

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight
Audits and Inspections Unit



Complaint Intake Testing Inspection May 2024

Inspection # BI2024-0069

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*, GI-1, *Radio and Enforcement Communications Procedures*, and GB-2, *Command Responsibility* 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 30th 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 have 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*

MCSO Policy GB-2, *Command Responsibility*

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 6-month histories of compliance with Office Policy. "N/A" indicates a particular type of testing was not performed during that month.

There were two Complaint Intake Tests conducted during the month of May 2024; one was an in-person test and one was a phone test. AIU inspected both 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 May 2024.

1. **TEST #:** IP24-04

DISTRICT/DIVISION: District 4

TEST SCENARIO: The tester posed as a white female who witnessed two deputies being rude to a Hispanic male who was operating the boat they had rented for the day. The tester said that their boat had been stopped by two deputies who were very rude to her friend who was operating the boat. They were calling him names and being overall rude.

ACTIONS TAKEN: The tester went to the District 4 Cave Creek office and was greeted by the administrative assistant who asked a few questions about the nature of the complaint and then went to get the on-duty supervisor. The on-duty sergeant came and took 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.

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

RESULTS: No deficiencies were noted

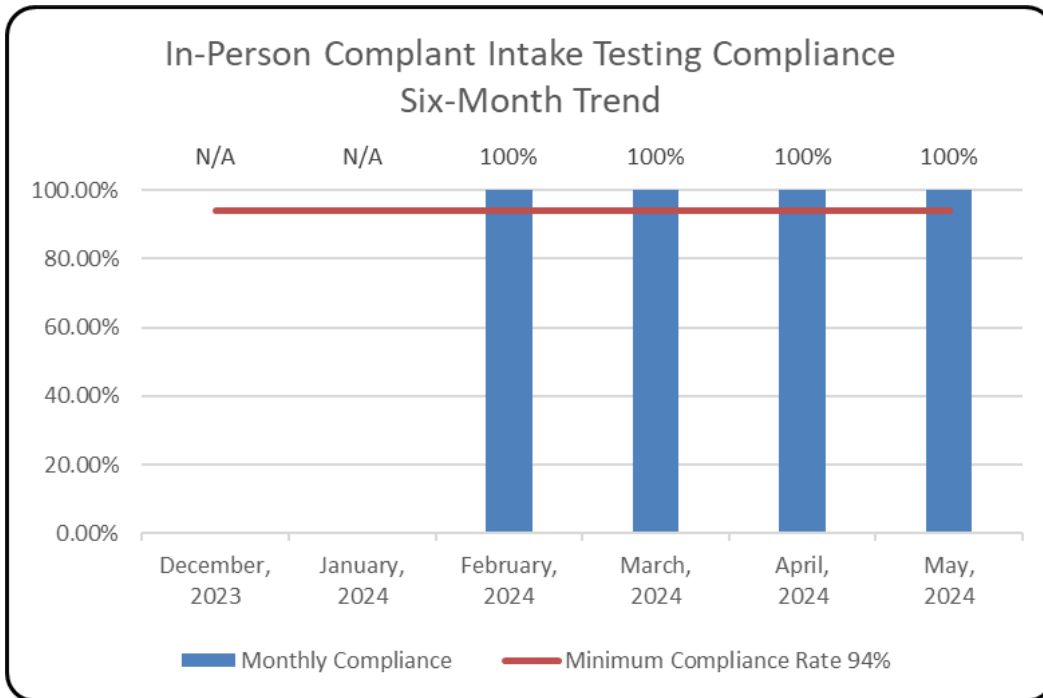
TESTER COMMENTS: N/A

BIO FOLLOW-UP: None required

It was determined that MCSO employees' 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"> 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 acknowledgment was provided that the complaint was received, documented, forwarded for investigation, and that the 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 In-Person testing	0	12	12	100%

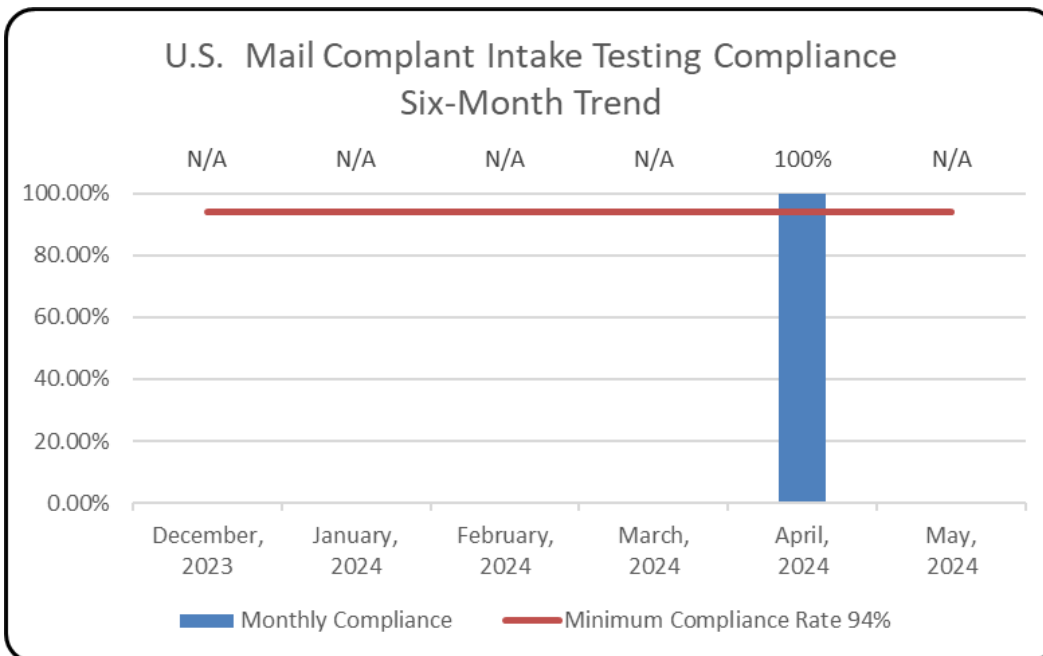
Below is a rolling 6-month historical comparison of compliance for In-Person tests:



Testing by U.S. Mail

There were no Complaint Intake Tests conducted by U.S. Mail during the month of May 2024.

Below is a rolling 6-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 May 2024.

TEST #: RP24-01

DISTRICT/DIVISION: District 2/Dispatch

TEST SCENARIO: The tester posed as a female who was hitchhiking on the I-10 and had been picked up by an African American female. The driver was pulled over by a deputy on the I-10 by the power plant. The tester felt that the deputy was being racist and targeting the driver due to her race. The deputy mentioned that it was out of place for a black person to be in the area and to be picking up hitchhikers. The tester said she did not remember the deputy giving the driver a ticket or warning.

ACTIONS TAKEN: The tester called the District 2 phone number which initially was answered by an automated message and then by dispatch. The tester stated she would like to file a complaint. The dispatcher asked for the report number which the tester did not have and then the location of the incident. When the tester said it was on the I-10 by the power plant the dispatcher said she would need a better location than that to take the complaint. The dispatcher then asked what happened, but again said she could not take the complaint without a better location as she did not know which substation to contact.

RESULTS: The Communications Division personnel did not take the complaint or obtain the complainant's name or contact information. They did not email the complaint information to the on-duty supervisor of the district in which the complaint was directed. Also, personnel did not copy the email sent to the on-duty supervisor with the complaint information to the Early Intervention Unit at mcsso.eis@mcsso.maricopa.gov to ensure that the complaints are entered into Blue Team. Policy GI-1.12.D.1.a and b.

TESTER COMMENTS: N/A.

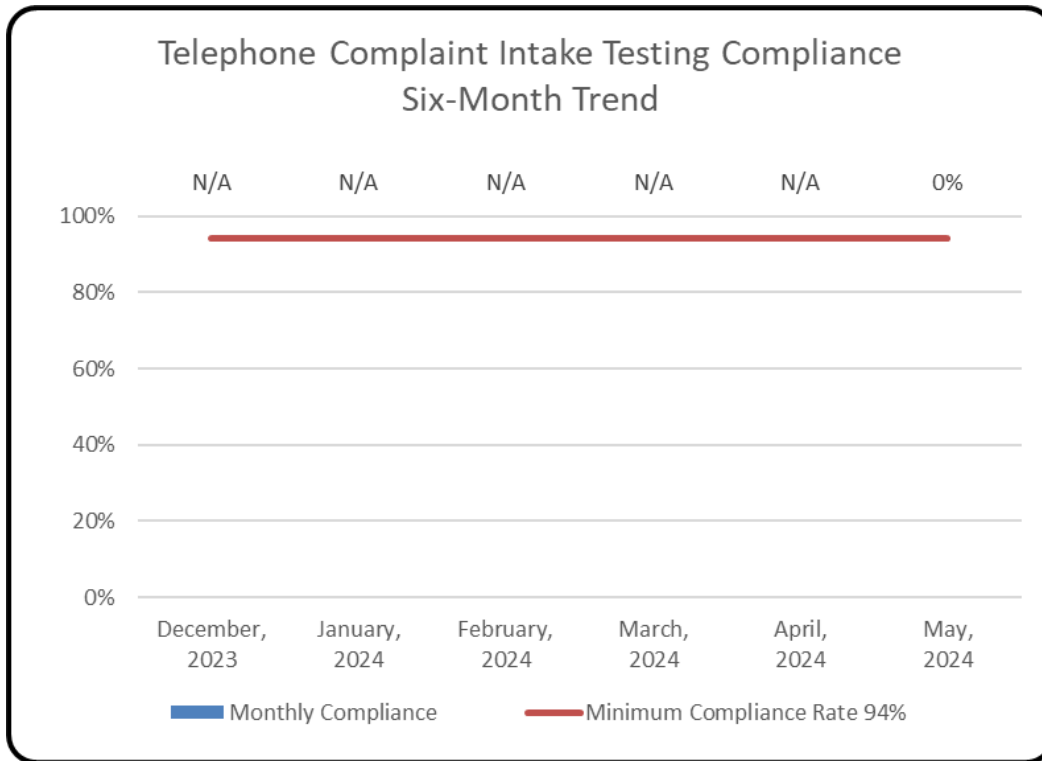
BIO FOLLOW-UP: BIO followed up with the Communications Division through the BIO Action Form process to address the Policy GI-1 requirements that were not met.

BIO followed up with the Communications Division Commander to remind their staff of the requirement of Policy GH-2, *Internal Investigations*, "No employee shall attempt to discourage, interfere with, or delay an individual from registering a complaint."

It was determined that MCSO employees' compliance with the applicable Office Policy (GH-2, *Internal Investigations*) was 0%, as illustrated by the table below:

Inspection Element	Not In Compliance	In Compliance	Total	Compliance Rate
Determine if the complaint was accepted.	1	0	1	0%
Determine if the complaint was taken in a courteous manner.	1	0	1	0%
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.	1	0	1	0%
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.	1	0	1	0%
Verify that the complaint was entered into BlueTeam or IAPro.	1	0	1	0%
Determine if the employee attempted to discourage, interfere, or delay the complaint.	1	0	1	0%
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.	1	0	1	0%
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 	1	0	1	0%
Determine if verbal or written acknowledgment was provided that the complaint was received, documented, forwarded for investigation, and that the complainant would be contacted by a department representative.	1	0	1	0%
Determine if the complaint was immediately forwarded to PSB.	1	0	1	0%
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.	1	0	1	0%
Overall compliance for testing by Telephone	12	0	12	0%

Below is a rolling 6-month historical comparison of compliance for tests conducted by Telephone:



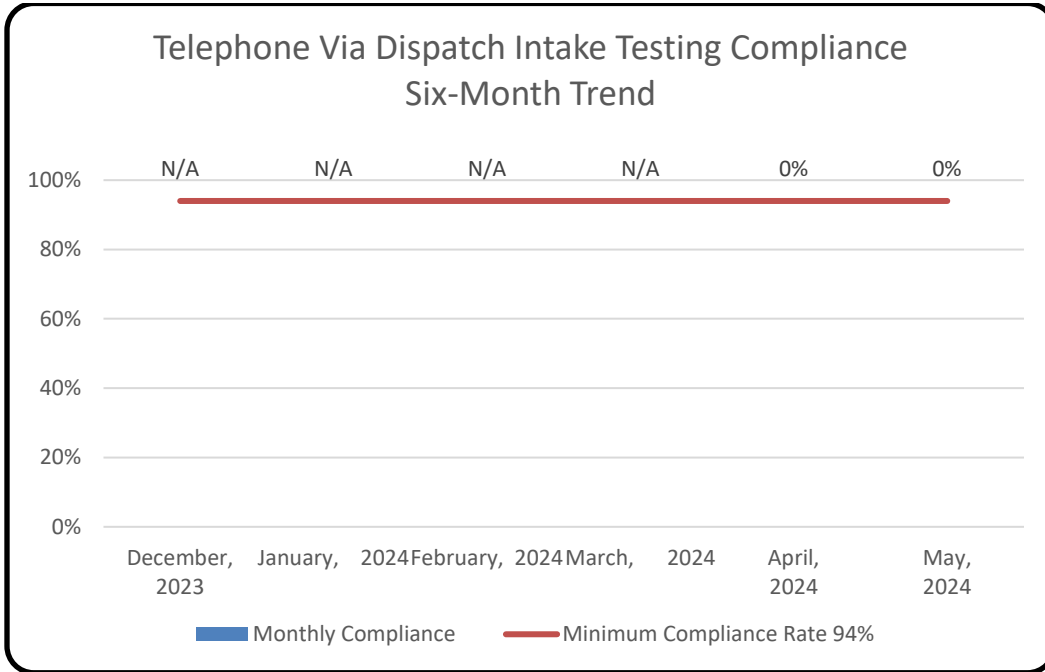
Testing by Telephone via the Communications Division

There was one Complaint Intake Test conducted by Telephone via the Communications Division for the month of May 2024. See the above section titled “Telephone” for the description of RP24-01.

It was determined that MCSO employee compliance with the applicable Office Policy (GI-1, *Radio and Enforcement Communication Procedures*) was 0%, 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.	1	0	1	0%
Determine if the employee immediately verbally contacted the on-duty division/district supervisor and e-mailed info to him/her.	1	0	1	0%
Determine if the employee e-mailed EIU.	1	0	1	0%
Overall compliance for testing by Telephone via Communications Division	3	0	3	0%

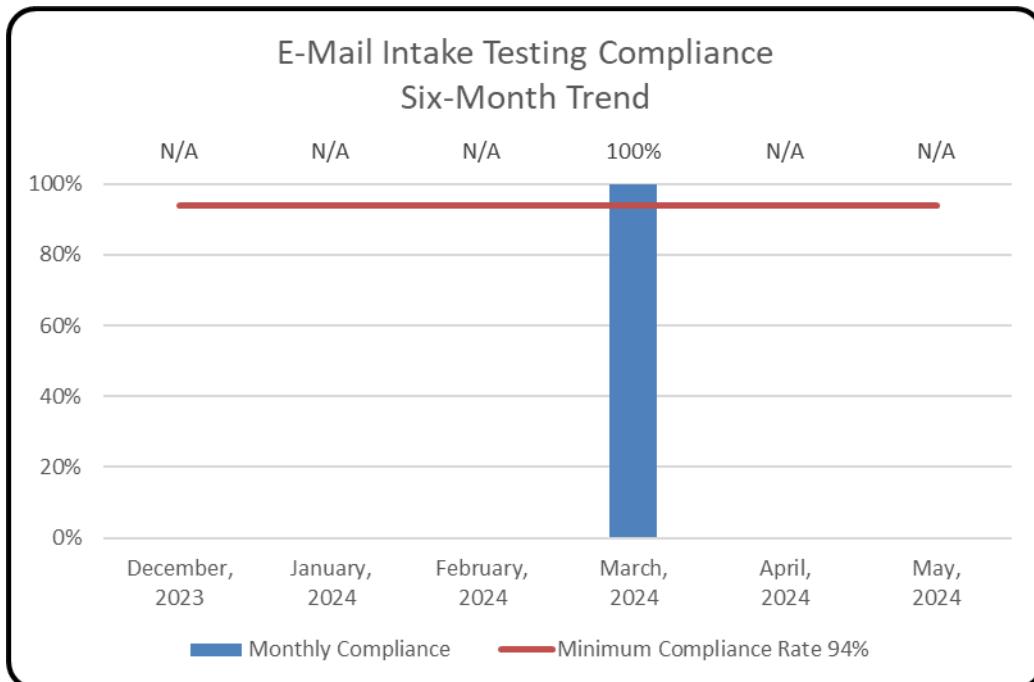
Below is a rolling 6-month historical comparison of compliance for tests conducted by Telephone via the Communications Division:



Testing by E-Mail

There were no Complaint Intake Tests conducted by E-Mail for the month of May 2024.

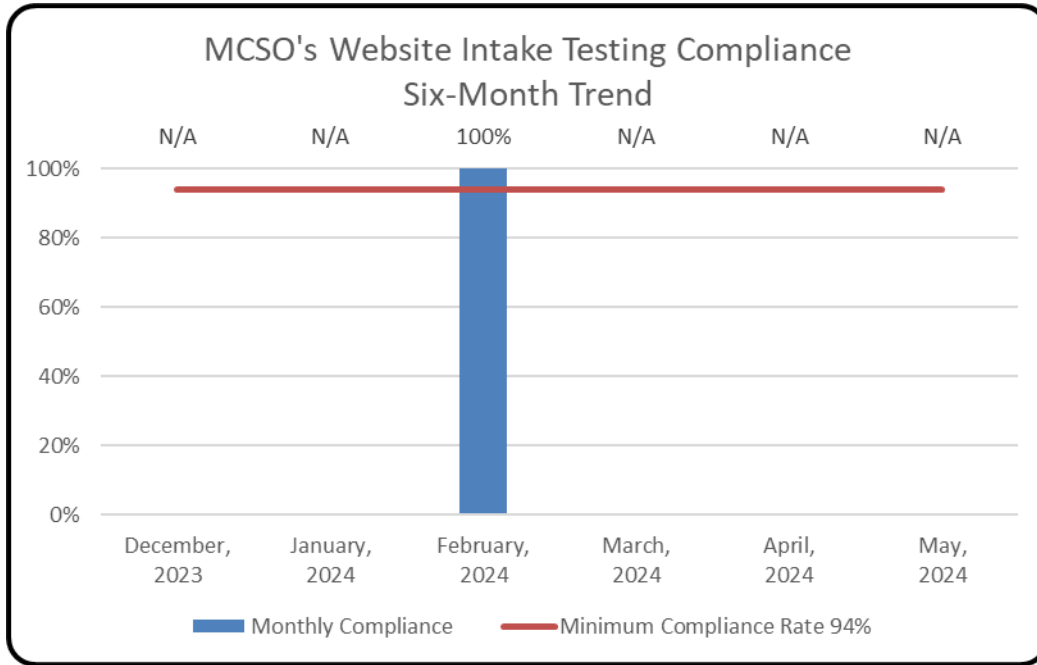
Below is a rolling 6-month historical comparison of compliance for tests conducted by E-mail:



Testing Online via MCSO’s Website

There were no Complaint Intake Tests conducted online during the month of May 2024 using the Office’s website.

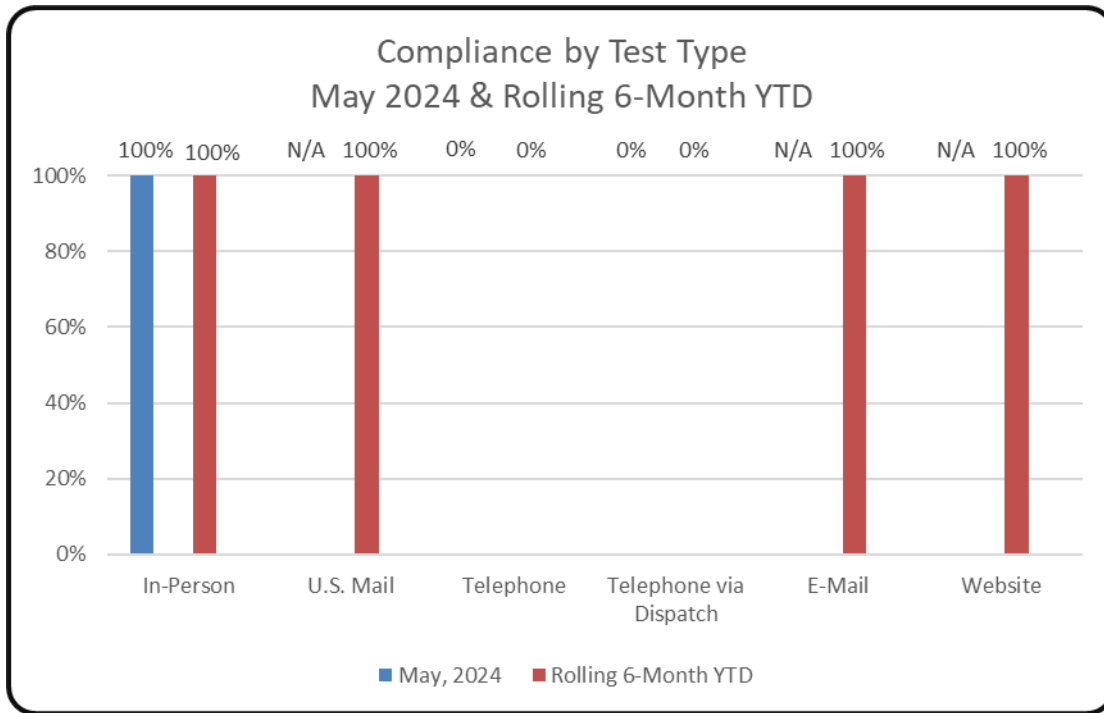
Below is a rolling 6-month historical comparison of compliance for filing a complaint Online:



Overall Compliance for May 2024:

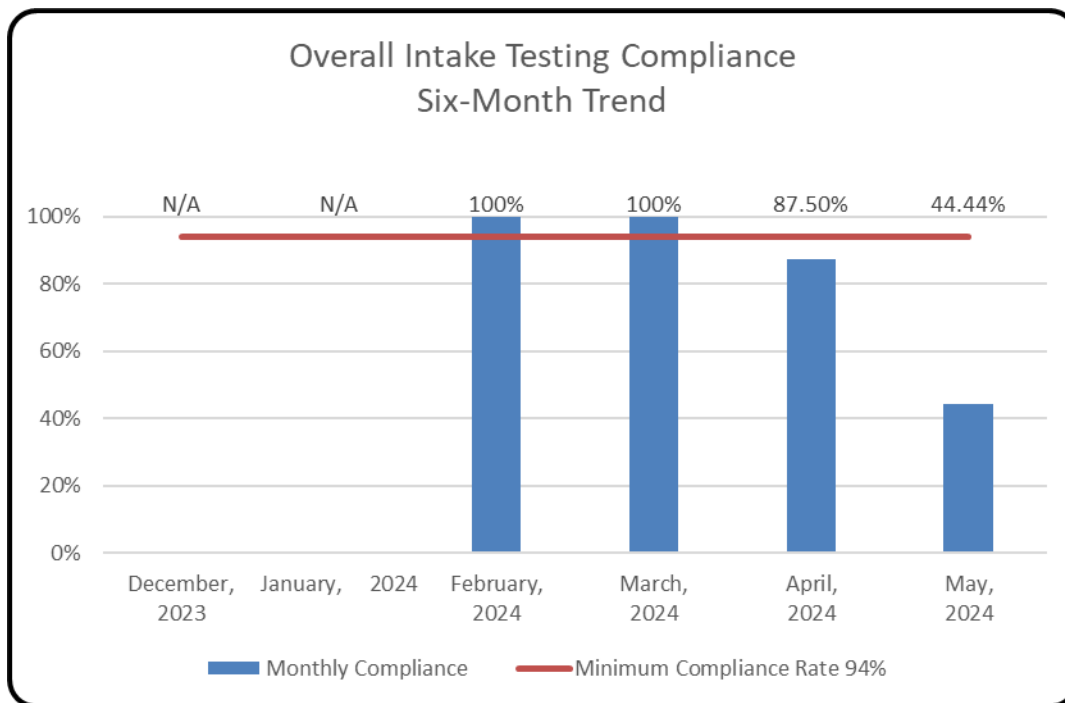
Compliance Rate by Method of Testing May 2024	Compliance Rate
Tests conducted In Person	100%
Tests conducted by U.S. Mail	N/A
Tests conducted by Telephone	0%
Tests conducted via Dispatch	0%
Tests conducted via E-mail	N/A
Tests conducted by filing a complaint Online/Website	N/A
Overall Compliance for all Complaint Intake Tests Inspected – May 2024	44.44%

Below is a chart illustrating the compliance rate by type of test conducted for the month of May 2024 as compared with the corresponding 6-month compliance rate:



History of Overall Compliance:

Below is a rolling 6-month historical comparison of compliance for all Complaint Intake Testing:



Communications Division (1 BIO Action Form):

Compliance Deficiency

District/Division	Date of Event	Responsible Employee	Current Supervisor	Commander:
Communications	5/23/24	Dispatcher	Emergency Dispatch Supervisor	Communication Division Commander
Deficiency				
1. The complaint name and contact information were not documented. (GI-1.12.D) 2. The on-duty supervisor of the district was not immediately verbally contacted by Communications. (GI-1.12.D.1) 3. The complaint information was not emailed to the district on-duty supervisor. (GI-1.12.D.1.a) 4. The complaint information was not cc-emailed to the Early Intervention Unit (EIU) at mcsos.eis@mcsos.maricopa.gov . (GI-1.12.D.1 b)				

Unless noted above in the deficiency table, there were no prior BIO Action Forms similar in nature or supervisor notes addressing the deficiencies.

Action Required:

The compliance rate is **44.44%** for *Inspection BI2024-0069*; **1** BIO Action Form is requested from the affected divisions.

The form shall be completed utilizing Blue Team.

Date Inspection Started: May 29, 2024
 Date Completed: June 05, 2024
 Timeframe Inspected: May 1 - 31, 2024
 Assigned Inspectors: Ronda Jamieson B3178

I have reviewed this inspection report.

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

6/28/2024
 Date