

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



Complaint Intake Testing Inspection November 2020

Inspection # BI2020-0148

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:

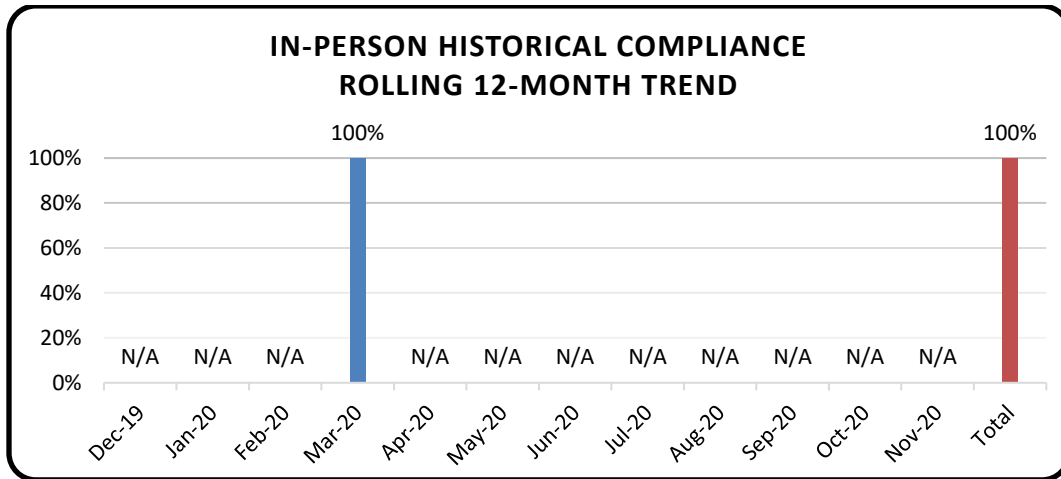
AIU began conducting the inspection of Complaint Intake Testing in January 2019 for tests performed during the month of December 2018. The following charts illustrate rolling 12-month histories of compliance with Office Policy. "N/A" indicates a particular type of testing was not performed during that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

The Complaint Intake Testing vendor conducted one test by Telephone during the month of November 2020. AIU inspected the complaint intake test. This test is discussed in further detail under the applicable report sub-section below.

In-Person Testing

There were no In-Person Complaint Intake Tests conducted during the month of November 2020.

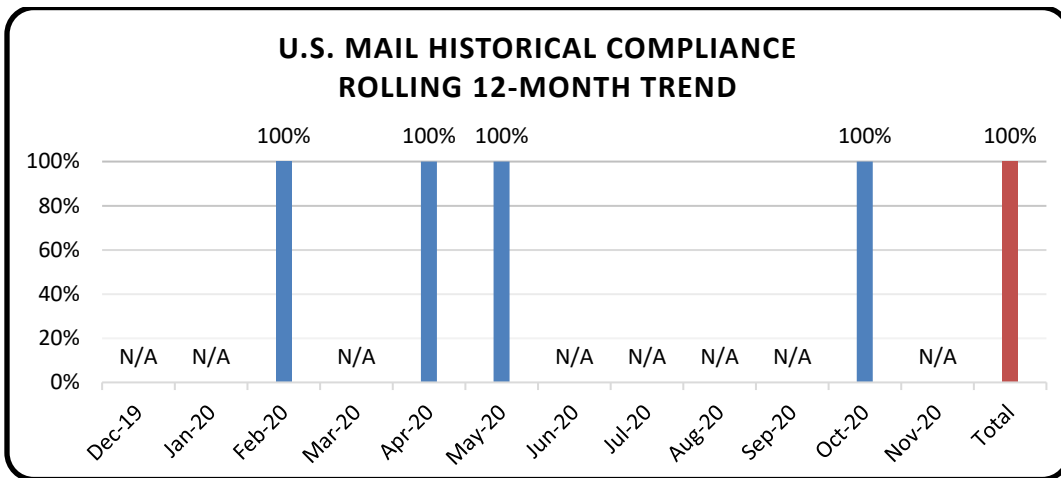
Below is a rolling 12-month historical comparison of compliance for In-Person tests:



Testing by U.S. Mail

There were no Complaint Intake Tests conducted by U.S. Mail during the month of November 2020.

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 November 2020.

TEST #: 57

DISTRICT/DIVISION: Lake Patrol

TEST SCENARIO: The tester called the MCSO general switchboard number (602-876-1000) to complain that a deputy was allegedly rude and unprofessional during contact with the complainant and her husband when he aggressively told them, "You need to move," while parked by the side of the road near Lake Pleasant.

ACTIONS TAKEN: Dispatch personnel obtained information required by Policy GI-1, paragraph 12 and indicated that someone would contact the tester. Dispatch promptly e-mailed the on-duty supervisor and copied the Early Identification

Unit. Approximately 20 minutes later, the tester received a call from the on-duty supervisor in Lake Patrol to obtain details about the complaint. Two days later, the tester received a phone call (since no other means of contact 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:

- The tester indicated that the first operator who answered the call did not identify herself before transferring the call.

BIO RESPONSE: The call was initially taken by a new Communications Division employee who was still in training. She put the tester on hold while she notified her supervisor, who then took the complaint.

- The tester commented that when the dispatch supervisor picked up the call and answered by saying, “This is [supervisor’s first name]; can I help you?”, it would seem more professional if she identified “herself further than that; some information or context about who she was ...” Also, the dispatch supervisor ended the call by saying that she would have someone contact the tester which seemed a little vague in the tester’s opinion.

BIO RESPONSE: Communications Division employees followed MCSO policy and BIO found no misconduct with the second dispatcher’s actions. AIU shared the tester’s comments with dispatch supervisor so she was aware of the tester’s perspective concerning the interaction.

- *Very quickly after that I was contacted by [Lake Patrol on-duty supervisor]. He was very professional, pleasant and helpful. This experience alone with the speed by which he called me was very positive.*

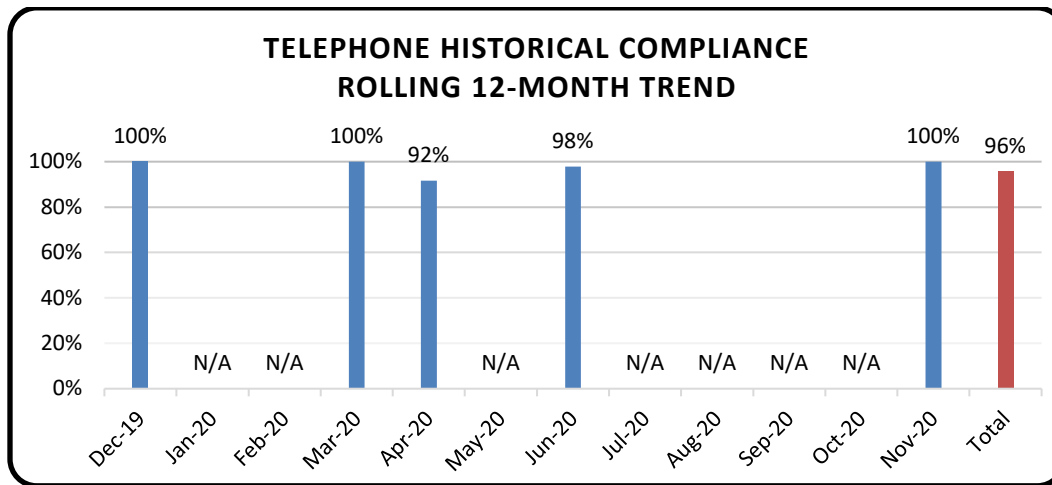
BIO FOLLOW-UP: None required.

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.	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.	0	1	1	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	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.	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 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 Telephone	0	12	12	100%

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



Testing by Telephone via Communications Division

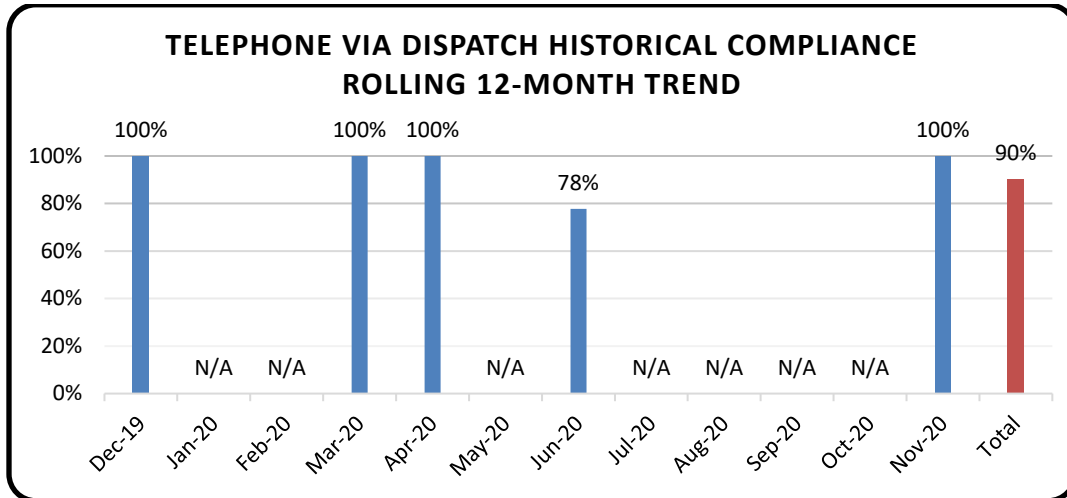
There was one Complaint Intake Test conducted by Telephone via the Communications Division for the month of November 2020 (see above section “Testing by Telephone” Test #57).

It was determined that MCSO employee compliance with 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%

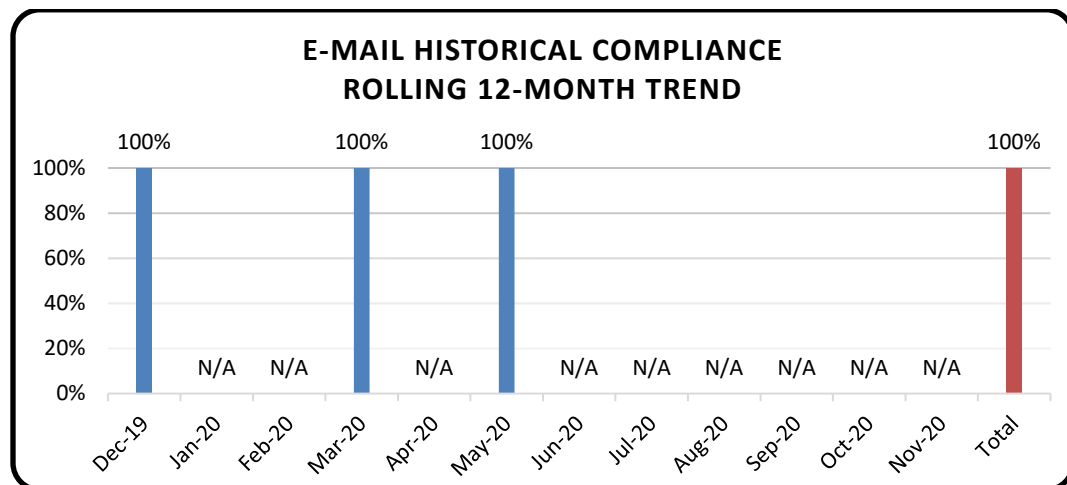
Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone via the Communications Division:



Testing by E-Mail

There were no Complaint Intake Tests conducted by E-mail during the month of November 2020.

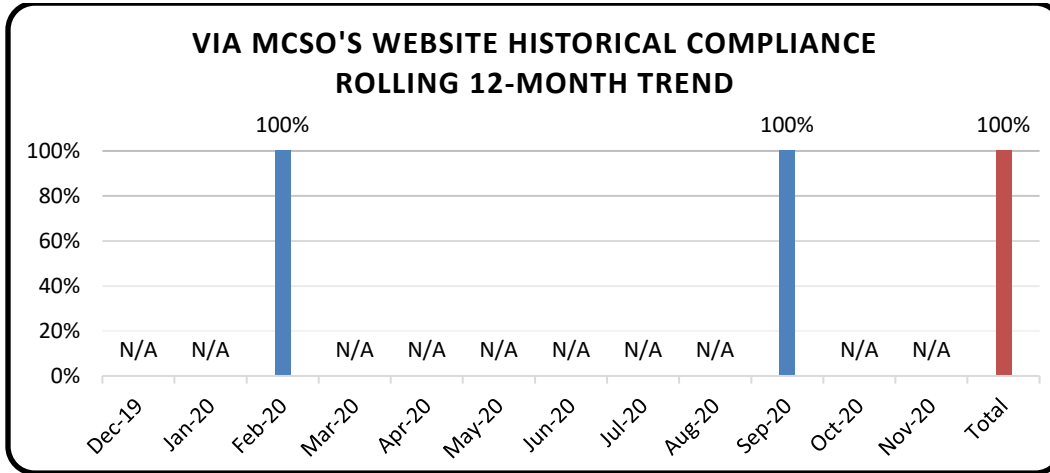
Below is a rolling 12-month historical comparison of compliance for tests conducted by E-mail:



Testing Online via MCSO's Website

There were no Complaint Intake Tests conducted online during the month of November 2020 using the Office's website.

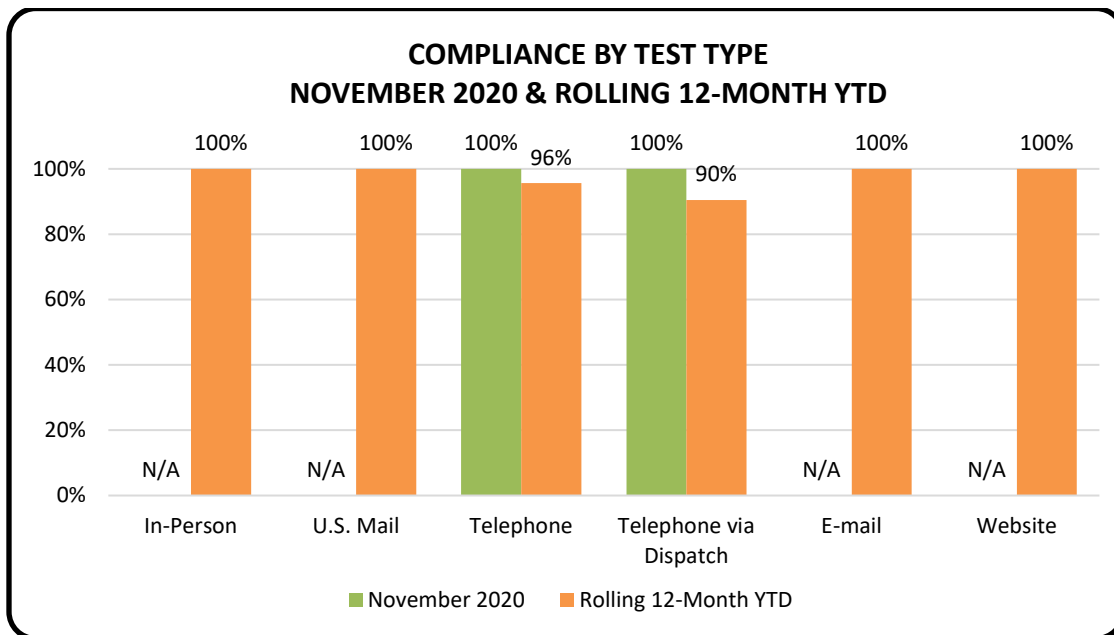
Below is a rolling 12-month historical comparison of compliance for filing a complaint Online:



Overall Compliance for November 2020:

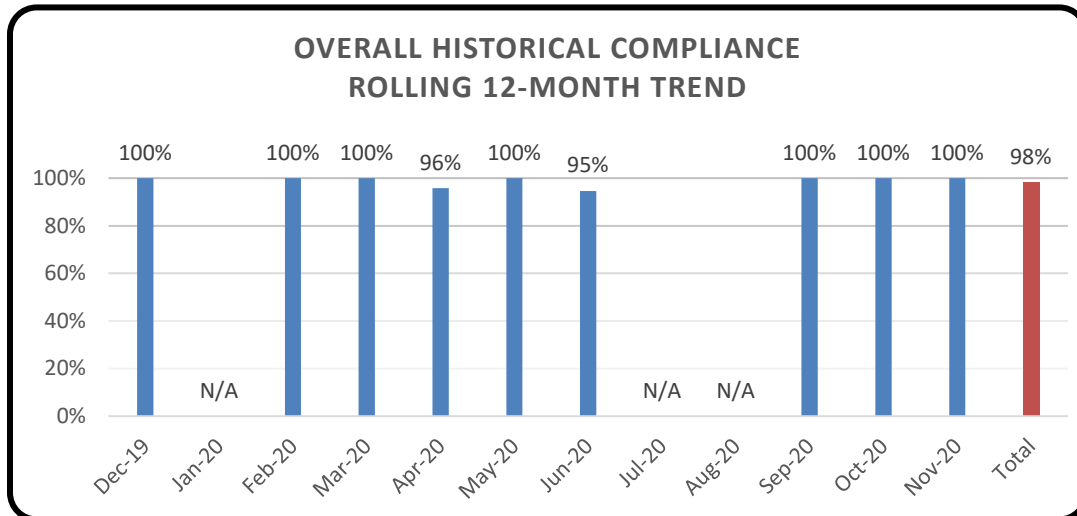
Compliance Rate by Method of Testing November 2020	Compliance Rate
Tests conducted In Person	N/A
Tests conducted by U.S. Mail	N/A
Tests conducted by Telephone	100%
Tests conducted via Dispatch	100%
Tests conducted via E-mail	N/A
Tests conducted by filing a complaint Online	N/A
Overall Compliance for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

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

**Action Required:**

With the resulting **100%** compliance rate for Inspection #BI2020-0148, **no BIO Action Forms** are requested.

Date Inspection Started: December 7, 2020
 Date Completed: December 18, 2020
 Timeframe Inspected: November 1st to November 30th, 2020
 Assigned Inspector: Connie Phillips B3345

I have reviewed this inspection report.

Lt. Todd Brice

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

12-21-20

Date