

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



Complaint Intake Testing Inspection January 2022

Inspection # BI2022-0010

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:

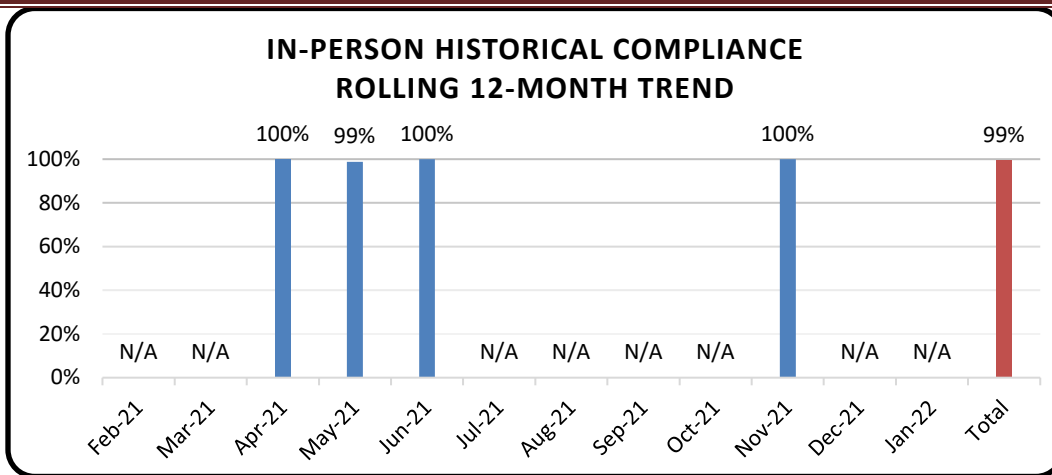
AIU began conducting the inspection of Complaint Intake Testing in January 2019 for tests performed during the month of December 2018. The following charts illustrate rolling 12-month histories of compliance with Office Policy. "N/A" indicates a particular type of testing was not performed during that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

There were four Complaint Intake Tests conducted during the month of January 2022; one was a telephone test, one was a U.S. Mail test, one was an e-mail test, and the other was a test conducted online by using the Office's website. AIU inspected all four 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 2022.

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 January 2022.

TEST #: 98

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 allegedly hit a shopper’s cart upon backing his vehicle out of his parking space at a shopping mall and did not check to see if the woman was unharmed even though it was obvious he knew what had occurred.

ACTIONS TAKEN: PSB received the letter seven 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.

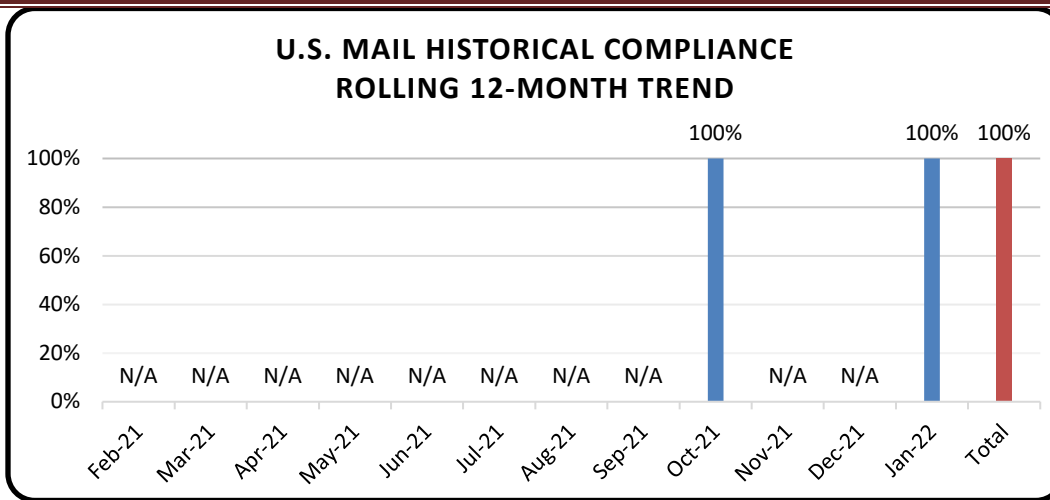
BIO FOLLOW-UP: None required.

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 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.	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 	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 conducted by U.S. Mail	0	9	9	100%

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 2022.

TEST #: 95

DISTRICT/DIVISION: District 3

TEST SCENARIO: The tester posed as a Hispanic female who was driving with her friend. The friend, who was also Hispanic, was pulled over by a deputy who allegedly asked inappropriate questions, such as if she was here legally and whether she knew how to drive in the U.S.

ACTIONS TAKEN: The tester first called the MCSO general information line to file a complaint. Then, the call transferred to the MCSO non-emergency line. The dispatcher who answered the call gathered information about the complaint as well as the tester’s name and contact information. Then, the dispatcher e-mailed the on-duty supervisor and the Early Identification Unit in accordance with Policy GI-1. The following day, the tester received a call from a PSB investigator who left a voicemail. Shortly thereafter, the tester returned the investigator’s call. The PSB investigator recorded the conversation as required by Policy and provided the tester with an IA number at that time. Three days later, the tester received a phone call from PSB again providing her with an IA number and the contact information for the assigned investigator.

RESULTS: No deficiencies were noted.

TESTER COMMENTS: N/A.

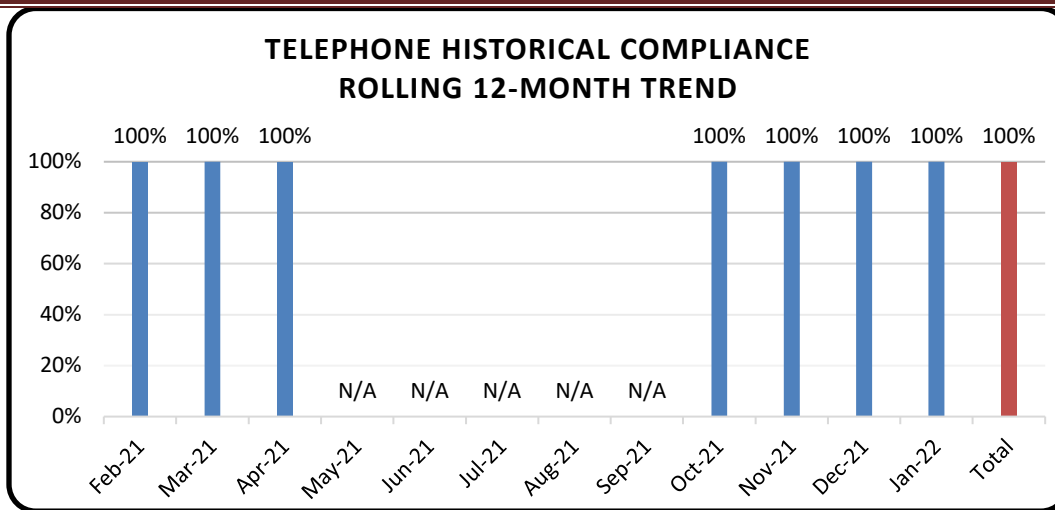
BIO FOLLOW UP: None required.

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.	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 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	11	11	100%

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



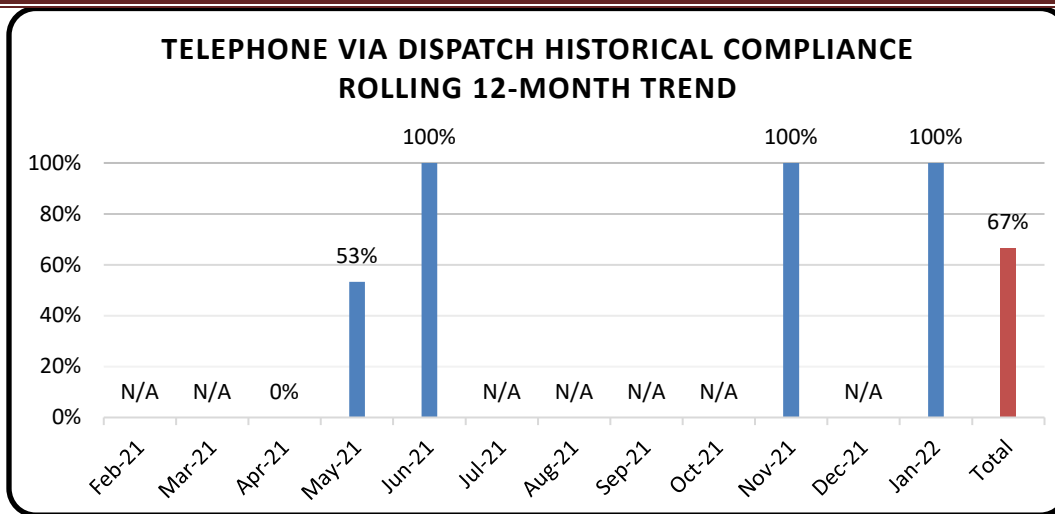
Testing by Telephone via Communications Division

There was one Complaint Intake Test conducted by Telephone via the Communications Division for the month of January 2022 (see the above section, “Telephone Testing” Test #95).

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 2022.

TEST #: 97

DISTRICT/DIVISION: PSB

TEST SCENARIO: The tester e-mailed PSB directly. According to the tester’s e-mail, a Lake Patrol deputy allegedly drove his MCSO boat in a negligent and reckless manner nearly running into the complainant’s boat.

ACTIONS TAKEN: Due to a technical issue with PSB’s mailbox, the test e-mail was not discovered for eight days. The tester notified AIU that they had not received an IA number. AIU followed up with PSB. According to MCSO’s Information Technology Division (IT), PSB’s mailbox failed to update; therefore, it did not show new incoming e-mails. IT reconfigured the user profile of the mailbox custodian to resolve the problem.

RESULTS: The test e-mail was accepted and processed once it was discovered; however, PSB was unable to provide a written update to the tester within the seven-day timeframe required by Policy GH-2, *Internal Investigations*.

TESTER COMMENTS: N/A.

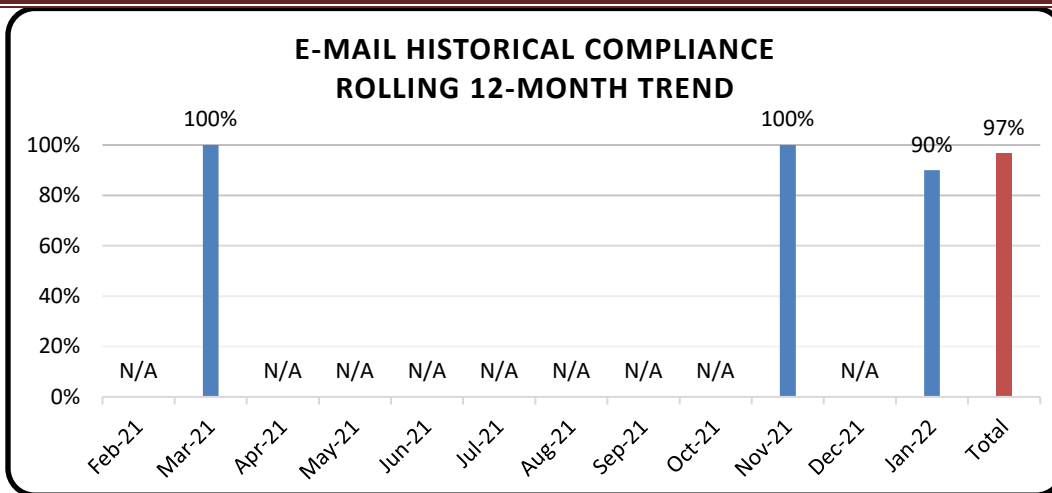
BIO FOLLOW UP: AIU sent an e-mail to test the PSB mailbox and confirm that the technical issue was resolved. PSB sent an immediate response confirming receipt of the AIU e-mail.

It was determined that MCSO employee compliance with applicable Office Policy (GH-2, *Internal Investigations*) was 90%, 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 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.	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 	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.	1	0	1	0%
Determine if the employee reported accurate information in the complaint.	0	1	1	100%
Overall compliance for testing by E-mail	1	9	10	90%

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



Testing Online via MCSO’s Website

There was one Complaint Intake Test conducted online during the month of January 2022 using the Office’s website.

TEST #: 102

DISTRICT/DIVISION: District 1

TEST SCENARIO: A deputy allegedly parked in a handicapped space for over an hour while waiting for his partner, who was inside the store.

ACTIONS TAKEN: The tester filed the complaint through the MCSO website at www.mcso.org/i-want-to/share-comments-or-complaints. Five days later, the tester received an e-mail response from PSB with an IA number and the name and contact information of the assigned investigator.

RESULTS: No deficiencies were noted.

TESTER COMMENTS: N/A.

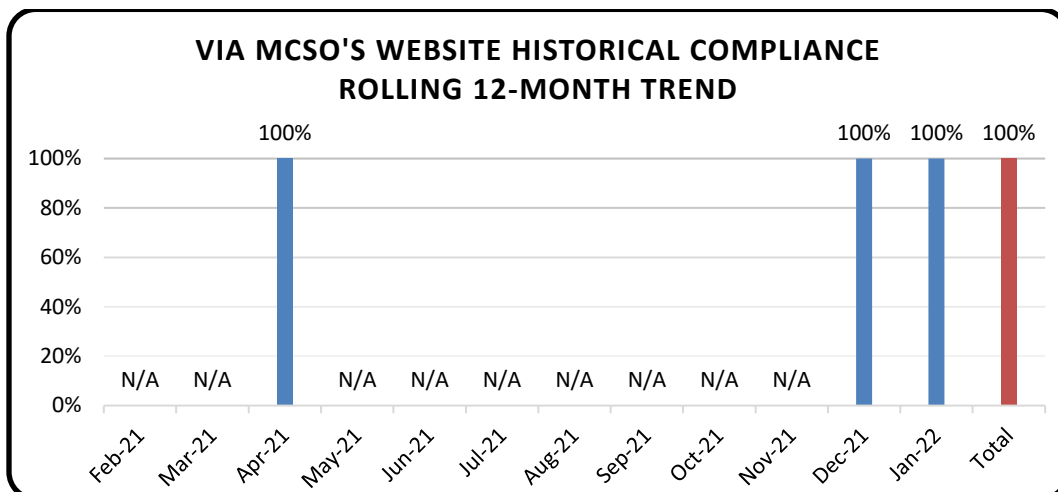
AIU FOLLOW-UP: None required.

For the Online test, it was determined that MCSO employee compliance with the applicable Office Policy (GH-2, *Internal Investigations*) was 100%, as illustrated in 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 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.	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 	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 Website	0	10	10	100%

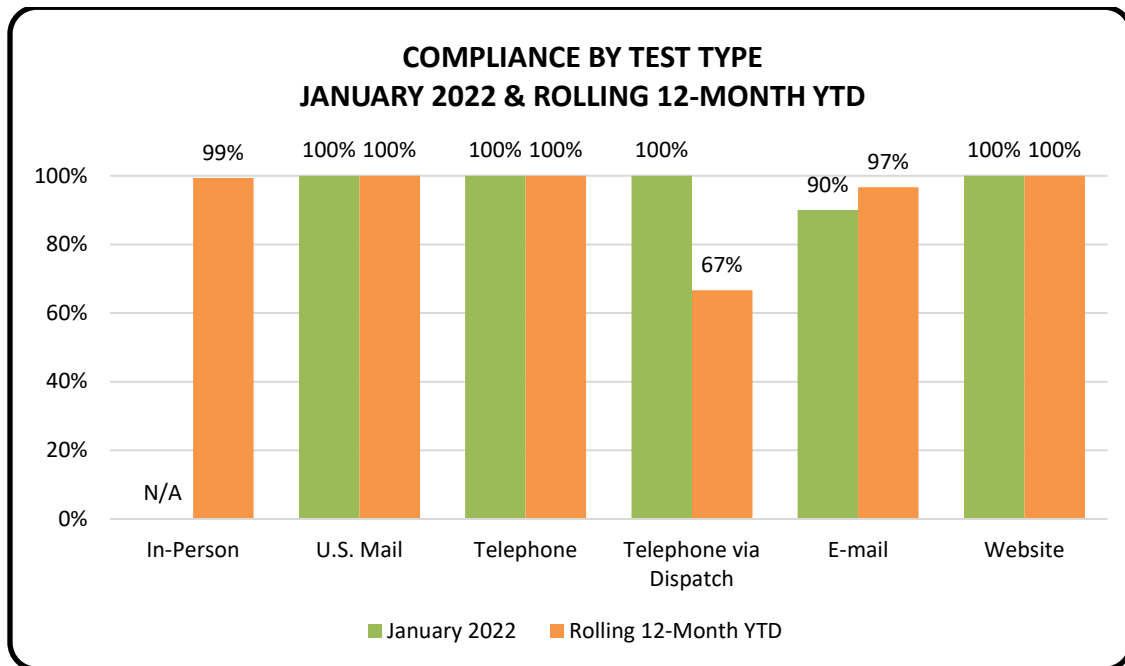
Below is a rolling 12-month historical comparison of compliance for filing a complaint Online:



Overall Compliance for January 2022:

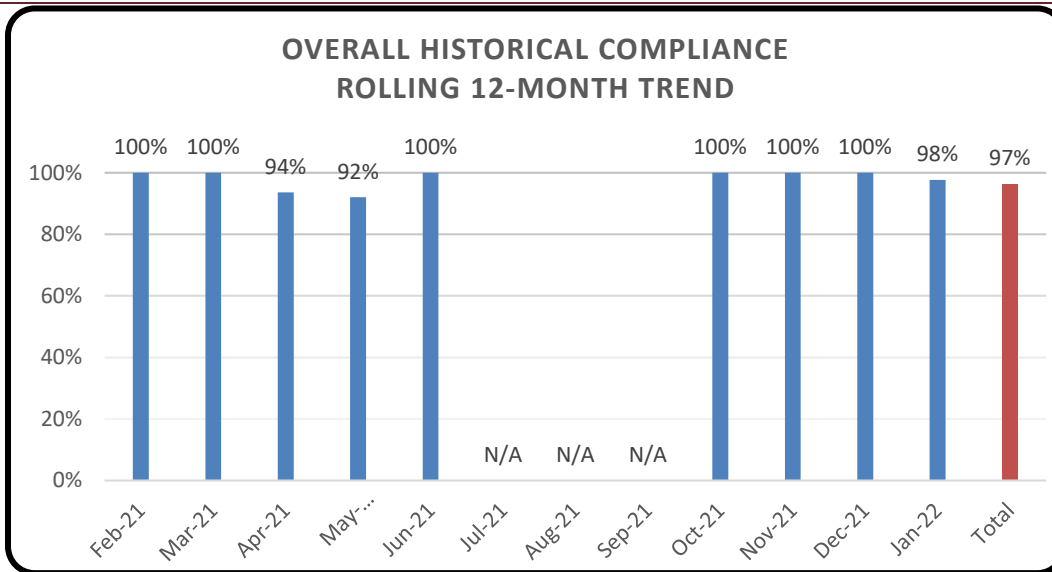
Compliance Rate by Method of Testing January 2022	Compliance Rate
Tests conducted In Person	N/A
Tests conducted by U.S. Mail	100%
Tests conducted by Telephone	100%
Tests conducted via Dispatch	100%
Tests conducted via E-mail	90%
Tests conducted by filing a complaint Online	100%
Overall Compliance for all Complaint Intake Tests Inspected – January 2022	98%

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



Action Required:

The compliance rate is **98%** for Inspection #BI2022-0010; however, due to an Information Technology issue, **no BIO Action Forms** are requested.

Date Inspection Started: January 19, 2022
 Date Completed: February 8, 2022
 Timeframe Inspected: January 1st to January 31st, 2021
 Assigned Inspector: Connie Phillips B3345

I have reviewed this inspection report.

Lt. Brian Arthur

 Lt. T. Brian Arthur S1806
 Commander, Audits and Inspections Unit
 Bureau of Internal Oversight

2/23/2022

 Date