

# MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight  
Audits and Inspections Unit



**Complaint Intake Testing Inspection December 2022**

Inspection # BI2022-0184

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 30<sup>th</sup> 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 three Complaint Intake Tests conducted during the month of December 2022; one was an email test, one was a U.S. mail test, and one was an in-person test. AIU inspected all three 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 December 2022.

**1. TEST #: 122-IP**

**DISTRICT/DIVISION:** District 1

**TEST SCENARIO:** The tester posed as an Eastern Asian male who was eating at a fast-food restaurant and he overheard a deputy who was also sitting in the restaurant yelling and cursing at someone on their cell phone.

**ACTIONS TAKEN:** The tester went to the office of District 1 to file a complaint. The tester told the Office Assistant that he would like to file a complaint and she went and got him a supervisor. The sergeant came out to the lobby and met the tester and obtained the details of 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.

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

**RESULTS:** No deficiencies were noted.

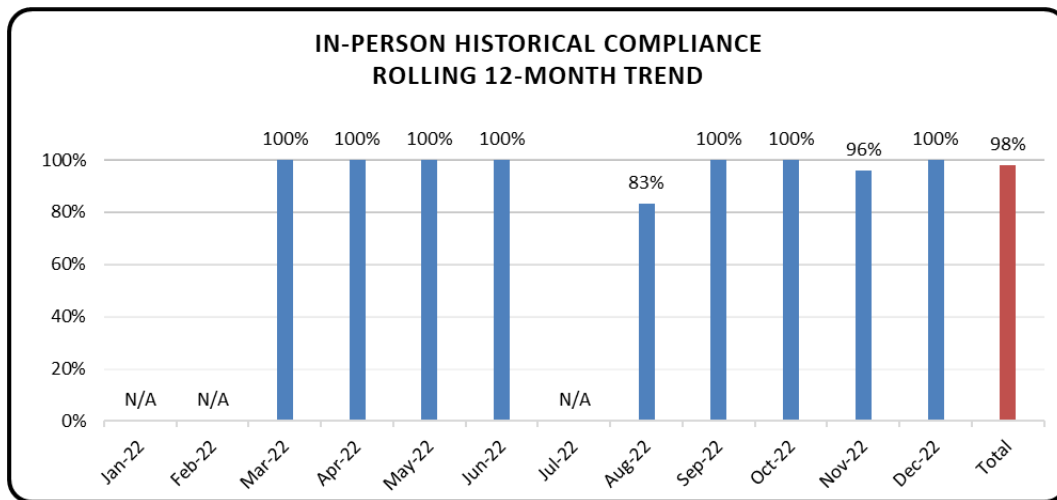
**TESTER COMMENTS:** N/A

**BIO FOLLOW-UP:** None required

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.	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 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"> <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 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%
<b>Overall compliance for In-Person testing</b>	<b>0</b>	<b>12</b>	<b>12</b>	<b>100%</b>

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 December 2022.

**TEST #:** 114

**DISTRICT/DIVISION:** PSB

**TEST SCENARIO:** The tester sent a letter by U.S. mail addressed to PSB at 550 W. Jackson Street, Phoenix, AZ 85003 complaining that a deputy made rude comments about her friend and did not take her concerns seriously. The tester was at a party that was broken up by the deputy and she expressed concern for a friend whose husband was very intoxicated and had been abusive to her friend in the past.

**ACTIONS TAKEN:** PSB received the letter five days after the tester mailed it and entered the complaint in BlueTeam the same day. Later that day, 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.

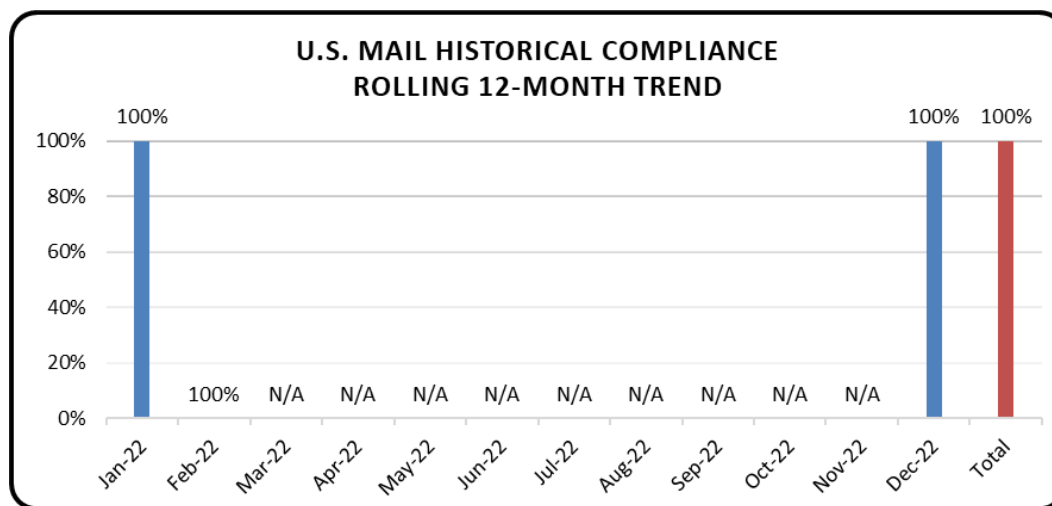
**TESTER COMMENTS:** N/A.

**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.	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.	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"> <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 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%
<b>Overall compliance for testing conducted by U.S. Mail</b>	<b>0</b>	<b>9</b>	<b>9</b>	<b>100%</b>

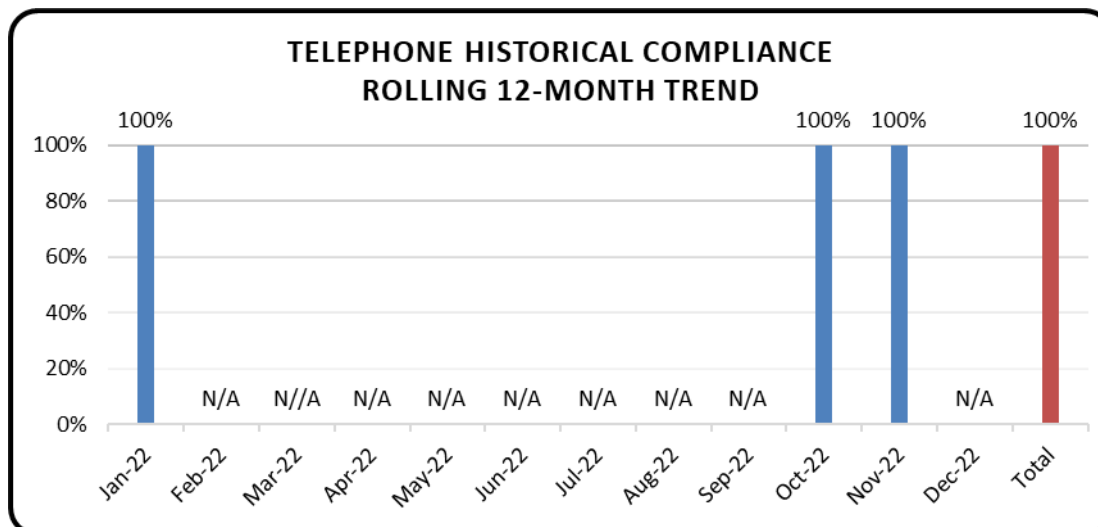
Below is a rolling 12-month historical comparison of compliance for tests conducted by U.S. Mail:



### Testing by Telephone

There were no Complaint Intake Tests conducted by Telephone during the month of December 2022.

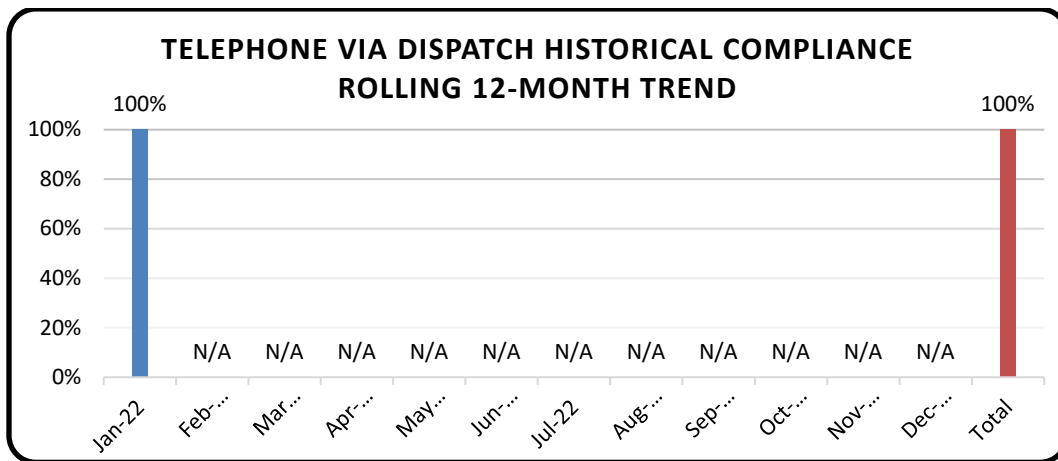
Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone:



**Testing by Telephone via Communications Division**

There were no Complaint Intake Tests conducted by Telephone via the Communications Division for the month of December 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 was one Complaint Intake Test conducted by E-mail during the month of December 2022.

**TEST #:** 109

**DISTRICT/DIVISION:** PSB

**TEST SCENARIO:** A deputy was allegedly rude and dismissive when the tester alerted the deputy to two men walking between vehicles and looking inside the vehicles.

**ACTIONS TAKEN:** The tester e-mailed PSB directly. Four 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.

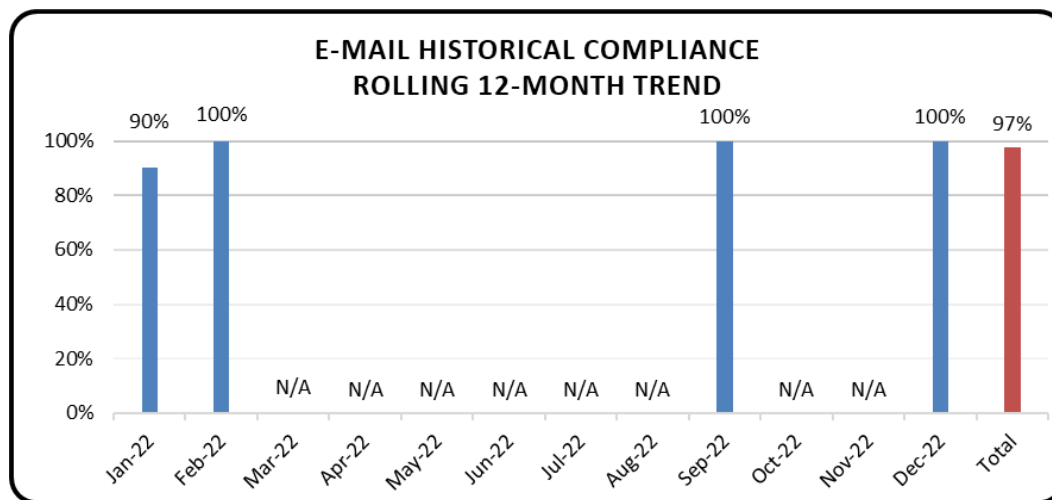
**BIO FOLLOW-UP:** None required.

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.	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"> <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 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%
<b>Overall compliance for testing by E-mail</b>	<b>0</b>	<b>9</b>	<b>9</b>	<b>100%</b>

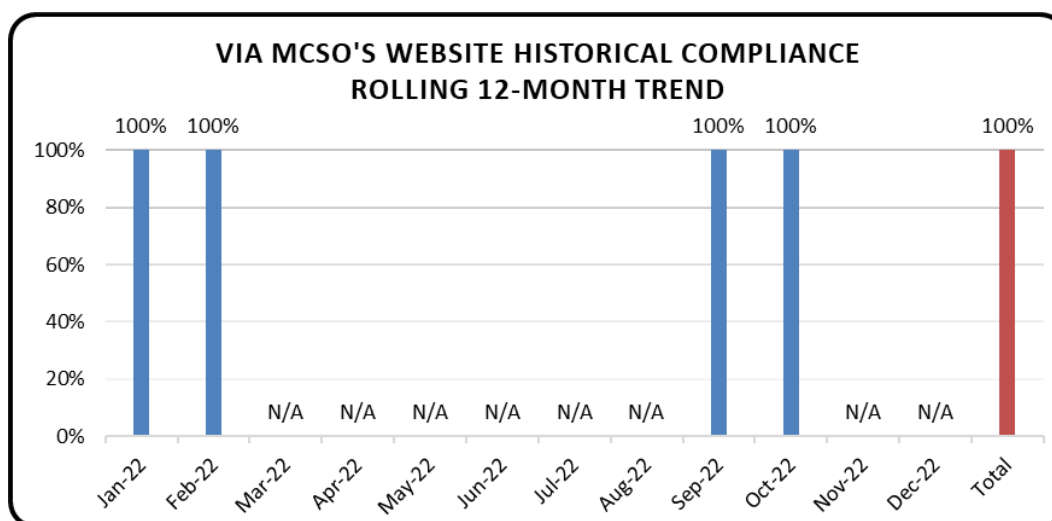
Below is a rolling 12-month historical comparison of compliance for tests conducted by E-mail:



#### Testing Online via MCSO's Website

There were no Complaint Intake Tests conducted online during the month of December 2022 using the Office's website.

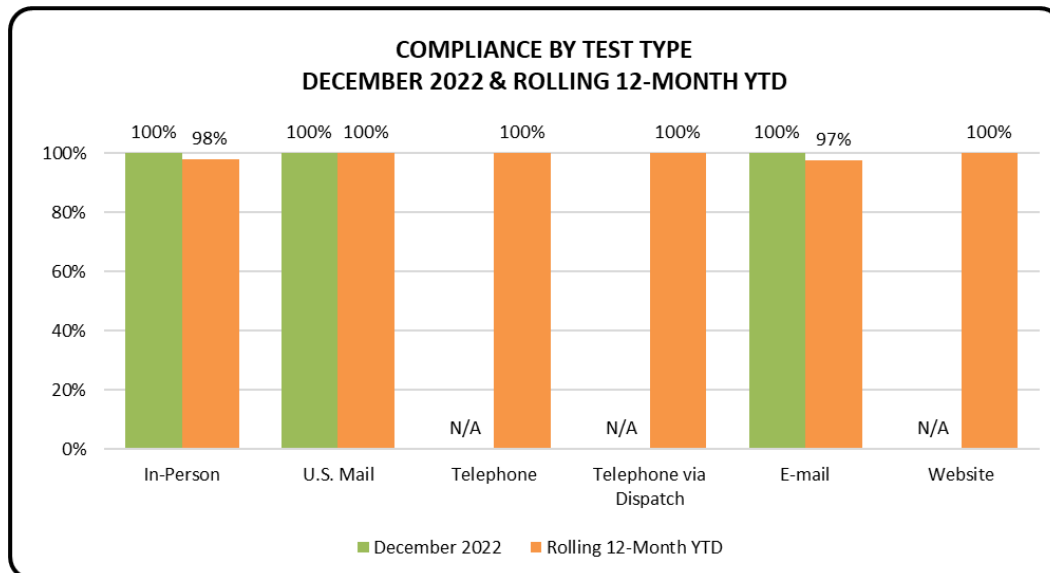
Below is a rolling 12-month historical comparison of compliance for filing a complaint Online:



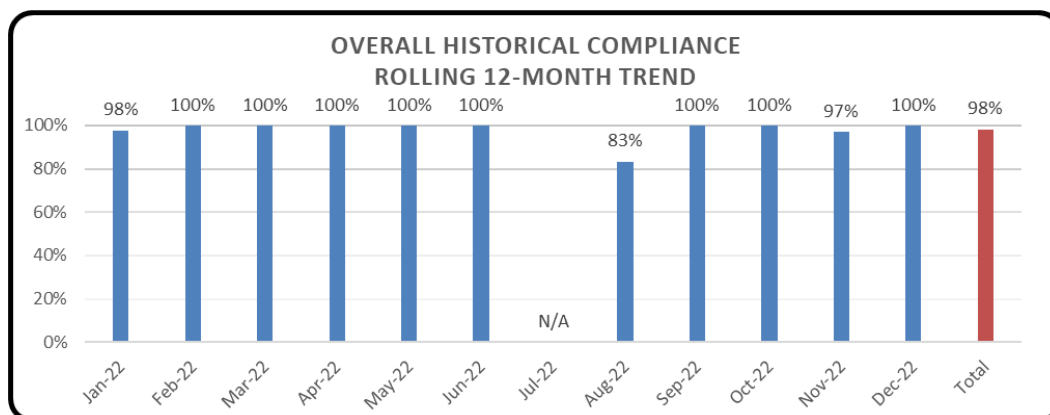
**Overall Compliance for December 2022:**

<b>Compliance Rate by Method of Testing December 2022</b>	<b>Compliance Rate</b>
Tests conducted In Person	100%
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 – Dec 2022</b>	<b>100%</b>

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



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There were no deficiencies noted during the inspection period.

**Action Required:**

The compliance rate is **100%** for Inspection #BI2022-0184; **no BIO Action Forms** are requested.

Date Inspection Started: December 14, 2022  
Date Completed: January 10, 2023  
Timeframe Inspected: December 1<sup>st</sup> to December 31<sup>st</sup>, 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

1/25/2023  
Date