

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight
Audits and Inspections Unit



Complaint Intake Testing Inspection September 2024

Inspection # BI2024-0132

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*, GI-1, *Radio and Enforcement Communications Procedures*, and GB-2, *Command Responsibility* 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 have 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*

MCSO Policy GB-2, *Command Responsibility*

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 6-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 September 2024; one was an in-person test and one was a phone test. AIU inspected both complaint intake tests. These tests are discussed in further detail under the applicable report sub-sections below.

In-Person Testing

There was one In-Person Complaint Intake Test conducted during the month of September 2024.

1. **TEST #:** IP25-03

DISTRICT/DIVISION: District 4

TEST SCENARIO: The tester posed as a white female who witnessed an accident while driving. The tester said she pulled over to check on the people involved in the accident and while she was doing this she saw a deputy drive past the scene and not stop. She did not feel this was appropriate behavior for law enforcement.

ACTIONS TAKEN: The tester went to the District 4 Cave Creek office and was greeted by the administrative assistant who asked a few questions about the nature of the complaint and then went to get sergeant. The sergeant came and took the complaint. The interview was audio and video recorded by the sergeant 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.

RESULTS: No deficiencies were noted

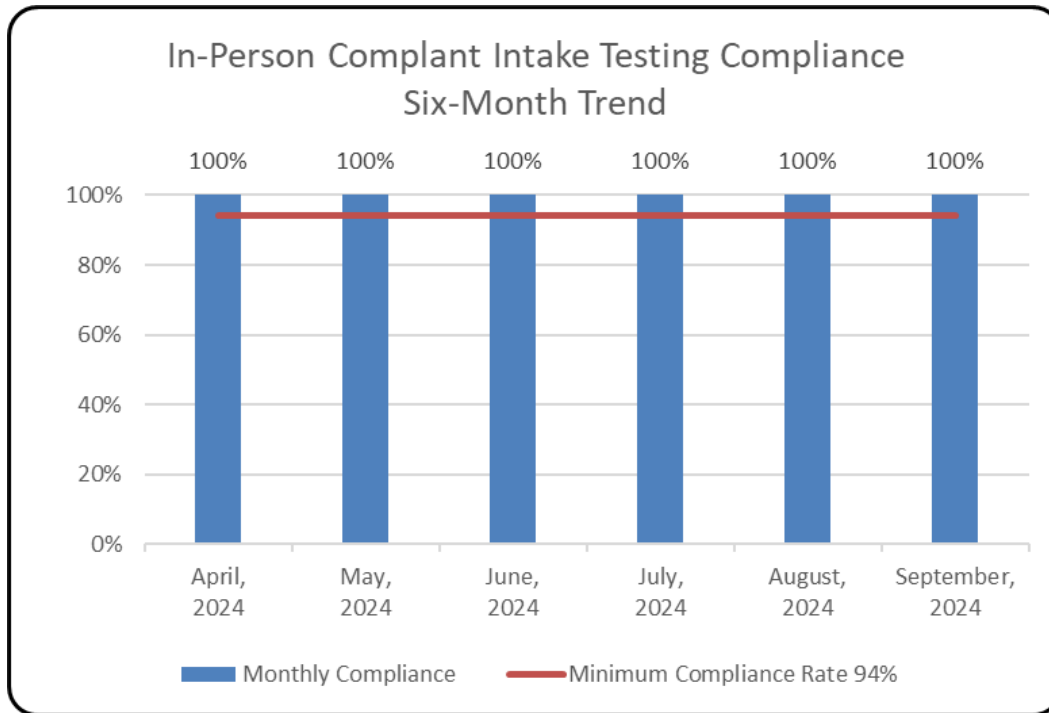
TESTER COMMENTS: N/A

BIO FOLLOW-UP: None required

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%
Determine if the complaint was referred to the on-duty supervisor.	0	1	1	100%
Determine if the supervisor offered to take the complaint in person.	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 the 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 employee reported accurate information in the complaint.	0	1	1	100%
Overall compliance for In-Person testing	0	11	11	100%

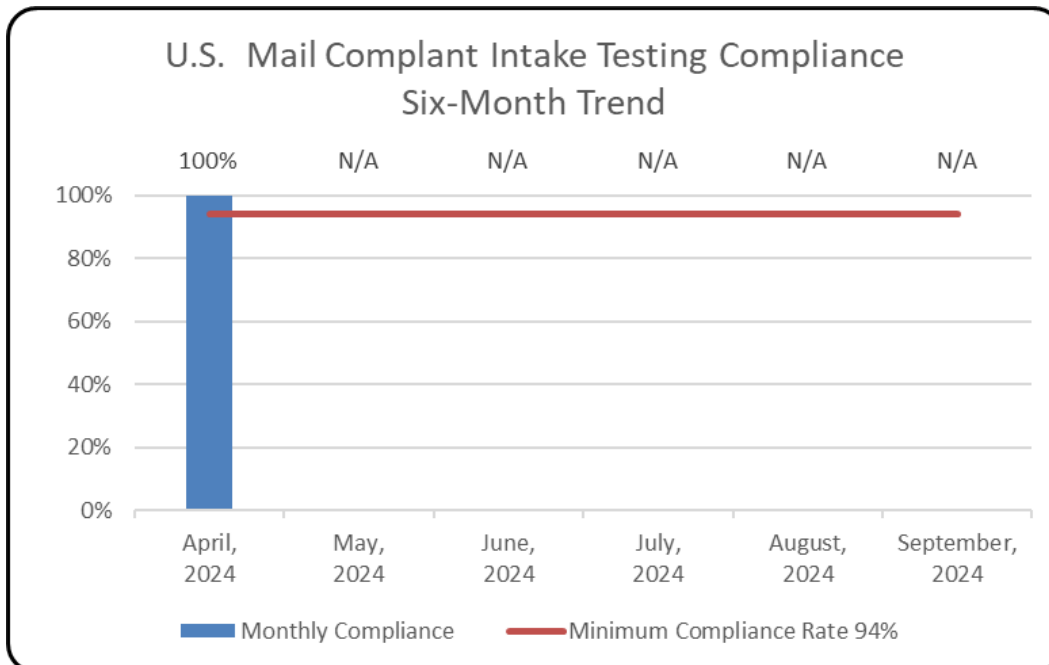
Below is a rolling 6-month historical comparison of compliance for In-Person tests:



Testing by U.S. Mail

There were no Complaint Intake Tests conducted by U.S. Mail during the month of September 2024.

Below is a rolling 6-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 September 2024.

TEST #: RP25-01

DISTRICT/DIVISION: District 1/Dispatch

TEST SCENARIO: The tester posed as a female who was hitchhiking on the I-10 just south of Phoenix. The driver who picked her up was pulled over by a deputy.

ACTIONS TAKEN: The tester called the District 1 (D1) phone number which initially was answered by an automated message, the tester pressed 2 to be connected to the district office. A female answered the phone and the tester stated she would like to file a complaint. D1 personnel asked the tester several questions about where the incident occurred and if she was sure it was not state troopers or in Pinal County. The D1 personnel did not ask for the caller's information or offer to transfer her to an on-duty sergeant. The tester was then transferred to MCSO dispatch.

After a brief pause, the call was answered by a dispatcher and the tester said she would like to file a complaint. The dispatcher asked when the stop occurred and the name of the driver. The dispatcher then told the caller she could not find any calls for service for that name on that date. The dispatcher then said she would transfer the caller to the Professional Standards. The dispatch never asks for the tester's name or contact information and does not email PSB or EIU.

The call was transferred to PSB and answered by their voicemail at which time the tester terminated the call and did not leave a message.

RESULTS: The District 1 personnel did not take the complaint, they did not refer the call to an on-duty sergeant, and they did not obtain the complainant's contact information. Policy GH-2.2.B.1.a.(1).

The Communications Division personnel did not take the complaint, contact an on-duty supervisor, or obtain the complainant's name or contact information. They did not email the complaint information to the on-duty supervisor of the district in which the complaint was directed. Also, personnel did not copy the email sent to the on-duty supervisor with the complaint information to the Early Intervention Unit at mcsos.eis@mcsos.maricopa.gov to ensure that the complaints are entered into Blue Team. Policy GI-1.12.D.1.a and b.

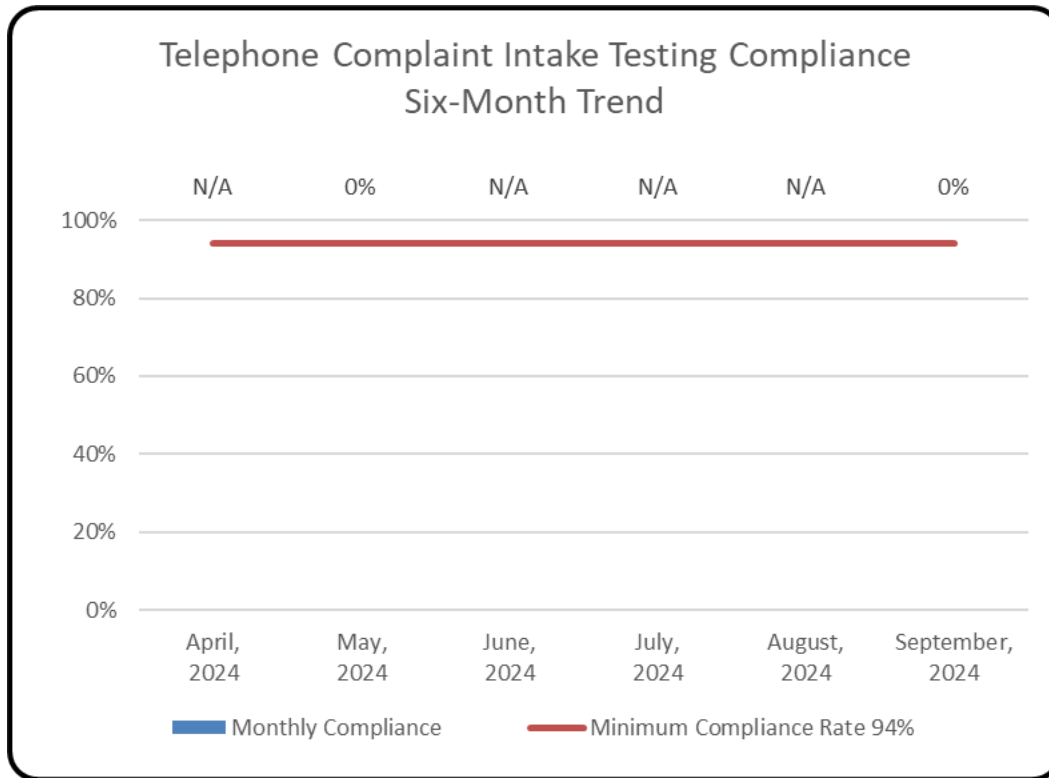
TESTER COMMENTS: N/A.

BIO FOLLOW-UP: BIO followed up with both District 1 and the Communications Division through the BIO Action Form process to address the Policy GH-2 and GI-1 requirements that were not met.

It was determined that MCSO employees' compliance with the applicable Office Policy (GH-2, *Internal Investigations*) was 0%, as illustrated by the table below:

Inspection Element	Not In Compliance	In Compliance	Total	Compliance Rate
Determine if the complaint was accepted.	1	0	1	0%
Determine if the complaint was taken in a courteous manner.	1	0	1	0%
Determine if the complaint was referred to the on-duty supervisor.	1	0	1	0%
Determine if the supervisor offered to meet the complaint in person.	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.	1	0	1	0%
Verify that the complaint was entered into BlueTeam or IAPro.	1	0	1	0%
Determine if the employee attempted to discourage, interfere, or delay the complaint.	1	0	1	0%
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.	1	0	1	0%
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 	1	0	1	0%
Determine if verbal or written acknowledgment was provided that the complaint was received, documented, forwarded for investigation, and that the complainant would be contacted by a department representative.	1	0	1	0%
Determine if the complaint was immediately forwarded to PSB.	1	0	1	0%
Determine if the employee reported accurate information in the complaint.	1	0	1	0%
Overall compliance for testing by Telephone	11	0	11	0%

Below is a rolling 6-month historical comparison of compliance for tests conducted by Telephone:



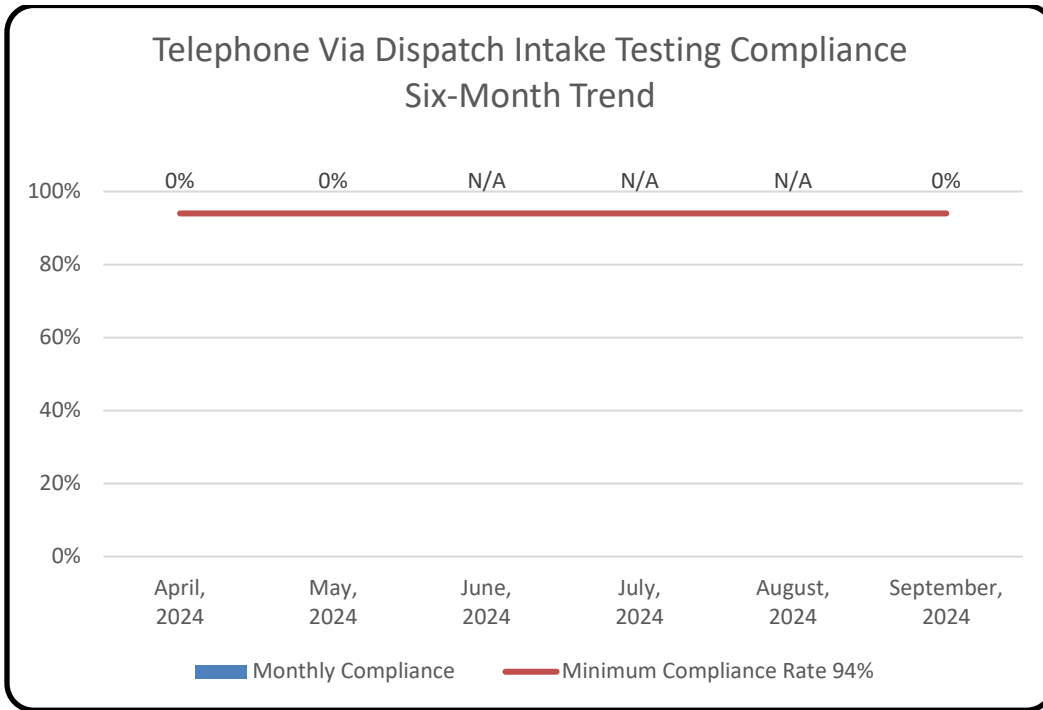
Testing by Telephone via the Communications Division

There was one Complaint Intake Test conducted by Telephone via the Communications Division for the month of September 2024. See the above section titled “Telephone” for the description of RP25-01.

It was determined that MCSO employee compliance with the applicable Office Policy (GI-1, *Radio and Enforcement Communication Procedures*) was 0%, 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.	1	0	1	0%
Determine if the employee immediately verbally contacted the on-duty division/district supervisor and e-mailed info to him/her.	1	0	1	0%
Determine if the employee e-mailed EIU.	1	0	1	0%
Overall compliance for testing by Telephone via Communications Division	3	0	3	0%

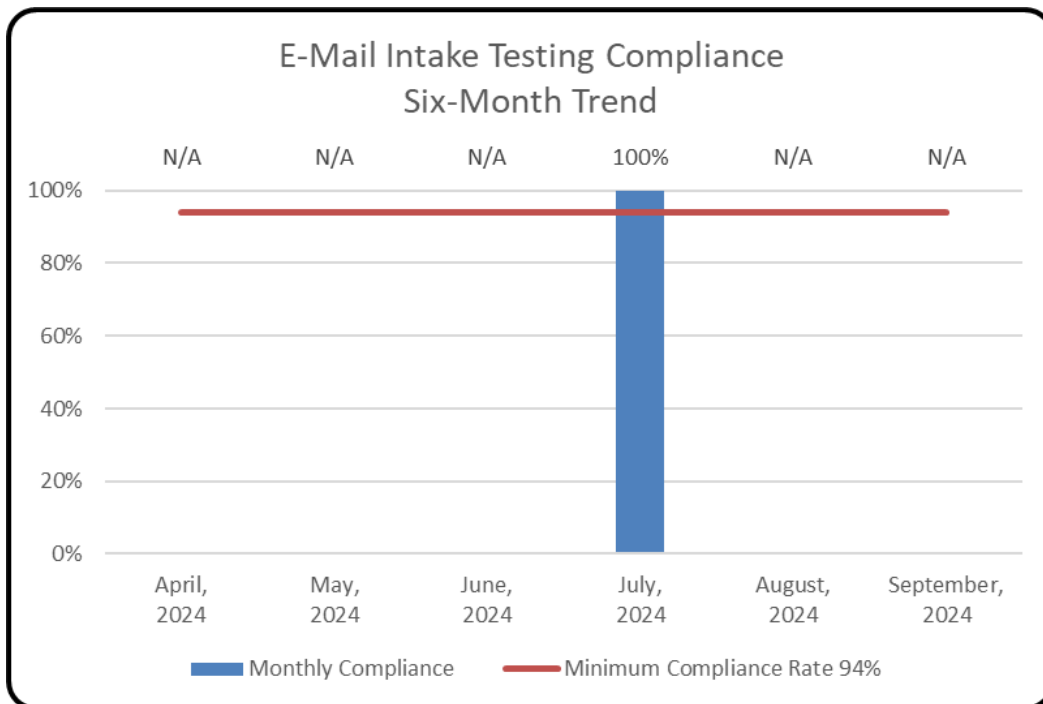
Below is a rolling 6-month historical comparison of compliance for tests conducted by Telephone via the Communications Division:



Testing by E-Mail

There were no Complaint Intake Tests conducted by E-Mail for the month of September 2024.

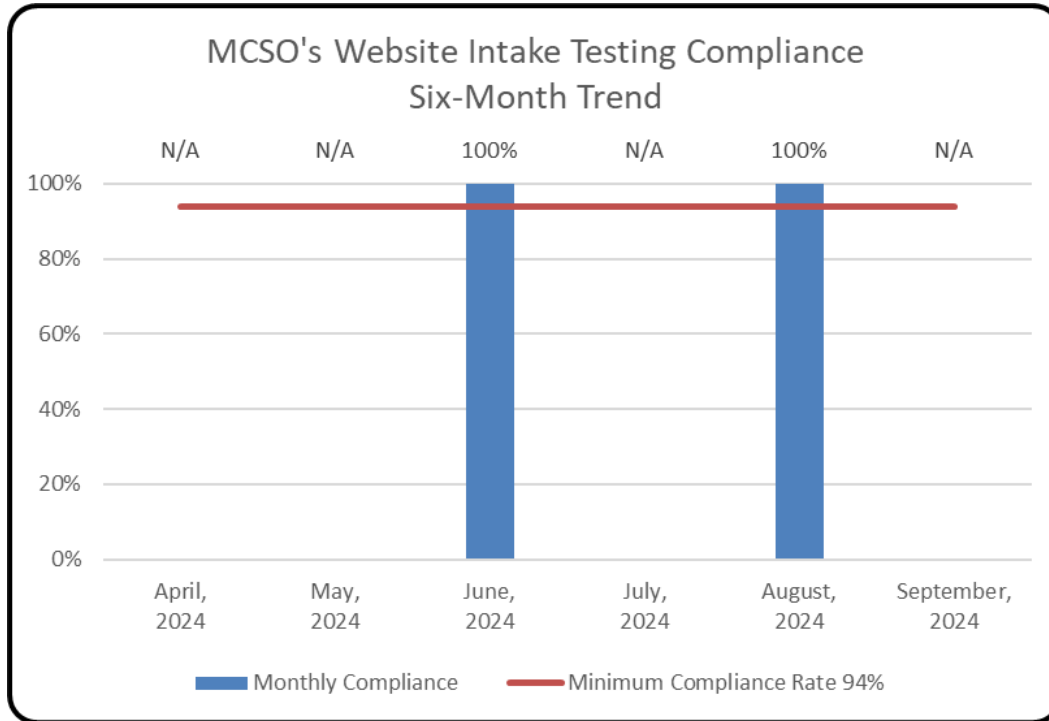
Below is a rolling 6-month historical comparison of compliance for tests conducted by E-mail:



Testing Online via MCSO’s Website

There were no Complaint Intake Tests conducted online during the month of September 2024 using the Office’s website.

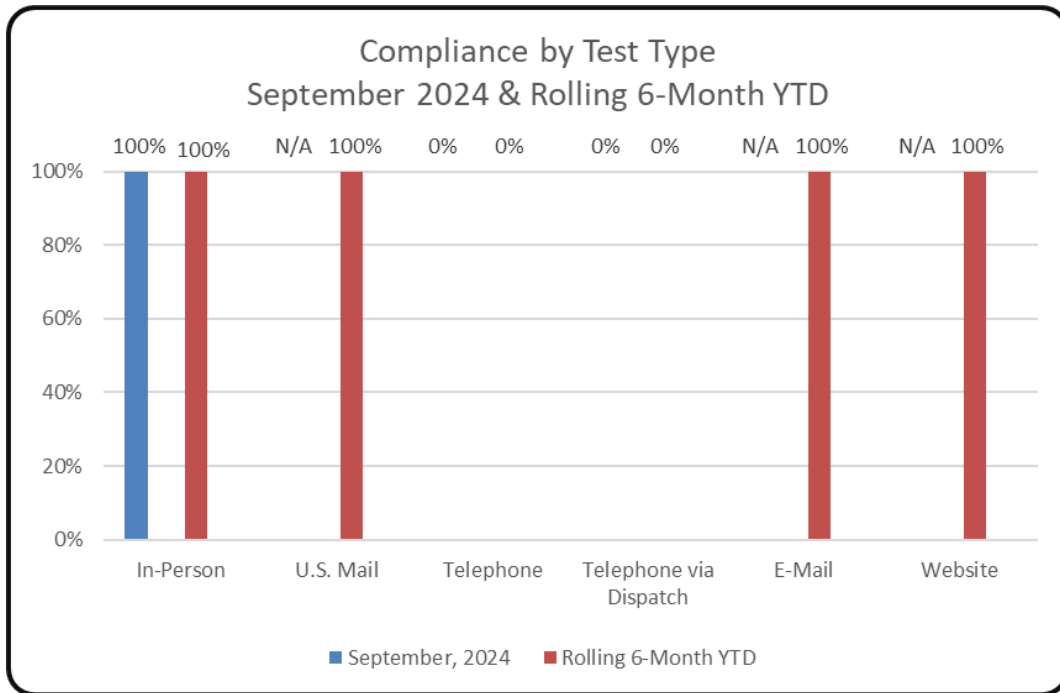
Below is a rolling 6-month historical comparison of compliance for filing a complaint Online:



Overall Compliance for September 2024:

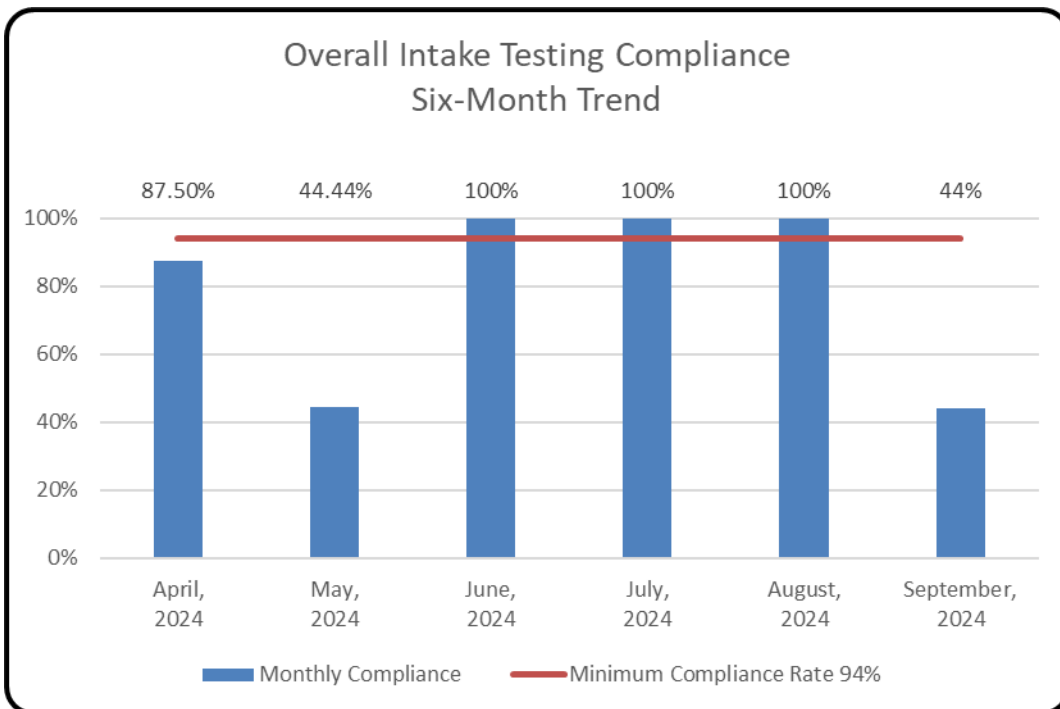
Compliance Rate by Method of Testing September 2024	Compliance Rate
Tests conducted In Person	100%
Tests conducted by U.S. Mail	N/A
Tests conducted by Telephone	0%
Tests conducted via Dispatch	0%
Tests conducted via E-mail	N/A
Tests conducted by filing a complaint Online/Website	N/A
Overall Compliance for all Complaint Intake Tests Inspected – September 2024	44%

Below is a chart illustrating the compliance rate by type of test conducted for the month of September 2024 as compared with the corresponding 6-month compliance rate:



History of Overall Compliance:

Below is a rolling 6-month historical comparison of compliance for all Complaint Intake Testing:



District 1 (1 BIO Action Form):

Compliance Deficiency

District/Division	Date of Event	Responsible Employee	Current Supervisor	Commander:
District 1	9/26/24	Employee	Sergeant	Captain
Deficiency				
1. The complaint name and contact information were not documented. (GH-2.2.B.1.a.(1)) 2. The on-duty supervisor of the district was not immediately referred to the on-duty supervisor. (GH-2.2.B.1.a.(1)) 3. The complaint was not accepted. (GH-2.2.B.1.a)				

Communications Division (1 BIO Action Form):

Compliance Deficiency

District/Division	Date of Event	Responsible Employee	Current Supervisor	Commander:
Communications	9/26/24	Employee	Emergency Dispatch Supervisor	Manager
Deficiency				
4. The complaint name and contact information were not documented. (GI-1.12.D) 5. The on-duty supervisor of the district was not immediately verbally contacted by Communications. (GI-1.12.D.1) 6. The complaint information was not emailed to the district on-duty supervisor. (GI-1.12.D.1.a) 7. The complaint information was not cc-emailed to the Early Intervention Unit (EIU) at mcsso.eis@mcsso.maricopa.gov . (GI-1.12.D.1 b)				

Unless noted above in the deficiency table, there were no prior BIO Action Forms similar in nature or supervisor notes addressing the deficiencies.

Action Required:

The compliance rate is **44%** for *Inspection BI2024-0132*; **2** BIO Action Forms are requested from the affected divisions.

The form shall be completed utilizing Blue Team.

Date Inspection Started: September 30, 2024
Date Completed: October 02, 2024
Timeframe Inspected: September 1 - 30, 2024
Assigned Inspectors: Ronda Jamieson B3178

I have reviewed this inspection report.

Capt. Dominick Reaulo

Captain D. Reaulo S1678
Division Commander
Bureau of Internal Oversight

10/22/2024

Date