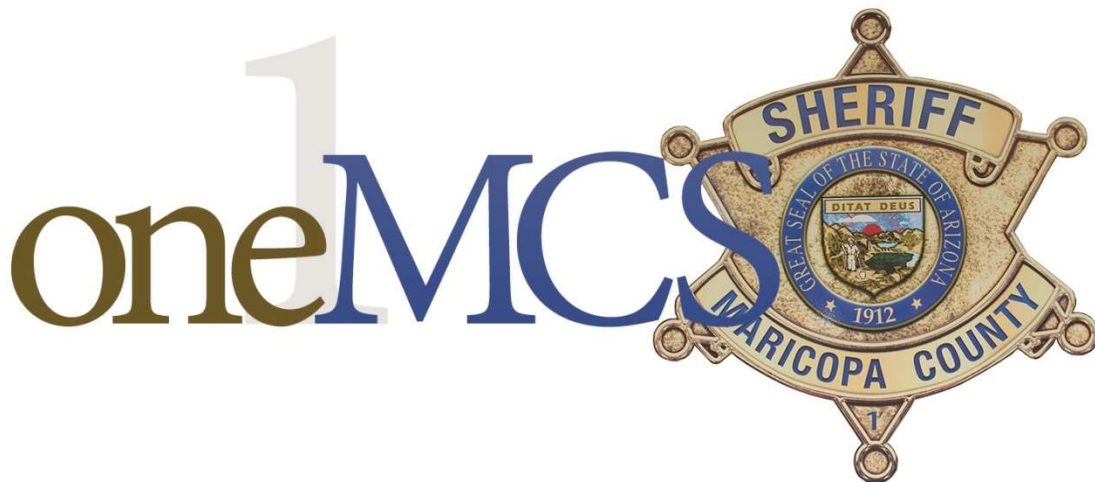


MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



Complaint Intake Testing Inspection April 2020

Inspection # BI2020-0053

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 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 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 by using 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 tests and audio record all telephone tests. Each 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:

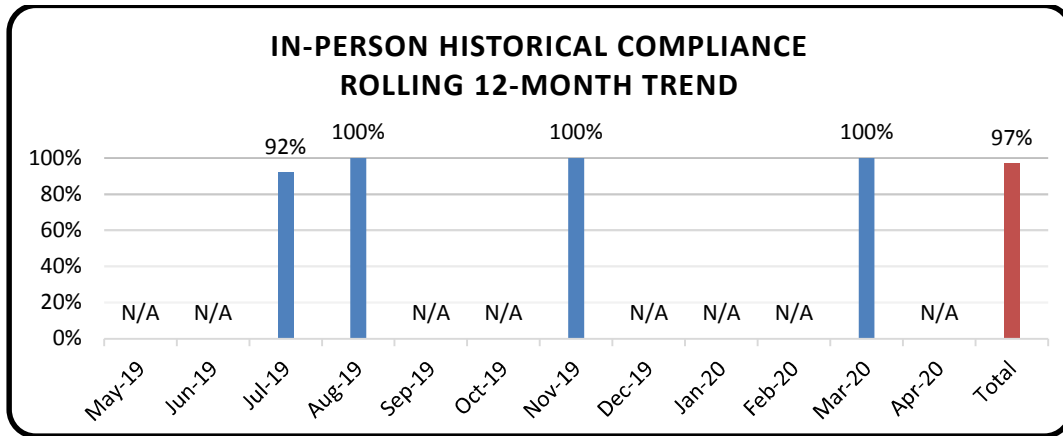
AIU began conducting the inspection of Complaint Intake Testing in January 2019 for tests performed during the month of December 2018. The following charts illustrate rolling 12-month histories of compliance with Office Policy. "N/A" indicates a particular type of test was not performed during that month.

The Complaint Intake Testing vendors conducted two tests during the month of April 2020; one was conducted by mail and one was conducted by telephone. 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 no In-Person Complaint Intake Tests conducted during the month of April 2020.

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 April 2020.

TEST #: 47

DISTRICT/DIVISION: Sheriff’s Office Headquarters

TEST SCENARIO: The tester posed as a Hispanic female who sent a letter by U.S. Mail to the Sheriff’s Office Headquarters complaining that a deputy harassed her 12-year-old twin boys because they were Latino.

ACTIONS TAKEN: Five days after mailing the letter, 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

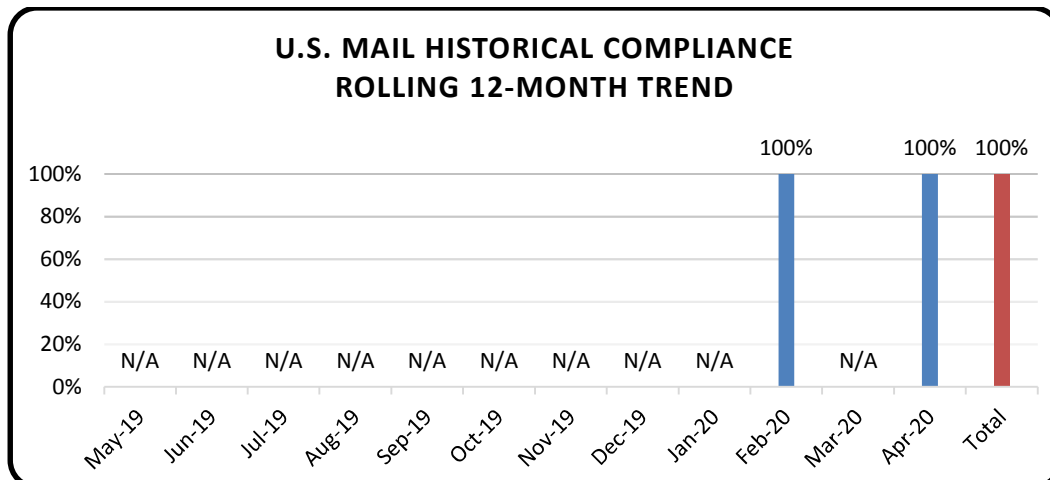
BIO FOLLOW UP: None required.

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 April 2020.

TEST #: 48

DISTRICT/DIVISION: District 4

TEST SCENARIO: The tester called the MCSO general switchboard number (602-876-1000) on Monday, April 27th, to complain that a deputy was driving erratically, recklessly, and generally in an unsafe manner.

ACTIONS TAKEN: The dispatcher who took the call documented the complaint information, contacted the on-duty supervisor in District 4, and forwarded the complaint information to the on-duty supervisor and the Early Identification Unit.

The on-duty supervisor (sergeant) immediately called the tester to gather details about the complaint. The call was recorded. The sergeant entered the complaint in the BlueTeam system. A prior complainant having the same name as the one used by the tester appeared when the "Search for Civilian" was completed. The sergeant selected the preexisting complainant of the same name. The preexisting complainant had a different phone number than what was provided by the tester. In addition, the preexisting name had an address in Glendale and the tester did not provide an address. Selecting the preexisting complainant of the same name resulted in PSB sending the initial 7-day letter to the wrong individual.

RESULTS: There was one deficiency noted. Employee did not provide the PSB with accurate and complete information (see Compliance Objectives above).

TESTER COMMENTS: The tester indicated that the sergeant was very professional and sincere. The tester felt that the sergeant took her complaint seriously because he was so thorough. However, she added, "If I had been an average citizen, I might find it odd to have not heard back; however, he did make it sound definite that I would."

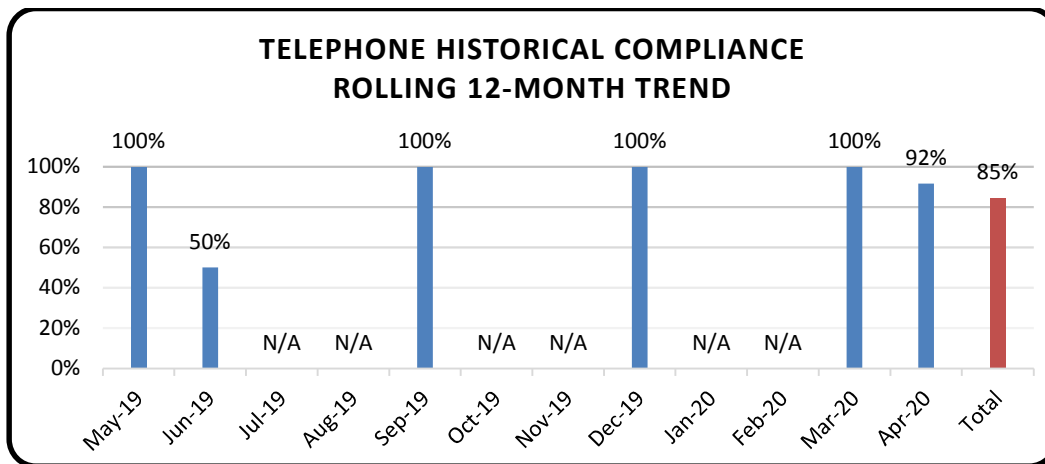
BIO FOLLOW UP: The BIO Action Form process was initiated.

It was determined that MCSO employee compliance with the applicable Office Policy (GH-2, *Internal Investigations*) was 92%, 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 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.	1	0	1	0%
Overall compliance for testing conducted by Telephone	1	11	12	92%

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



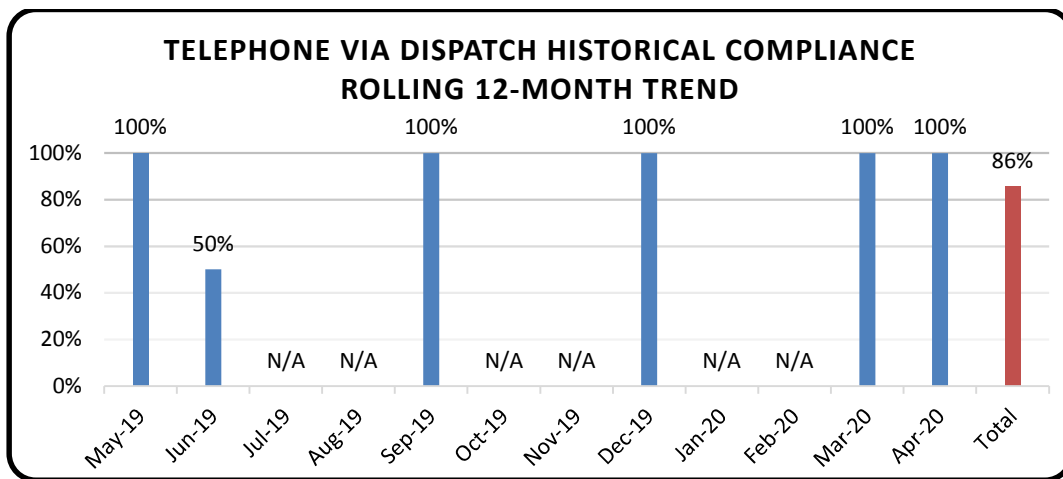
Testing by Telephone via Communications Division

There was one Complaint Intake Test conducted by Telephone via the Communications Division for the month of April 2020 (see above section “Testing by Telephone”).

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%

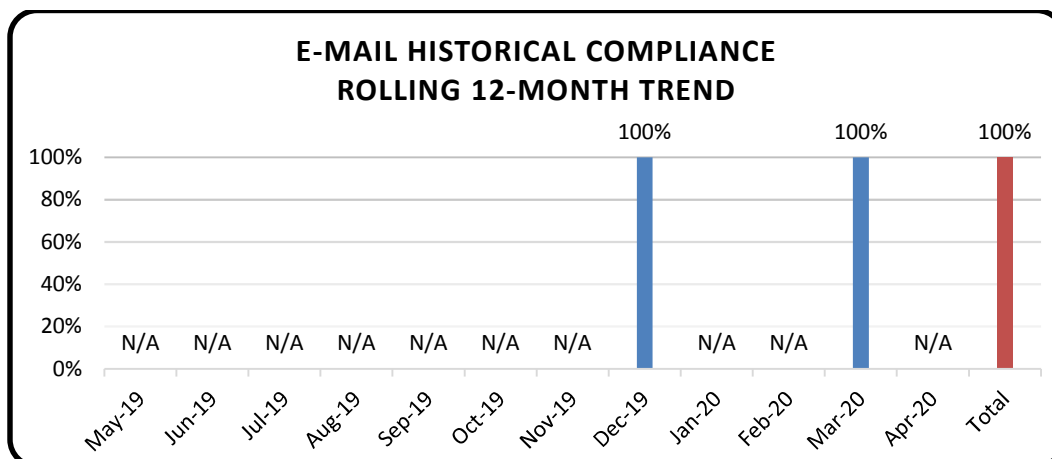
Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone via the Communications Division:



Testing by E-Mail

There were no Complaint Intake Tests conducted by E-mail during the month of April 2020.

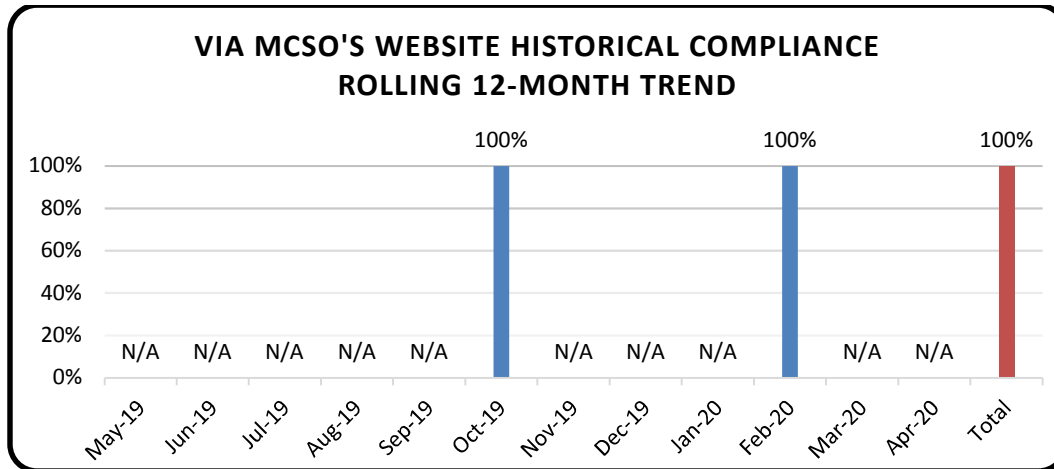
Below is a rolling 12-month historical comparison of compliance for tests conducted by E-mail:



Testing Online via MCSO's Website

There were no Complaint Intake Tests conducted during the month of April 2020 using the Office's website.

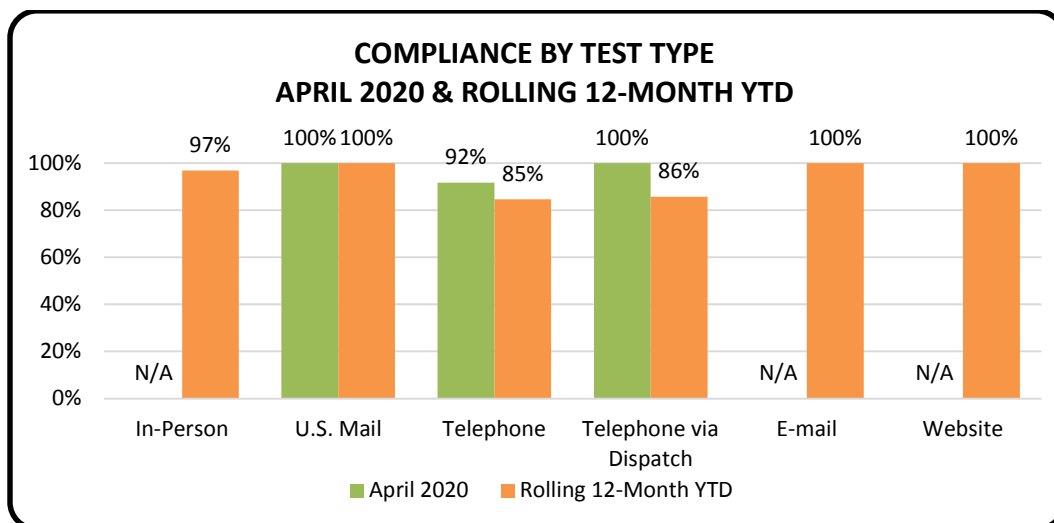
Below is a rolling 12-month historical comparison of compliance for filing a complaint Online:



Overall Compliance for April 2020:

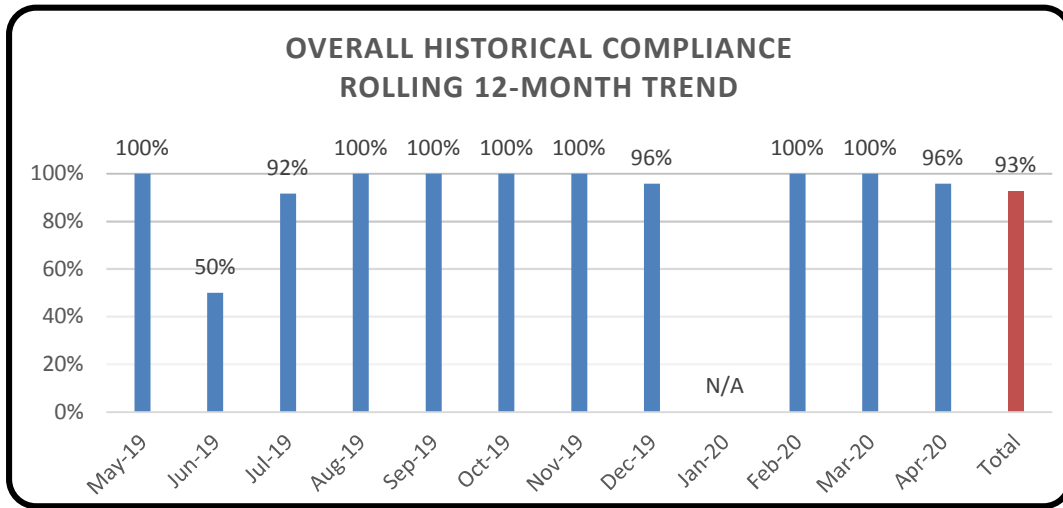
Compliance Rate by Method of Testing April 2020	Compliance Rate
Tests conducted In Person	N/A
Tests conducted by U.S. Mail	100%
Tests conducted by Telephone	92%
Tests conducted via Dispatch	100%
Tests conducted via E-mail	N/A
Tests conducted by filing a complaint Online	N/A
Overall Compliance for all Complaint Intake Tests Inspected – April 2020	96%

Below is a chart illustrating compliance rate by type of test conducted for the month of April 2020 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:



The following deficiency was noted during the inspection period:

District 4 (1 BIO Action Form)

District/Division	Employee	Date of Event	IA Number	Current Supervisor	Current Commander
District 4	Sergeant	4/27/2020	IA2020-0207	Lieutenant	Captain
Deficiency					
A preexisting complainant with the same name provided by the tester was incorrectly selected during the initial complaint entry in BlueTeam. This resulted in PSB sending the initial 7-day letter to the wrong person. (Note: only the name given by the tester matched the prior complainant that was selected. The prior complainant had a different phone number and an address in Glendale. The tester did not provide an address.)					

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

Action Required:

With the resulting **96%** compliance rate for Inspection #BI2020-0053, **one BIO Action Form** is requested.

Date Inspection Started: April 8, 2020
Date Completed: May 19, 2020
Timeframe Inspected: April 1st to April 30th, 2020
Assigned Inspector: Connie Phillips B3345

I have reviewed this inspection report.

Lt. Todd Brice

Lt. Todd Brice S1767
Commander, Audits and Inspections Unit
Bureau of Internal Oversight

6-8-2020

Date