

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



Complaint Intake Testing Inspection November 2021

Inspection # BI2021-0151

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 three Complaint Intake Tests conducted during the month of November 2021; one was an in-person test, one was a telephone test, and one was an e-mail 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 November 2021.

TEST #: 80

DISTRICT/DIVISION: District 1

TEST SCENARIO: Tester asked a deputy for assistance when she became stranded due to car trouble. The deputy was allegedly rude and made a racist comment about "Mexicans and their cars."

ACTIONS TAKEN: The tester went to the District 1 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 1 and determined

that the on-duty supervisor was not available. The complaint was referred to the on-duty supervisor in District 1 by e-mailing him the complaint information and copying the Early Identification Unit. (Also, see the following section “Testing by Telephone via Communications Division”).

The District 1 on-duty sergeant returned the tester’s call later that same day and took the complaint, then explained the complaint intake process.

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

RESULTS: No deficiencies were noted.

TESTER COMMENTS: The tester pointed out that the signage near the *Maricopa County Sheriff’s Office Comment and Complain Form* containers on the outside of District 1 office building needed updating. The instructions indicated the completed form should be dropped off “inside MCSO Office”; however, the lobby is closed to the public.

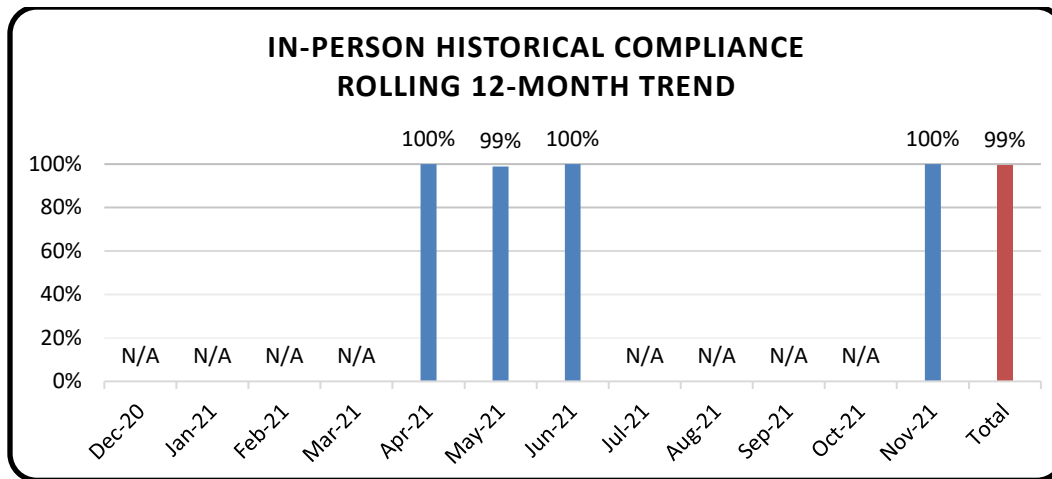
BIO FOLLOW UP: AIU contacted District 1 command staff and recommended updated signage.

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.	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.	0	1	1	100%
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 In-Person testing	0	13	13	100%

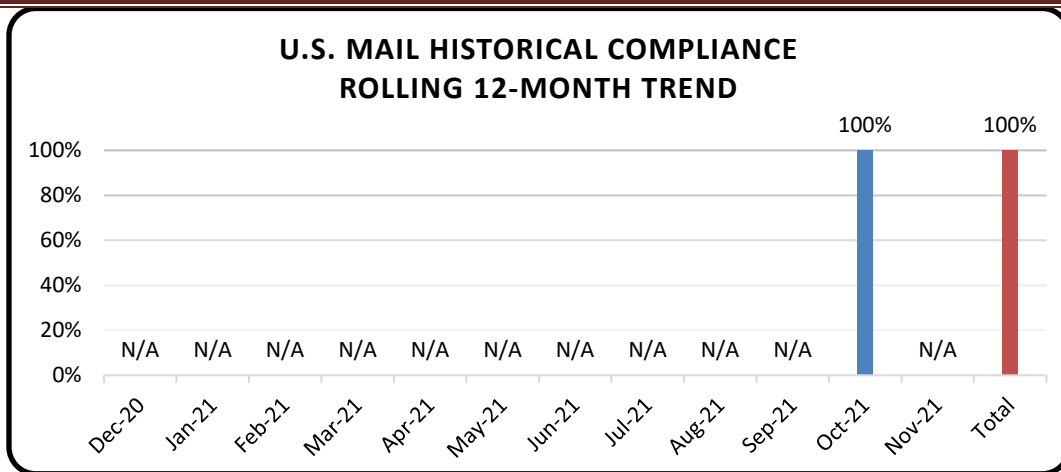
Below is a rolling 12-month historical comparison of compliance for In-Person tests:



Testing by U.S. Mail

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

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 November 2021.

TEST #: 83

DISTRICT/DIVISION: District 4

TEST SCENARIO: The tester observed a deputy allegedly being rude and dismissive to a Hispanic girl who was trying to make a report that her bicycle was stolen. The deputy allegedly made the comment that she should learn to speak English.

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 determined that the on-duty supervisor was not available. 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”).

The District 4 on-duty sergeant returned the tester’s call later that same day and took the complaint, then explained the complaint intake process.

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

RESULTS: No deficiencies were noted.

TESTER COMMENTS: The tester noted that she experienced technical difficulties with her recording equipment but was able to provide a backup recording of the calls.

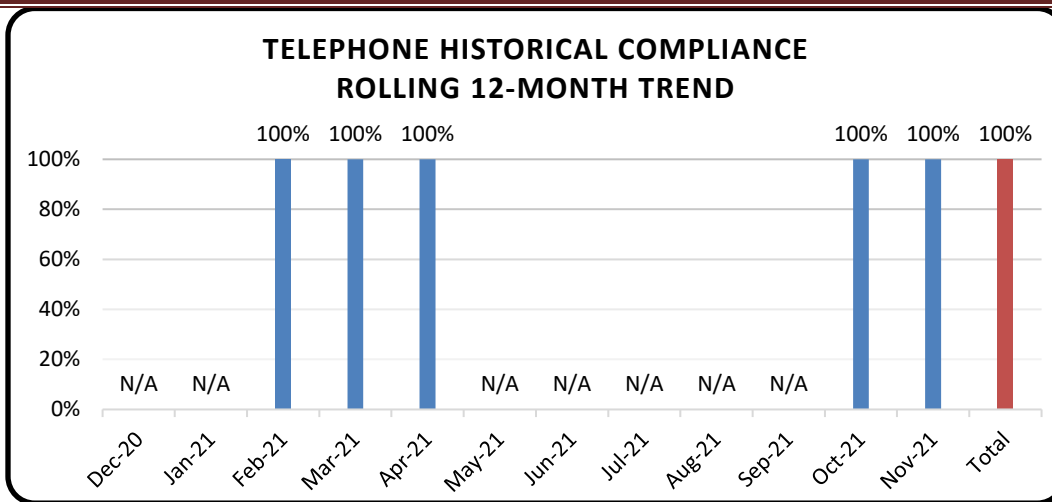
BIO FOLLOW UP: None required.

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.	0	1	1	100%
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	13	13	100%

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



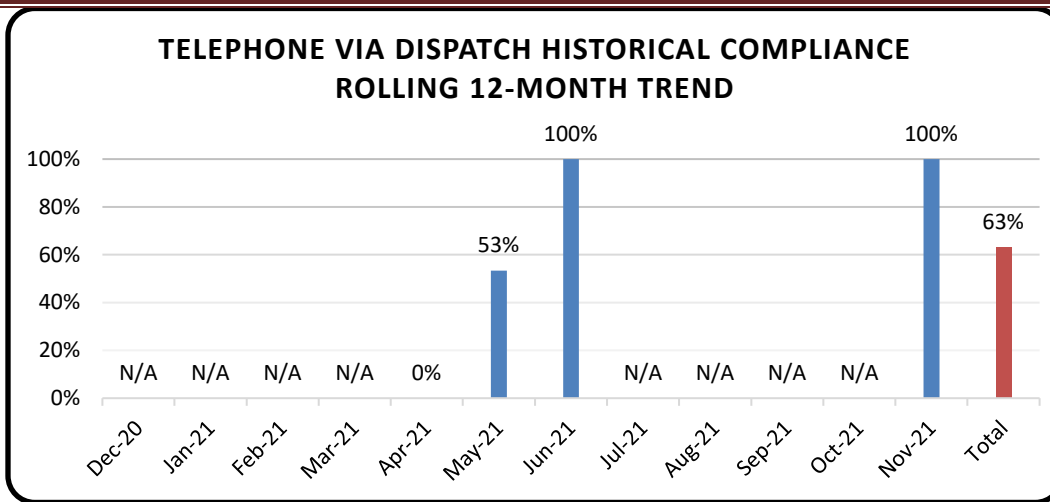
Testing by Telephone via Communications Division

There were two Complaint Intake Tests conducted by Telephone via the Communications Division for the month of November 2021 (see the above section, “In-Person Testing” Test #80” and “Telephone Testing” Test #83).

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	2	2	100%
Determine if the employee immediately verbally contacted the on-duty division/district supervisor and e-mailed info to him/her.	0	2	2	100%
Determine if the employee e-mailed EIU.	0	2	2	100%
Overall compliance for testing by Telephone via Communications Division	0	6	6	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 Tests conducted by E-mail during the month of November 2021.

TEST #: 96

DISTRICT/DIVISION: PSB

TEST SCENARIO: The tester e-mailed PSB directly. According to the tester’s e-mail, the tester observed a deputy allegedly driving his MCSO recklessly at a high speed through a Target parking lot nearly hitting pedestrians.

ACTIONS TAKEN: Four days after sending the e-mail, the tester received a response from PSB requesting additional information about the complaint. Also, the same day the tester received an additional e-mail from PSB containing the IA number and contact information for the assigned investigator.

RESULTS: No deficiencies were noted.

TESTER COMMENTS: N/A

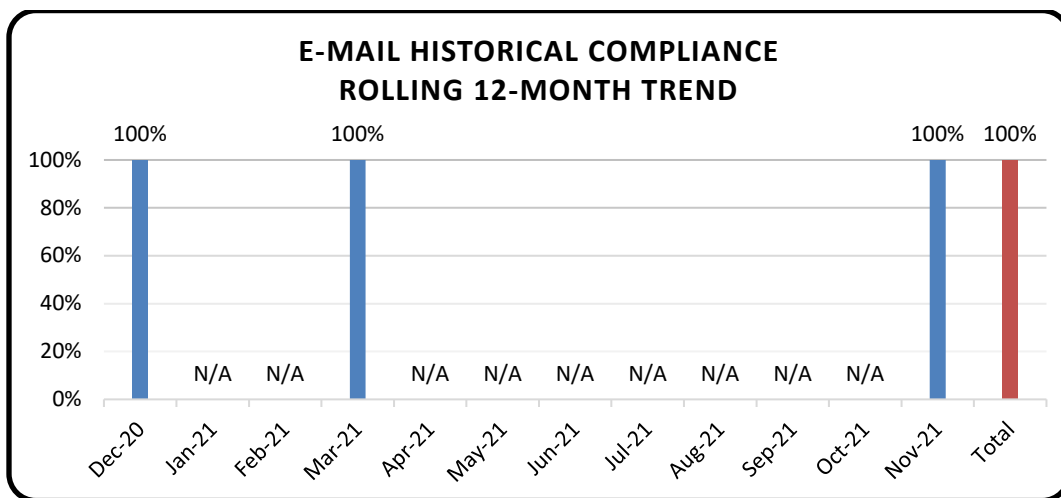
BIO FOLLOW UP: N/A

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

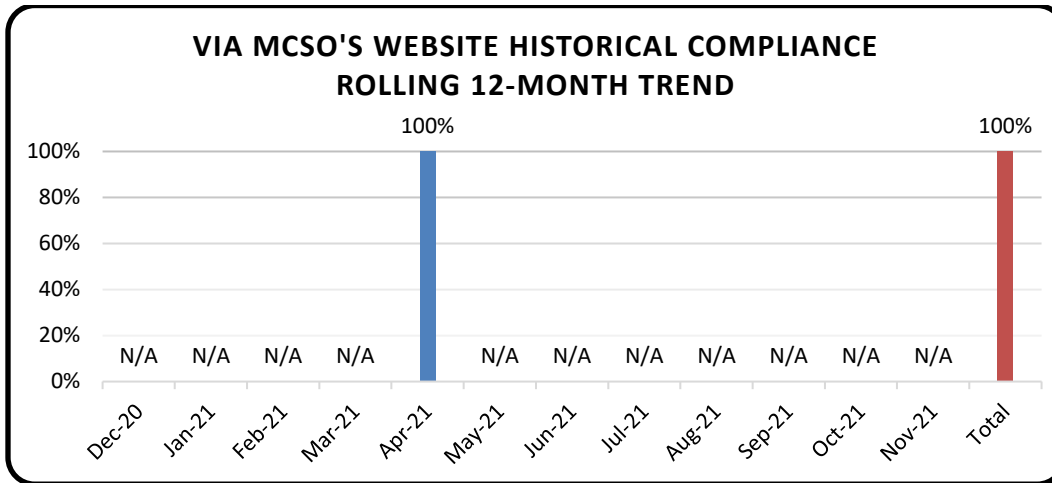
Below is a rolling 12-month historical comparison of compliance for tests conducted by E-mail:



Testing Online via MCSO's Website

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

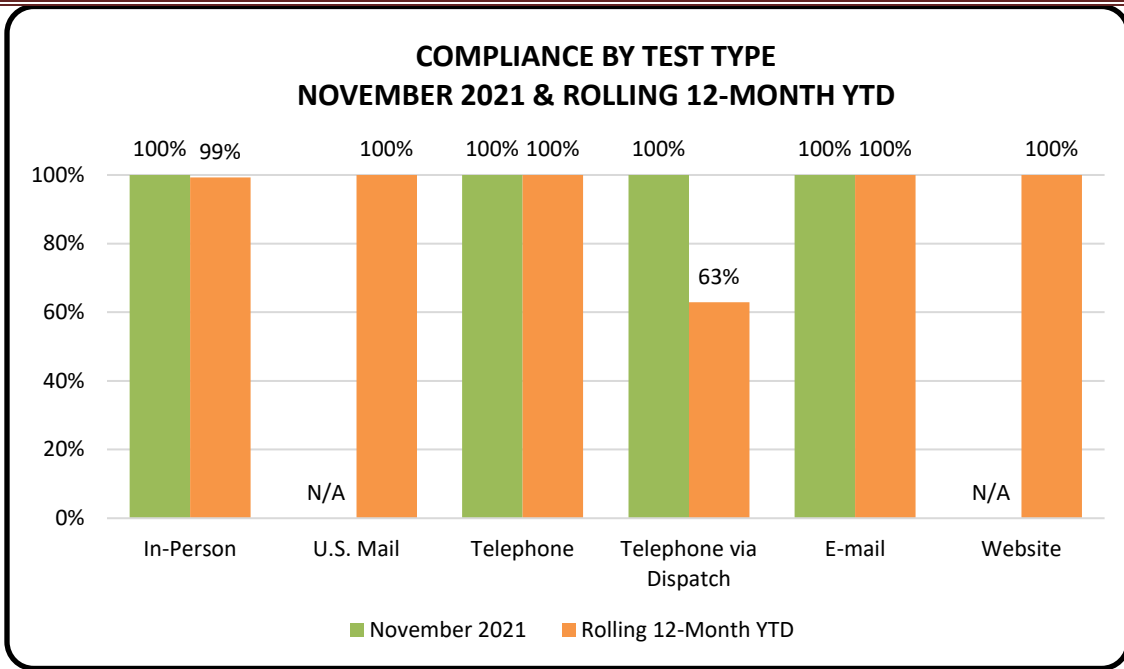
Below is a rolling 12-month historical comparison of compliance for filing a complaint Online:



Overall Compliance for November 2021:

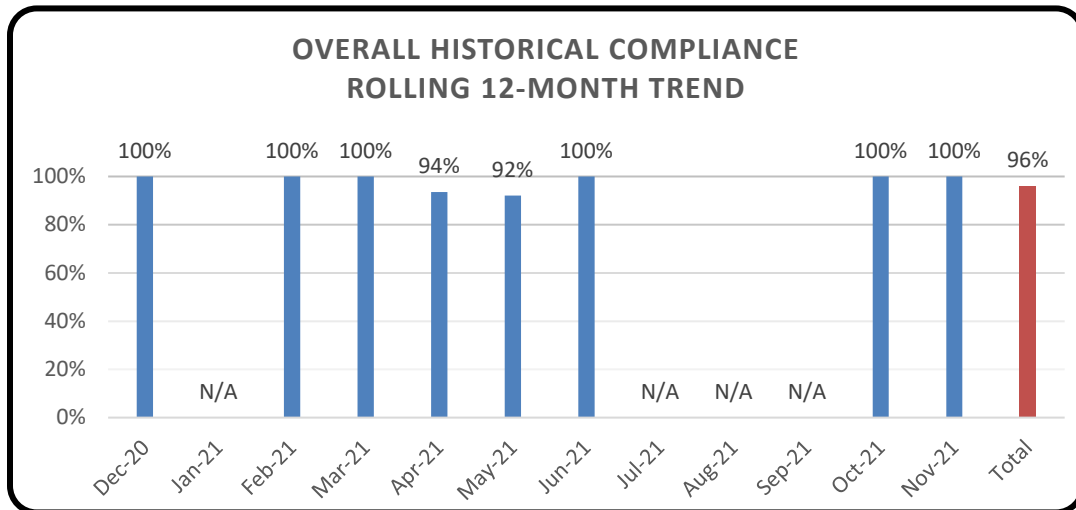
Compliance Rate by Method of Testing November 2021	Compliance Rate
Tests conducted In Person	100%
Tests conducted by U.S. Mail	N/A
Tests conducted by Telephone	100%
Tests conducted via Dispatch	100%
Tests conducted via E-mail	100%
Tests conducted by filing a complaint Online	N/A
Overall Compliance for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

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



Action Required:

With the resulting **100%** compliance rate for Inspection #BI2021-0151, **no BIO Action Forms** are requested.

Date Inspection Started: December 10, 2021
Date Completed: December 20, 2021
Timeframe Inspected: November 1st to November 30th, 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

1/14/2022

Date