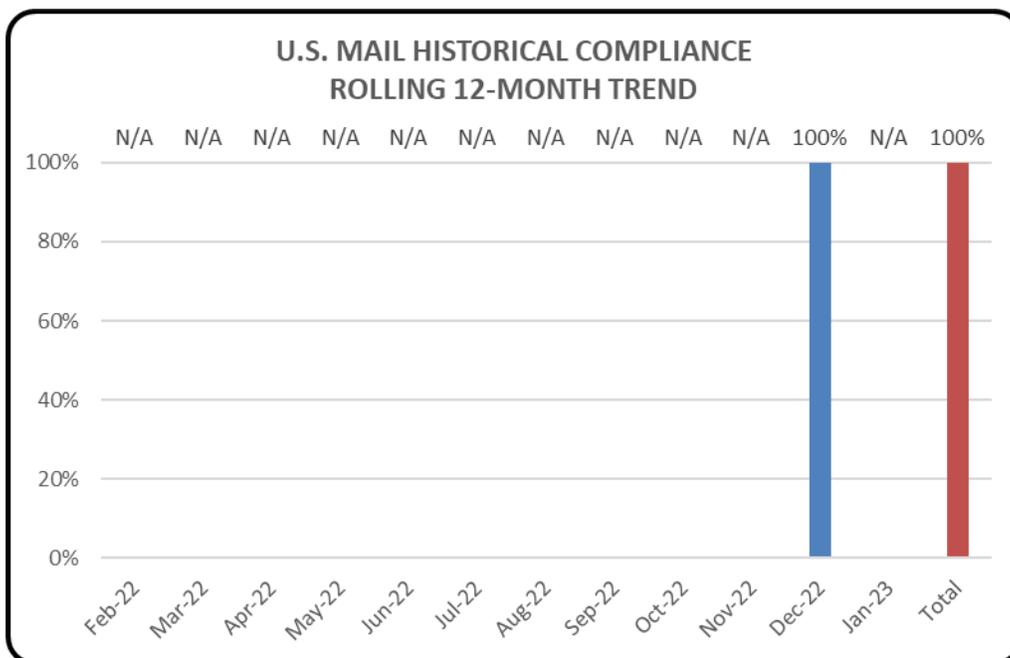
Below is a rolling 12-month historical comparison of compliance for In-Person tests:



Testing by U.S. Mail

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

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 January 2023.

TEST #: 106

DISTRICT/DIVISION: District 7

TEST SCENARIO: The tester posed as a female who had been in a coffee shop in District 7 when a deputy came in on his cell phone yelling and cursing at whoever was on the other end of the call. The deputy's behavior was making the tester and others in the coffee shop very uncomfortable.

ACTIONS TAKEN: The tester called the non-emergency dispatch phone number and asked to file a complaint. The dispatcher documented the tester's name, contact information, and information about the complaint. The dispatcher called the District 7 on-duty supervisor and gave him all the detail of the complaint. The dispatcher also followed up on the phone call by emailing the on-duty supervisor and the Early Identification Unit. The on-duty supervisor attempted to contact the tester 3 times at the phone number she provided the dispatcher and the phone calls would not go through. The on-duty district 7 supervisor immediately entered the complaint into BlueTeam. The following day the tester noticed that she had several missed calls from a blocked number and was worried that someone had tried to contact her regarding the complaint so she called the non-emergency number again and received a voicemail box and started to leave a message as she was doing this her call was transferred to PSB. A PSB employee answered and was able to see that her complaint was in the system and advised the tester that she would be contacted when the complaint was assigned an IA number and an investigator. Four days after the initial call, 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.

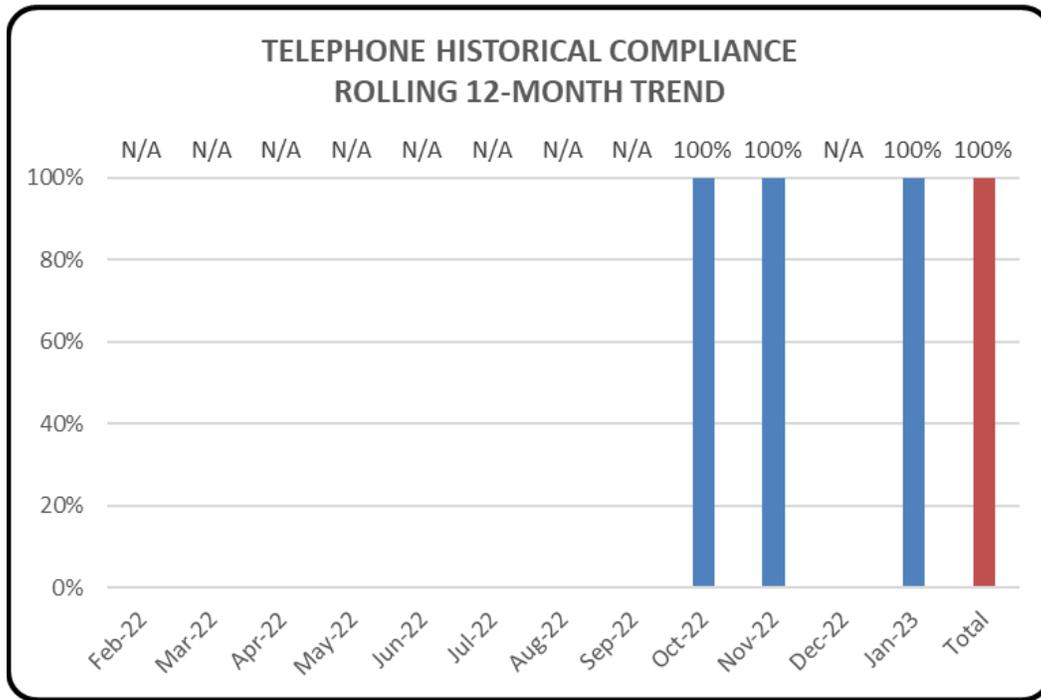
TESTER COMMENTS: N/A.

BIO FOLLOW-UP: BIO contacted the vendor to remind them that supervisor calls may come from blocked phone numbers to ensure that this does not happen in the future.

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	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 the 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 conducted by Telephone	0	11	11	100%

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



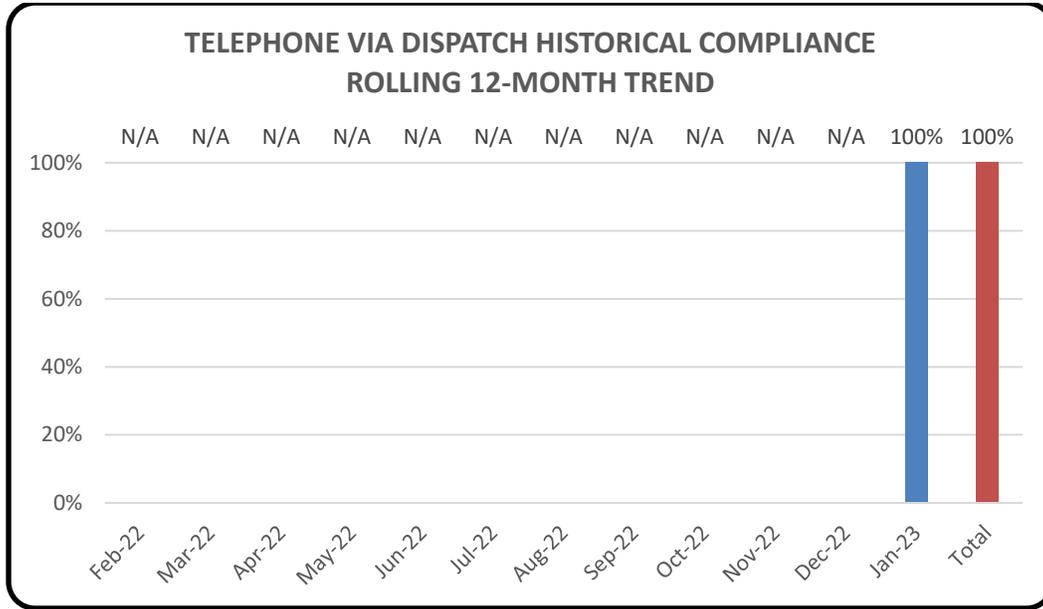
Testing by Telephone via Communications Division

There was one Complaint Intake Test conducted by Telephone via the Communications Division for the month of January 2023 (see the above details in “Telephone Testing” Test #106).

It was determined that MCSO employee compliance with the applicable office Policy (GI-1, *Radio and Enforcement Communications Procedures*) was 100%, 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.	0	1	1	100%
Determine if the employee e-mailed EIU.	0	1	1	100%
Overall compliance for testing by Telephone via Communications Division	0	3	3	100%

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 January 2023.

TEST #: 110

DISTRICT/DIVISION: PSB

TEST SCENARIO: A deputy was allegedly extremely rude, dismissive, and yelled at the tester when she flagged him down for assistance with her neighbor who was on her property and threatening physical harm to her.

ACTIONS TAKEN: The tester e-mailed PSB directly. Five days later, the tester received a response from PSB with the IA number and contact information for the assigned investigator.

RESULTS: No deficiencies were noted.

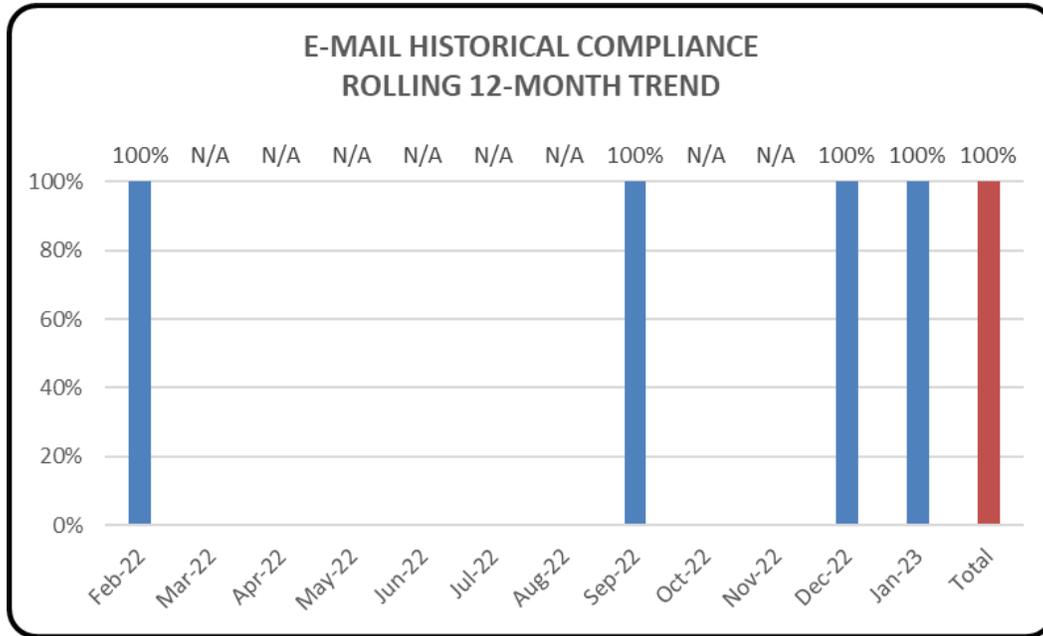
TESTER COMMENTS: N/A.

BIO FOLLOW-UP: None required.

It was determined that MCSO employee compliance with 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 the complaint was entered into BlueTeam or IAPro.	0	1	1	100%
Determine if the employee attempted to discourage, interfere or delay the complaint.	N/A	N/A	N/A	N/A
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 	N/A	N/A	N/A	N/A
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.	N/A	N/A	N/A	N/A
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	6	6	100%

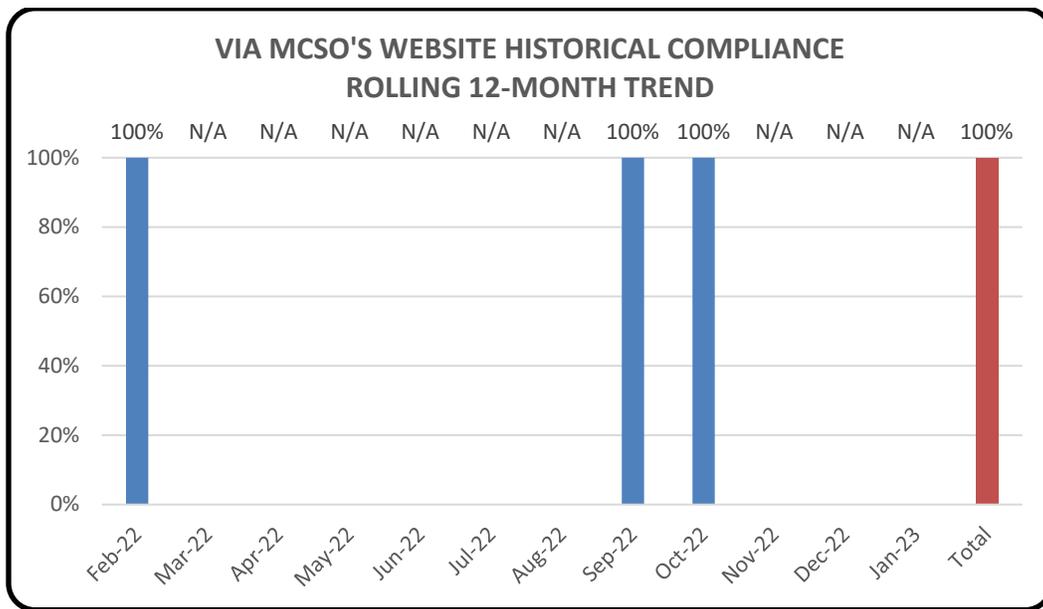
Below is a rolling 12-month historical comparison of compliance for tests conducted by E-mail:



Testing Online via MCSO’s Website

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

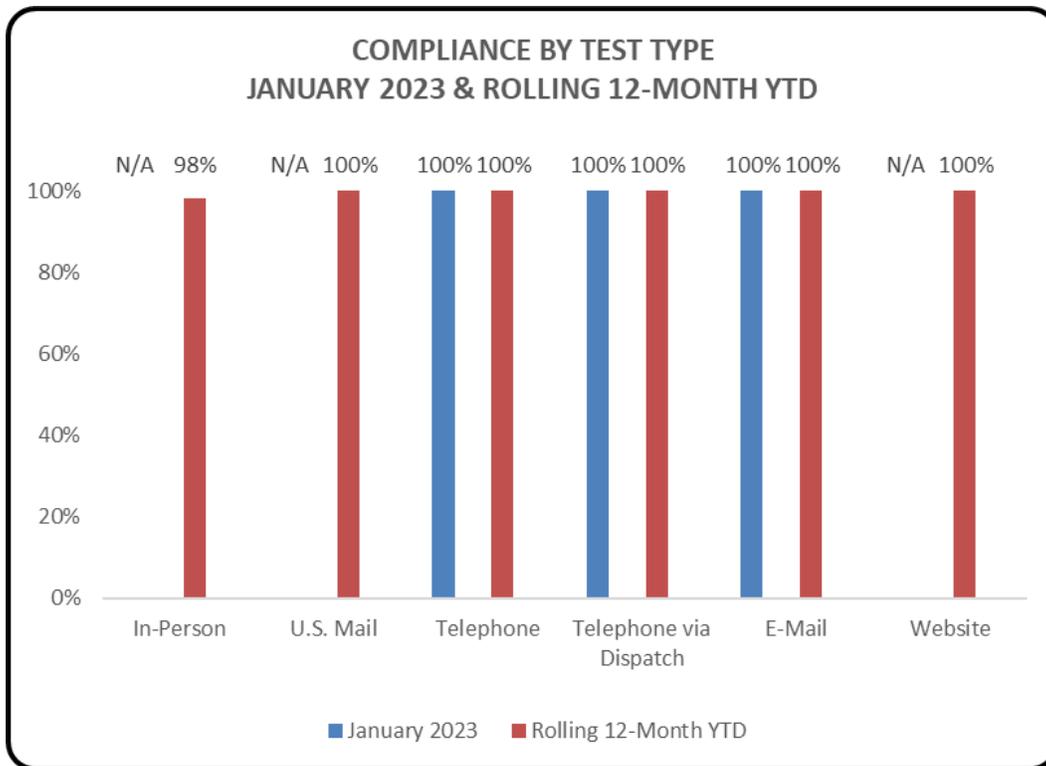
Below is a rolling 12-month historical comparison of compliance for filing a complaint Online:



Overall Compliance for January 2023:

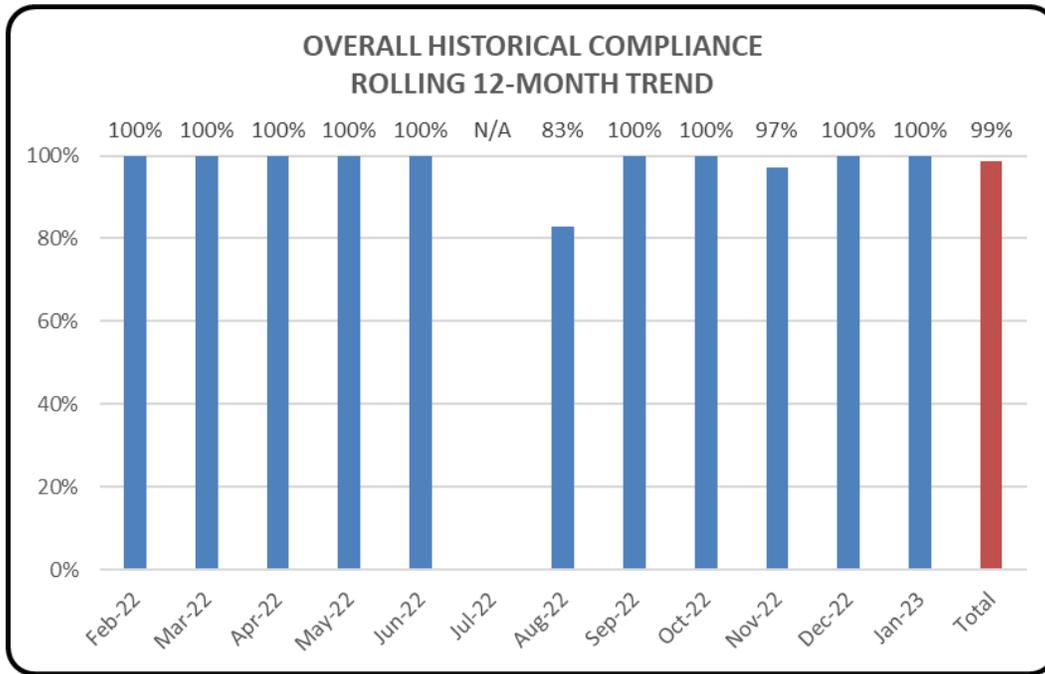
Compliance Rate by Method of Testing January 2023	Compliance Rate
Tests conducted In Person	N/A
Tests conducted by U.S. Mail	N/A
Tests conducted by Telephone	100%
Tests conducted via Dispatch	100%
Tests conducted via E-mail	100%
Tests conducted by filing a complaint Online	N/A
Overall Compliance for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

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



There were no deficiencies noted during the inspection period.

Action Required:

The compliance rate is **100%** for Inspection #BI2023-0009; **no BIO Action Forms** are requested.

Date Inspection Started: January 23, 2023
 Date Completed: February 10, 2023
 Timeframe Inspected: January 1st to January 31st, 2023
 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

3/7/2023

 Date