

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



Complaint Intake Testing Inspection June 2021

Inspection # BI2021-0080

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 two tests during the month of June 2021; both were in-person tests. AIU inspected both complaint intake tests. These tests are discussed in further detail under the applicable report sub-sections below.

In-Person Testing

There were two In-Person Complaint Intake Tests conducted during the month of June 2021.

1. TEST #: 66

DISTRICT/DIVISION: Lake Patrol

TEST SCENARIO: Tester observed a deputy allegedly yelling at a Hispanic man for the way in which he parked his vehicle in the parking lot. The tester felt the deputy overreacted and was unprofessional in the way he dealt with the man.

ACTIONS TAKEN: The tester went to the Lake Patrol District office to file a complaint. The tester met with a sergeant as well as the commander of Lake Patrol who obtained and documented the complaint information, then explained

the complaint intake process. The complaint was entered into BlueTeam the same day. Five days later, the PSB investigator assigned to the complaint called the tester to inform her of the IA number and to ask follow-up questions.

RESULTS: No deficiencies were noted.

TESTER COMMENTS: *While waiting, two deputies walked into the lobby and not only greeted me, but asked if I had already been helped. I very much appreciated the friendly acknowledgement and the focus on customer service.*

After a brief moment of waiting, [Captain] walked into the lobby and shocked me (in a positive manner) when he introduced himself and even shook my hand ... I thought it was very professional and personable of him to do that, and it made me feel welcome and at ease, especially when he asked how my friend and I were doing, and even offered us a drink! I'm also grateful that he took the time to explain that complaints are generally recorded to ensure transparency. I felt that he was genuinely helpful and concerned.

Overall, it was a pleasant experience and I'm thankful for the positive interaction.

BIO FOLLOW UP: None required.

2. TEST #: 79

DISTRICT/DIVISION: District 4

TEST SCENARIO: The tester overheard a deputy allegedly make an insensitive remark to a woman wearing a headscarf such as a hijab worn by Muslim women.

ACTIONS TAKEN: The tester went to the District 4 office to file a complaint. The lobby was closed so the tester called the number posted on the doors, which was the MCSO non-emergency number. The Dispatcher gathered information about the complaint as well as the tester's name and contact information. The Dispatcher then called District 4 and, after about ten minutes, someone went out to invite the tester into the lobby to wait. Also, the complaint was referred to the on-duty supervisor in District 4 by e-mailing him the complaint information and copying the Early Identification Unit. (Also, see the following section "Testing by Telephone via Communications Division").

After the tester waited for approximately 25 minutes, the on-duty sergeant arrived at the District 4 office and took the complaint, then explained the complaint intake process.

The tester received a phone call from PSB two days later providing her with an IA number and the contact information for the assigned investigator.

RESULTS: No deficiencies were noted.

TESTER COMMENTS: N/A

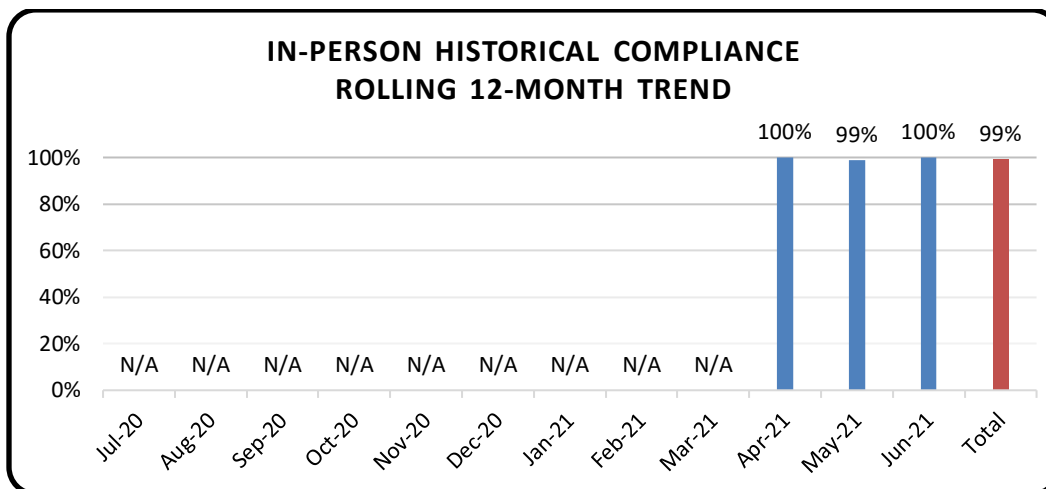
BIO FOLLOW UP: None required.

It was determined that MCSO employee compliance with 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	2	2	100%
Determine if the complaint was taken in a courteous manner.	0	2	2	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	2	2	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.	0	1	1	100%
Determine if original recordings and documents were attached to BlueTeam or sent via interoffice mail to PSB.	0	2	2	100%
Verify that complaint was entered into BlueTeam or IAPro.	0	2	2	100%
Determine if the employee attempted to discourage, interfere or delay complaint.	0	2	2	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	2	2	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	2	2	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	2	2	100%
Determine if the complaint was immediately forwarded to PSB.	0	2	2	100%
Determine if the complaint notification was sent within 7 days including IA# and investigator name and contact number.	0	2	2	100%
Determine if the employee reported accurate information in the complaint.	0	2	2	100%
Overall compliance for testing conducted In Person	0	25	25	100%

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



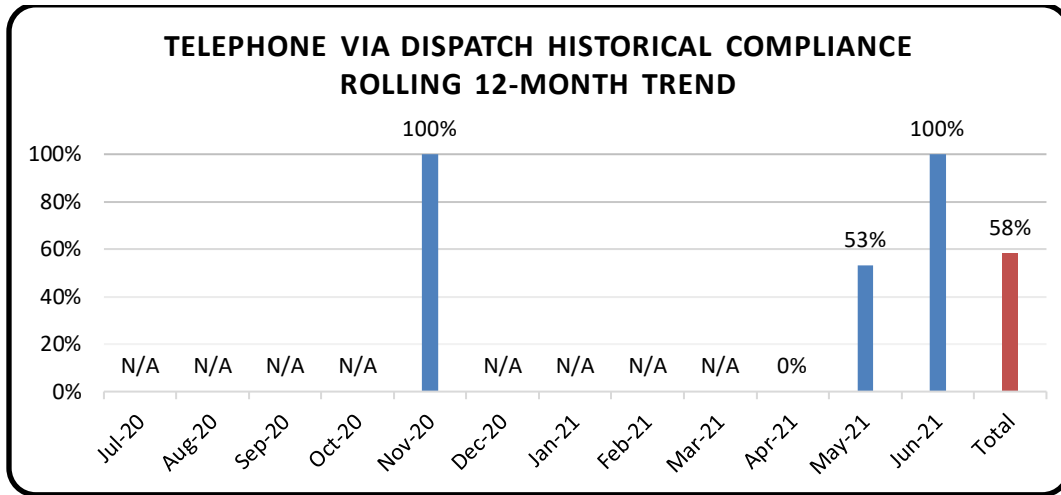
Testing by Telephone via Communications Division

There was one Complaint Intake Test conducted by Telephone via the Communications Division for the month of June 2021 (see the above section, “In-Person Testing” Test #79).

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%

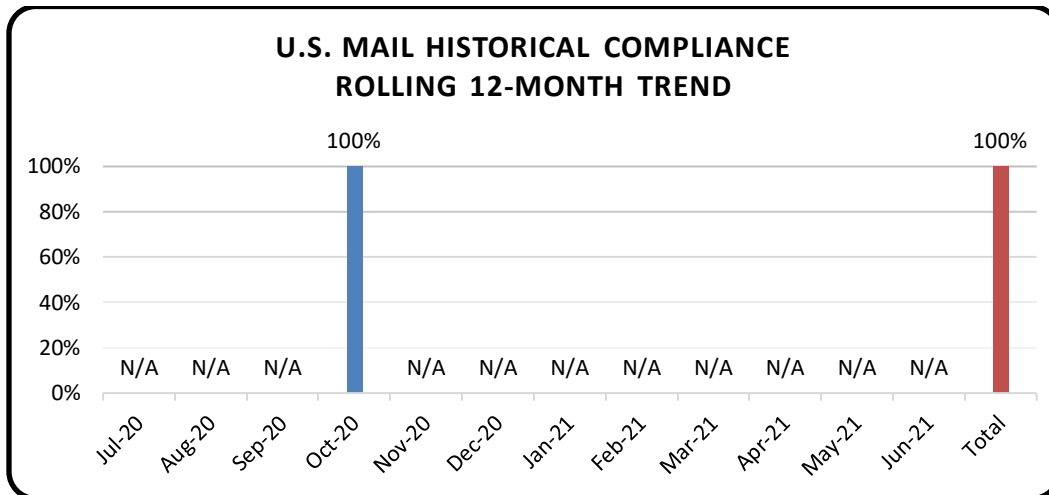
Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone via the Communications Division:



Testing by U.S. Mail

There were no Complaint Intake Tests conducted by U.S. Mail during the month of June 2021.

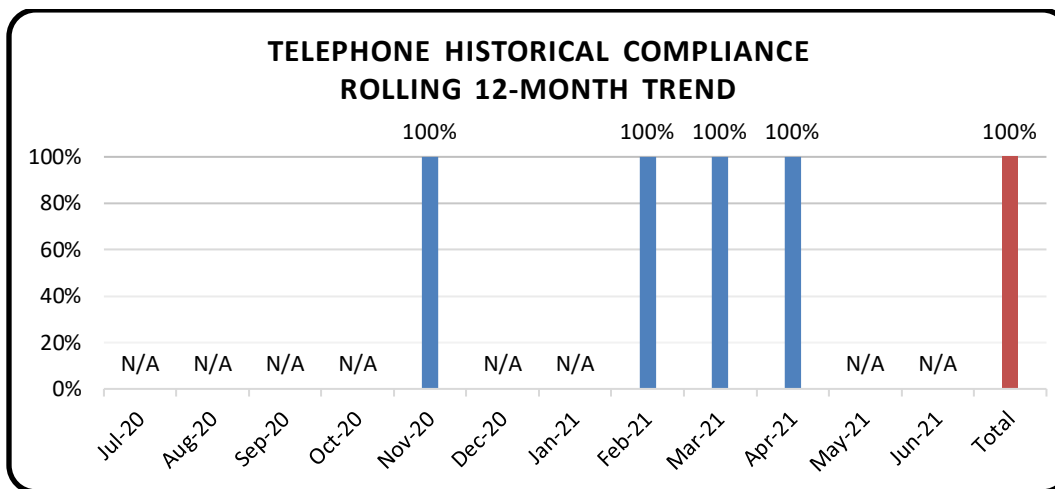
Below is a rolling 12-month historical comparison of compliance for tests conducted by U.S. Mail:



Testing by Telephone

There were no Complaint Intake Tests conducted by Telephone during the month of June 2021.

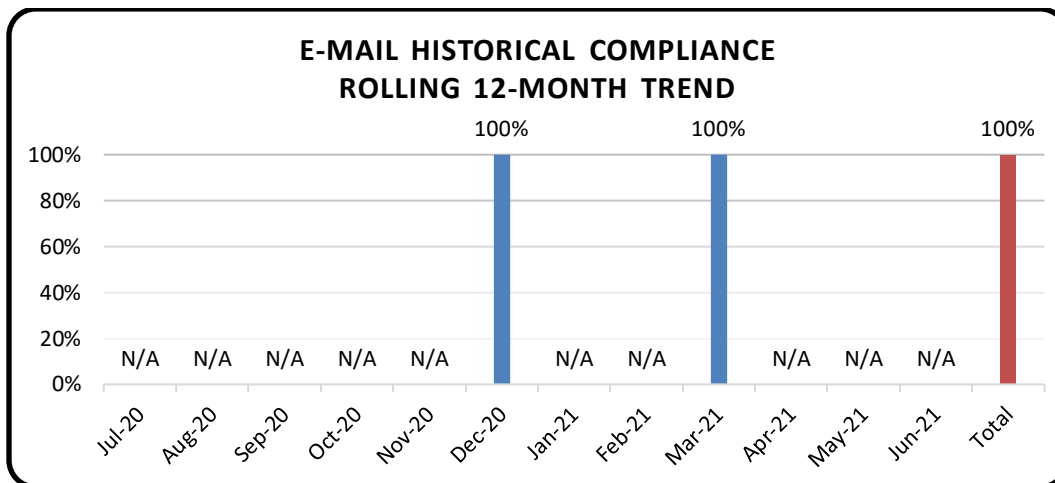
Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone:



Testing by E-Mail

There were no Complaint Intake Tests conducted by E-mail during the month of June 2021.

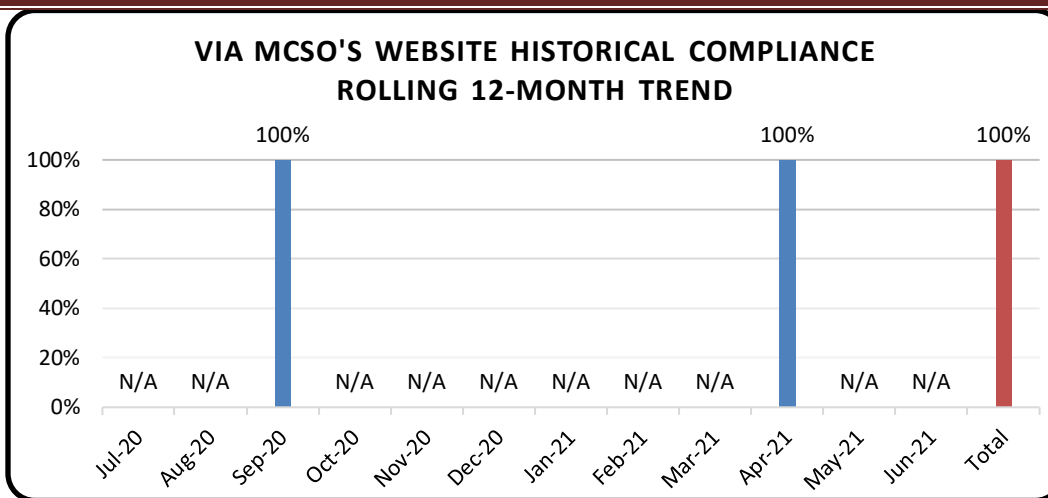
Below is a rolling 12-month historical comparison of compliance for tests conducted by E-mail:



Testing Online via MCSO's Website

There were no Complaint Intake Tests conducted online during the month of June 2021 using the Office's website.

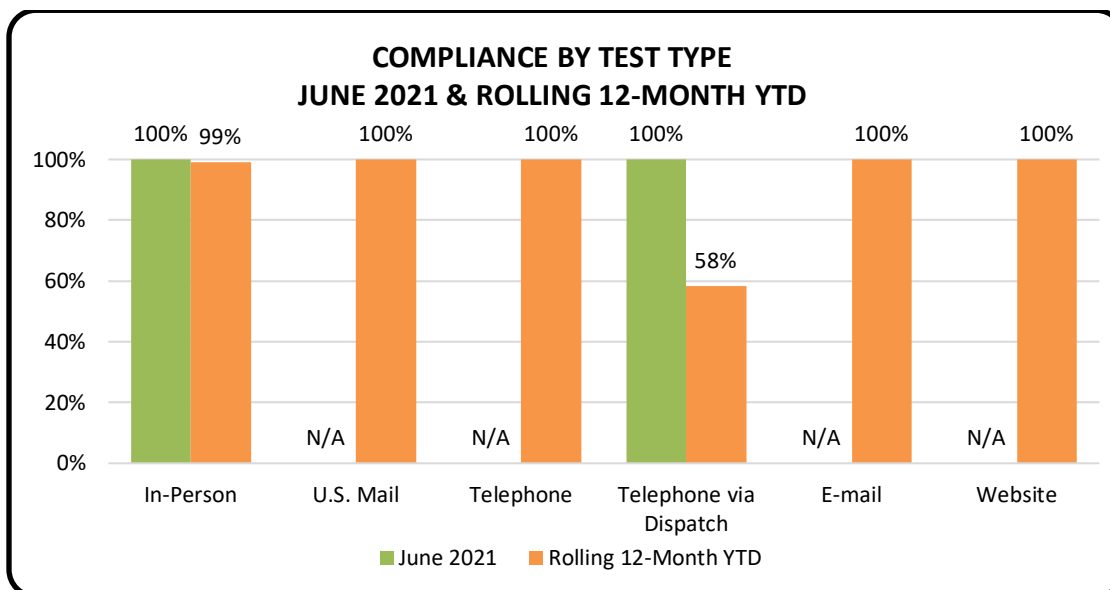
Below is a rolling 12-month historical comparison of compliance for filing a complaint Online:



Overall Compliance for June 2021:

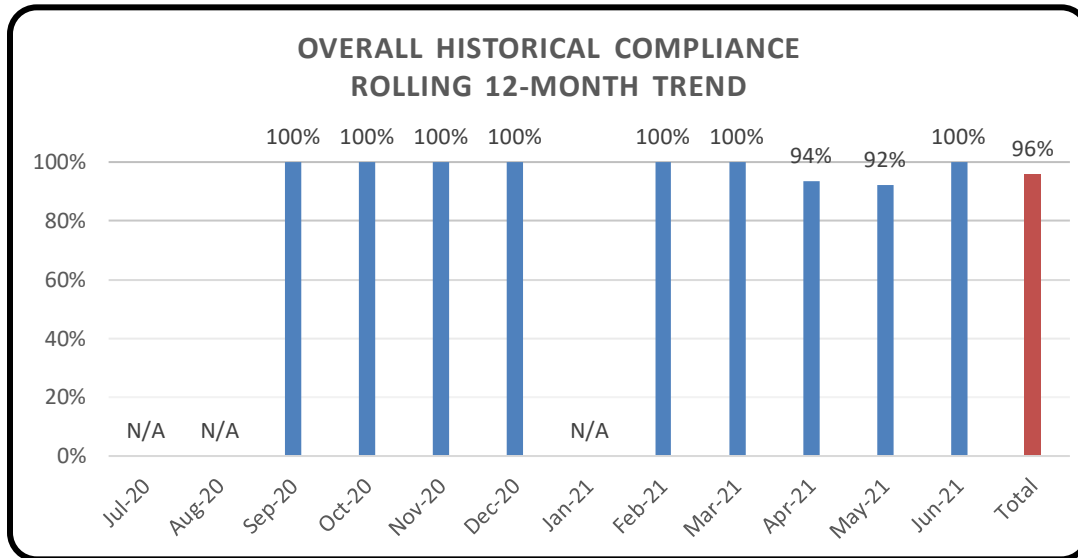
Compliance Rate by Method of Testing June 2021	Compliance Rate
Tests conducted In Person	100%
Tests conducted by U.S. Mail	N/A
Tests conducted by Telephone	N/A
Tests conducted via Dispatch	100%
Tests conducted via E-mail	N/A
Tests conducted by filing a complaint Online	N/A
Overall Compliance for all Complaint Intake Tests Inspected – June 2021	100%

Below is a chart illustrating compliance rate by type of test conducted for the month of June 2021 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:



There were no deficiencies noted during the inspection period.

Action Required:

With the resulting **100%** compliance rate for Inspection #BI2021-0080, **no BIO Action Forms** are requested.

Date Inspection Started: June 3, 2021
 Date Completed: July 20, 2021
 Timeframe Inspected: June 1st to June 30th, 2021
 Assigned Inspector: Connie Phillips B3345

I have reviewed this inspection report.

Lt. Jonathan Halverson S1674
 Lt. Jonathan Halverson S1674
 Commander, Audits and Inspections Unit
 Bureau of Internal Oversight

7/20/2021
 Date