

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



Complaint Intake Testing Inspection December 2018

Inspection # BI2018-0163

The Bureau of Internal Oversight's (BIO) Audits and Inspections Unit (AIU) will conduct Complaint Intake Test inspections on a monthly basis. The purpose of this inspection will be to determine employee compliance with Office Policy (GH-2, *Internal Investigations* and GI-1, *Radio and Enforcement Communications Procedures*) as it relates to the civilian complaint intake process. To ensure consistent inspections, the *Complaint Intake Testing Matrix* developed by the AIU will be utilized.

To achieve this, the AIU will conduct monthly inspections of the complaint intake tests completed by outside vendors selected by the MCSO for this purpose. These vendors are responsible for having testers file fictitious complaints either in person at MCSO facilities, by telephone, by mail, by e-mail or MCSO's website in order to determine if MCSO employees process the intake of complaints in accordance with MCSO policy.

Each vendor has been issued open Purchase Orders for the fiscal year which allows for a sufficient number of random and targeted tests to allow MCSO to assess the complaint intake process. Each vendor determines the number of tests they will conduct on a monthly basis and when and how they will conduct these tests. Additionally, each 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 testing and audio record all phone testing. Each testing vendor will adhere to these methodologies when conducting complaint intake testing for the Office.

Matrix Procedures:

- 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 (*Section 13*), *Radio and Enforcement Communications Procedures*:

13. Complaint or Service Complaint Handling:

- A. Communications Division personnel shall be properly trained to handle complaint intake from a member of the public, providing complaint materials and information, and the consequences for failing to take complaints.
- B. Communications Division personnel receiving complaint and service complaint calls from members of the public through the 9-1-1 phone line, shall instruct the caller to call Communication Division personnel back on a non-emergency phone line.
- C. Upon receiving the call back, Communications Division personnel shall document the information from the complainant to include: the complainant's name and contact information; location of the complaint occurrence; a report number and the name of the deputy, if known.
 1. Once the complaint information is obtained, Communications Division personnel shall immediately verbally contact the on-duty supervisor of the district or division in which the complaint was directed. This will allow the on-duty supervisor to immediately take action. This procedure applies to all complaints where contact is not restricted by business hours.
 - a. Communications Division personnel shall then e-mail the complaint information to that on-duty supervisor of the district or division in which the complaint was directed. It shall be the responsibility of the on-duty supervisor to document the complaint into Blue Team.

- b. Communications Division personnel shall copy the e-mail sent to the on-duty supervisor with the complaint information, to the Early Identification Unit to ensure the complaints entry is entered into Blue Team.
2. Communications personnel receiving complaints shall ensure the maintenance of confidentiality. Communications personnel shall not divulge the name of any persons filing a complaint or provide complainant information to any employee other than the supervisor and/or PSB, or personnel authorized by Office command to properly process and investigate allegations of misconduct. However, at no time shall any individual who receives or handles a complaint, in any way attempt to dissuade a member of the public, from making the complaint or attempting to narrow the grounds of the complaint.
3. Failure to report an act of misconduct shall be considered misconduct and may result in disciplinary or corrective action, up to and including dismissal from employment.

Conditions:

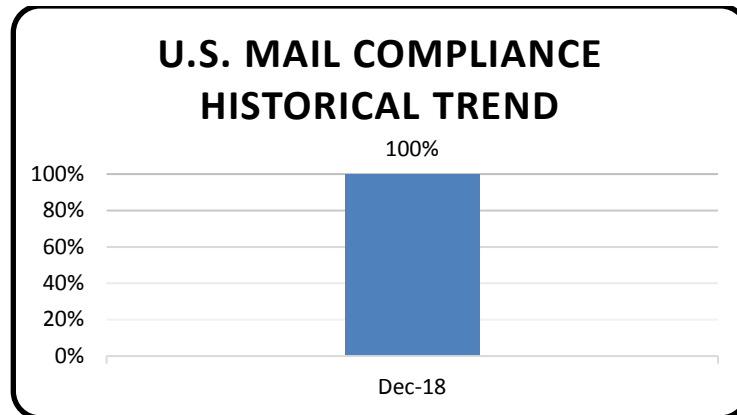
MCSO reviewed the 6 tests completed during the month of December 2018. These tests included 2 conducted by U.S. Mail, 2 conducted by telephone, 1 conducted by e-mail, and 1 conducted by filing a complaint online.

Inspection results for the 2 Complaint Intake Tests conducted by U.S. Mail during the month:

*****One of the U.S. Mail tests was not received by MCSO and, therefore, could not be inspected.*****

Inspection Element	Not In Compliance	In Compliance	Total	Compliance Rate
Determine if the complaint was accepted	0	1	1	100%
Verify that the employee forwarded all pertinent information to a supervisor to contact the complainant and/or enter into Blue Team if a Supervisor was not available	0	1	1	100%
Determine if original recordings and documents were attached to Blue Team or sent via interoffice to PSB	0	1	1	100%
Verify that the complaint was entered into Blue Team or IAPro	0	1	1	100%
Determine if the employee attempted to discourage, interfere or delay the complaint	0	1	1	100%
If alleged conduct is of a criminal nature, determine if the chain of command was notified and if they notified PSB	0	1	1	100%
Determine if acknowledgement was provided that the complaint was received, documented, forwarded for investigation and complainant would be contacted by a department representative	0	1	1	100%
Determine if the complaint was promptly forwarded to PSB	0	1	1	100%
Determine if the complaint notification was sent by PSB within 7 days, including IA# and investigator	0	1	1	100%
Determine if the employee reported accurate information in the complaint	0	1	1	100%
Overall Compliance for Tests conducted by U.S. Mail	0	10	10	100%

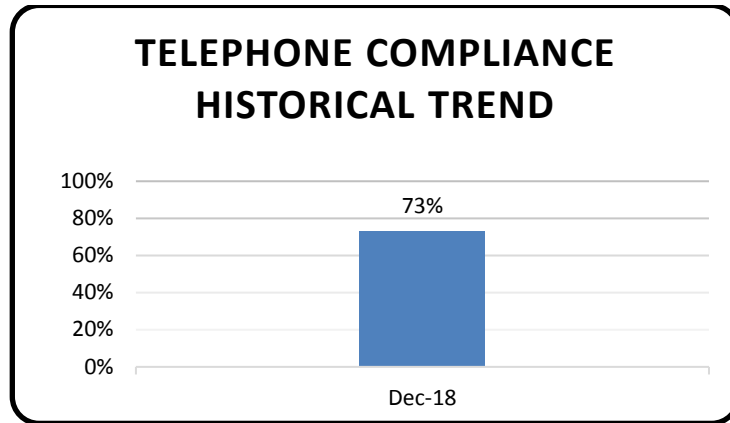
Below is the historical comparison of compliance for tests conducted by U.S. Mail:



Inspection results for the 2 Complaint Intake Tests conducted by Telephone during the month:

Inspection Element	Not In Compliance	In Compliance	Total	Compliance Rate
Determine if the complaint was accepted	1	1	2	50%
Determine if the complaint was taken by a supervisor	1	1	2	50%
Verify that the employee forwarded all pertinent information to a supervisor to contact the complainant and/or enter into Blue Team if a Supervisor was not available	1	1	2	50%
Determine if original recordings and documents were attached to Blue Team or sent via interoffice to PSB	0	2	2	100%
Verify that the complaint was entered into Blue Team or IAPro	0	2	2	100%
Determine if the employee attempted to discourage, interfere or delay the complaint	1	1	2	50%
If alleged conduct is of a criminal nature, determine if the chain of command was notified and if they notified PSB	0	2	2	100%
Determine if the complaint was audio and video recorded, or audio recorded for phone calls	0	2	2	100%
Determine if the minimum amount of information was obtained (date, time, summary, location, name, contact info, witness info, supporting documents/evidence, involved employees, etc.)	1	1	2	50%
Determine if acknowledgement was provided that the complaint was received, documented, forwarded for investigation and complainant would be contacted by a department representative	0	2	2	100%
Determine if the complaint was promptly forwarded to PSB	0	2	2	100%
Determine if the complaint notification was sent within 7 days, including IA# and investigator	1	1	2	50%
Determine if the employee reported accurate information in the complaint	1	1	2	100%
Overall Compliance for Tests conducted by Telephone	7	19	26	73%

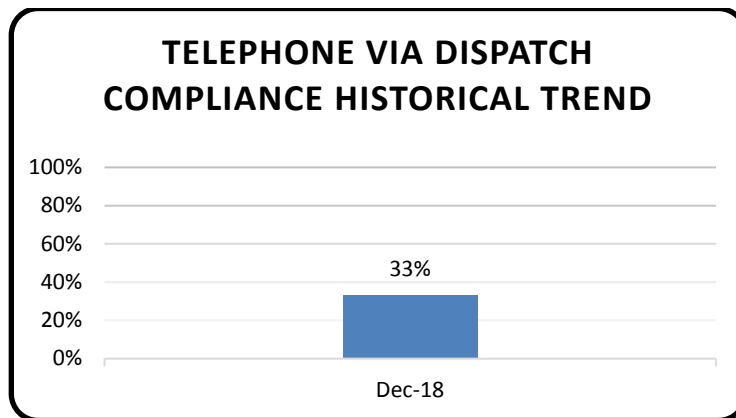
Below is the historical comparison of compliance for tests conducted by Telephone:



Inspection results for 2 Telephone Complaint Intake Tests conducted during the month via the Communications Division:

Inspection Element	Not In Compliance	In Compliance	Total	Compliance Rate
Determine if the employee attempted to gather the complaints name and contact info, location of occurrence, report #, and name of Deputy if known.	1	1	2	50%
Determine if the employee contacted the supervisor and emailed the info to him/her	1	1	2	50%
Determine if the employee emailed EIU	2	0	2	0%
Overall Compliance for Tests received via Communications Division	4	2	6	33%

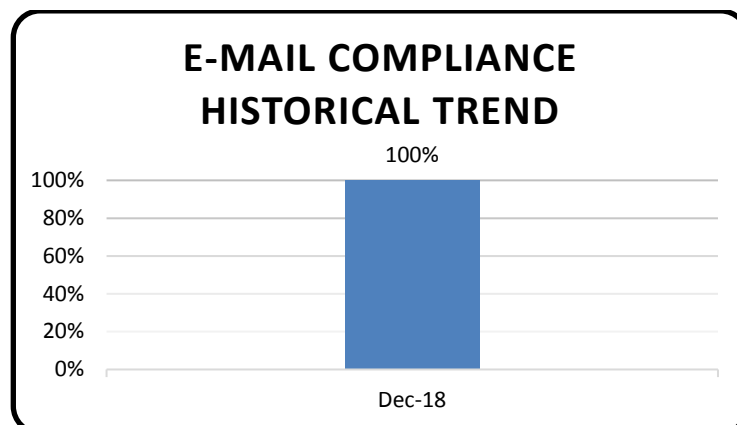
Below is the historical comparison of compliance for tests received via Communications Division:



Inspection results for the 1 Complaint Intake Test conducted by e-mail during the month:

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 by a supervisor	0	1	1	100%
Verify that the employee forwarded all pertinent information to a supervisor to contact the complainant and/or enter into Blue Team if a Supervisor was not available	0	1	1	100%
Determine if original recordings and documents were attached to Blue Team or sent via interoffice to PSB	0	1	1	100%
Verify that the complaint was entered into Blue Team or IAPro	0	1	1	100%
Determine if the employee attempted to discourage, interfere or delay the complaint	0	1	1	100%
If alleged conduct is of a criminal nature, determine if the chain of command was notified and if they notified PSB	0	1	1	100%
Determine if the minimum amount of information was obtained (date, time, summary, location, name, contact info, witness info, supporting documents/evidence, involved employees, etc.)	0	1	1	100%
Determine if written acknowledgement was provided that the complaint was received, documented, forwarded for investigation and complainant would be contacted by a department representative	0	1	1	100%
Determine if the complaint was promptly forwarded to PSB	0	1	1	100%
Determine if the complaint notification was sent within 7 days, including IA# and investigator	0	1	1	100%
Determine if the employee reported accurate information in the complaint	0	1	1	100%
Overall Compliance for Tests conducted by e-mail	0	12	12	100%

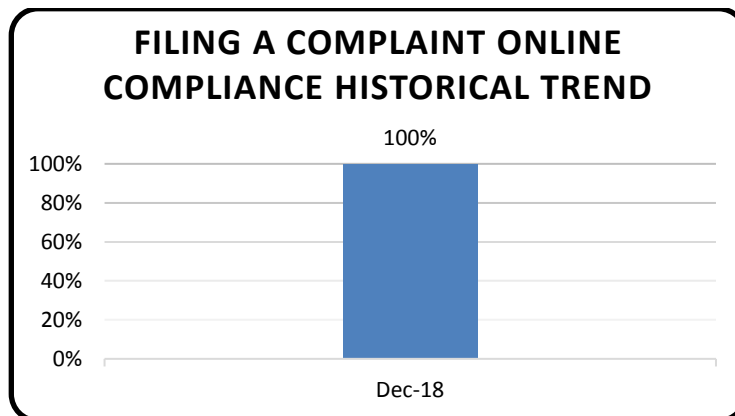
Below is the historical comparison of compliance for tests conducted by e-mail:



Inspection results for 1 Complaint Intake Test conducted by filing a complaint online during the month:

Inspection Element	Not In Compliance	In Compliance	Total	Compliance Rate
Determine if the complaint was accepted	0	1	1	100%
Determine if original recordings and documents were attached to Blue Team or sent via interoffice to PSB	N/A	N/A	N/A	N/A
Verify that the complaint was entered into Blue Team or IA Pro	0	1	1	100%
Determine if the employee attempted to discourage, interfere or delay the complaint	0	1	1	100%
If alleged conduct is of a criminal nature, determine if the chain of command was notified and if they notified PSB	0	1	1	100%
Determine if written acknowledgement was provided that the complaint was received, documented, forwarded for investigation and complainant would be contacted by a department representative	0	1	1	100%
Determine if the complaint was promptly forwarded to PSB	0	1	1	100%
Determine if the complaint notification was sent within 7 days, including IA# and investigator	0	1	1	100%
Overall Compliance for Tests conducted by filing a complaint online	0	7	7	100%

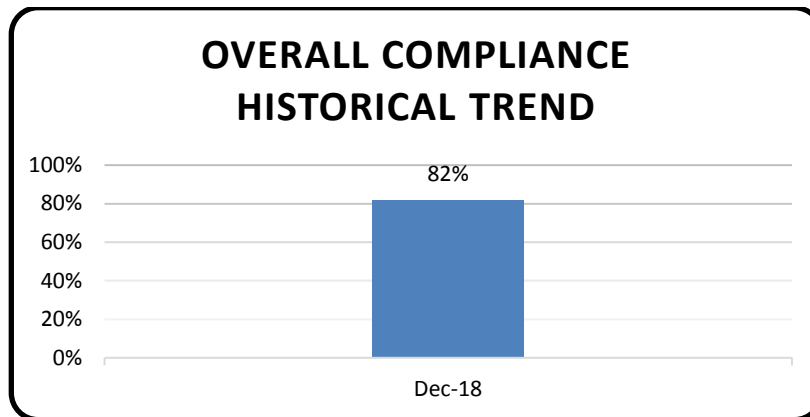
Below is the historical comparison of compliance for tests conducted by filing a complaint online:



Overall Compliance:

Compliance Rate by Method of test	Compliance Rate
Tests conducted by U.S. Mail	100%
Tests conducted by Telephone	73%
Tests conducted via Dispatch	0%
Tests conducted via e-mail	100%
Tests conducted via filing a complaint online	100%
Overall Compliance for all Complaint Intake Tests Inspected	82%

Below is the historical comparison of compliance for all Complaint Intake Testing:



The following perceived deficiencies were identified during the inspection process and require that a BIO Action Form be completed:

District/Division	Employee	Serial #	Date of Event	IA Number	Current Supervisor	Current Commander
Communications	Redacted	Redacted	12/5/18	Redacted	Redacted	Redacted
Deficiency						
Employee failed to obtain location of complaint occurrence, only attempted to get a vehicle number. Employee did not contact on-duty supervisor of the district or division. Employee did not email complaint information to supervisor or EIU.						
Policy GI-1.13.C						

Recommendation:

1. It is recommended that commanders continue to provide mentoring and guidance and review MCSO Policy GH-2 to ensure that the requirements for the intake of complaints are being followed, specifically Complaint Intake Procedures requirements listed in GH-2.2.
2. It is recommended that commanders continue to provide mentoring and guidance and review MCSO Policy GI-1 to ensure that the requirements for the intake of complaints are being followed, specifically the requirements that:
 - 1. Once the complaint information is obtained, Communications Division personnel shall immediately verbally contact the on-duty supervisor of the district or division in which the complaint was directed. This will allow the on-duty supervisor to immediately take action. This procedure applies to all complaints where contact is not restricted by business hours.
 - a. Communications Division personnel shall then e-mail the complaint information to that on-duty supervisor of the district or division in which the complaint was directed. It shall be the responsibility of the on-duty supervisor to document the complaint into Blue Team.
 - b. Communications Division personnel shall copy the e-mail sent to the on-duty supervisor with the complaint information, to the Early Identification Unit to ensure the complaints entry is entered into Blue Team.

(GI-1 paragraph 13.C.1).

Action Required:

With the resulting **82%** overall compliance for *Inspection BI2018-0163*, a total of **1** BIO Action Form is requested from the affected division. **The form shall be completed utilizing Blue Team.** It is permissible to complete one BIO Action Form to address multiple deficiencies within the same case for one employee.

Notes:

All supporting documentation (working papers) is included in the inspection file number *BI2018-0163* and contained within IA Pro.

Date Inspection Started: January 7th, 2019
Date Completed: January 28th, 2019
Timeframe Inspected: December 1st – 31st, 2018
Assigned Inspector: Sgt. Rob Levy S1881

I have reviewed this inspection report.

Connie J. Phillips
Connie J. Phillips B3345
Acting Commander, Audits and Inspections Unit
Bureau of Internal Oversight

1/31/2019
Date