

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



Complaint Intake Testing Inspection September 2022

Inspection # BI2022-0136

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 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 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 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 September 2022; one was an e-mail test, one was in-person, and one was conducted online by using the Office's website. 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 September 2022.

TEST #: 117-IP

DISTRICT/DIVISION: District 2

TEST SCENARIO: Tester posed as a Middle Eastern man who was riding his bike with friends at a park when a deputy allegedly confronted them and made derogatory comments to them based on the color of their skin.

ACTIONS TAKEN: The tester went to the office of District 2 to file a complaint. The Administrative Assistant promptly referred the complaint to an on-duty District 2 sergeant. After listening to the complaint, the sergeant explained the various options available to file a complaint—online through MCSO's website, by completing a *Comment and Complaint*

Form, or in person. The tester chose to speak with the sergeant and file his complaint in person. The sergeant audio and video recorded the interview as required by Policy. As the sergeant gathered details of the complaint, he put the tester at ease with his friendly manner and showed empathy for the tester by comments he made and questions he asked. At the conclusion of the interview, the sergeant explained the complaint process and what would happen next. He also took the extra step in asking the tester what he would like to see happen because of his coming forward with his complaint.

The tester inadvertently gave the wrong phone number and called the district office the following day to correct it.

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

RESULTS: No deficiencies were noted.

TESTER COMMENTS: *"I had a very pleasant experience at District 2. The receptionist greeted me, and I told her I wanted to file a complaint against one of the deputies and she took it very serious, which I appreciated ... then I met [the sergeant] and he genuinely looked concerned about the complaint ... I explained what my complaint was and [the sergeant] was very respectful while also asking questions to get more information ... Overall, I believe this was a very nice experience and truly do believe that they took my complaint and report seriously."*

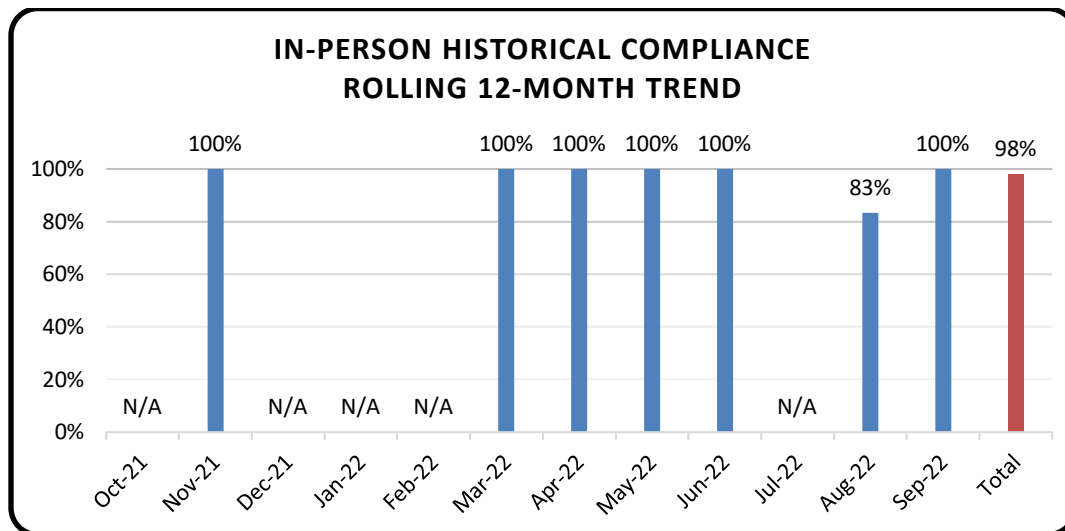
BIO FOLLOW UP: BIO notified the District 2 commander of the exemplary way the Administrative Assistant and the sergeant provided customer service and exhibited thorough knowledge of Office Policy.

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.	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 In-Person testing	0	12	12	100%

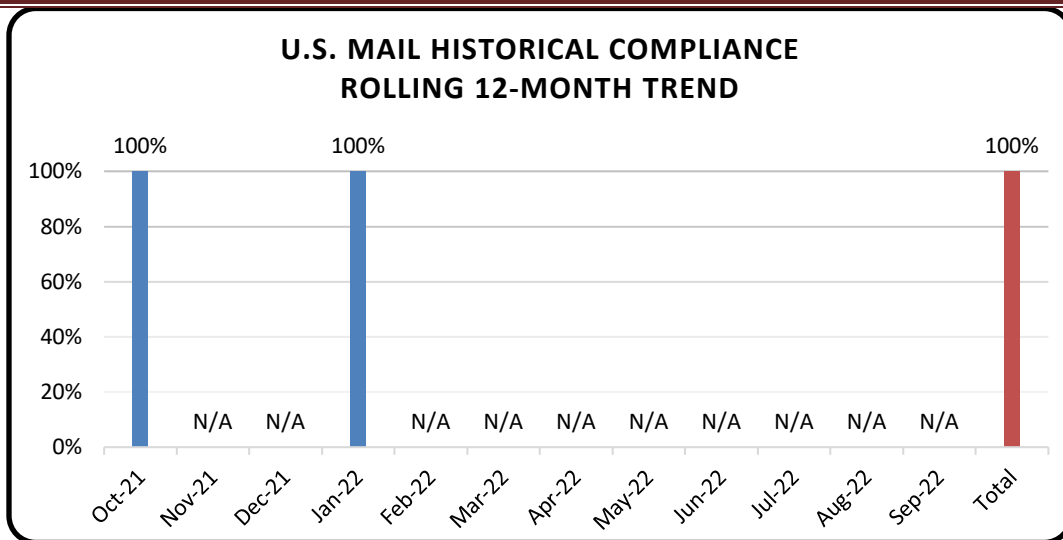
Below is a rolling 12-month historical comparison of compliance for In-Person tests:



Testing by U.S. Mail

There were no Complaint Intake Tests conducted by U.S. Mail during the month of September 2022.

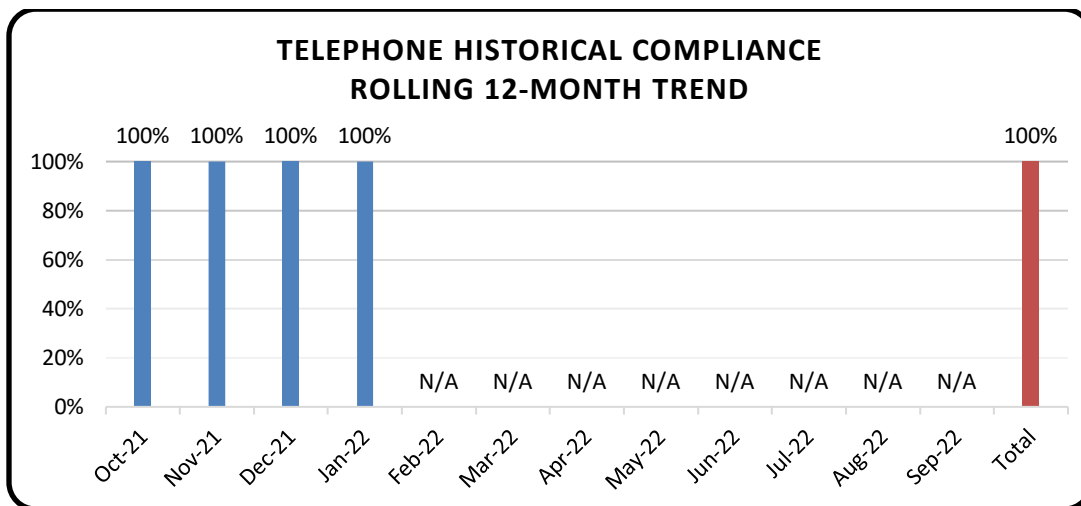
Below is a rolling 12-month historical comparison of compliance for tests conducted by U.S. Mail:



Testing by Telephone

There were no Complaint Intake Tests conducted by Telephone during the month of September 2022.

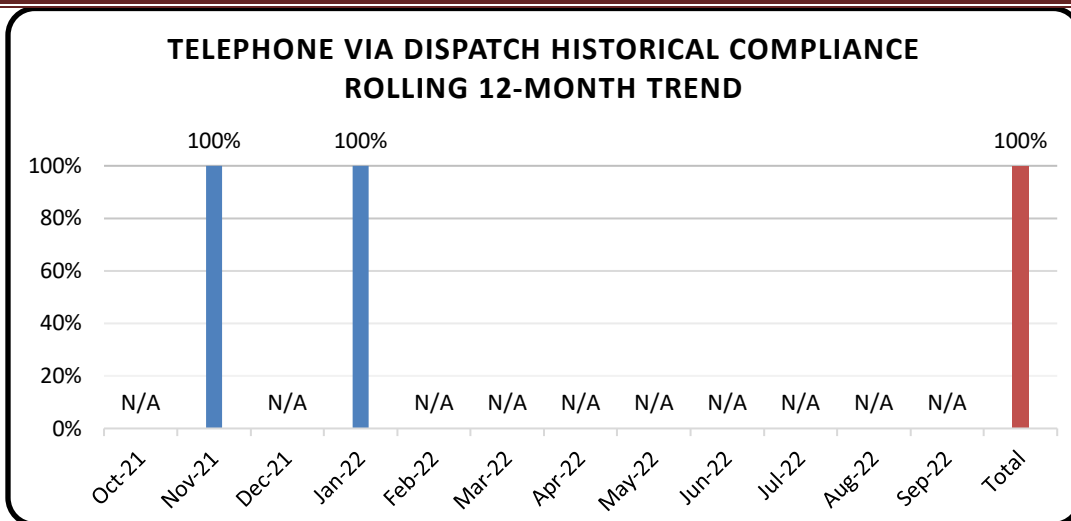
Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone:



Testing by Telephone via Communications Division

There were no Complaint Intake Tests conducted by Telephone via the Communications Division for the month of September 2022.

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 September 2022.

TEST #: 108

DISTRICT/DIVISION: PSB

TEST SCENARIO: A deputy was allegedly rude and inconsiderate in his communication with family members of an accident victim.

ACTIONS TAKEN: The tester e-mailed PSB directly. Three hours later, the tester received a response from PSB with the IA number and contact information for the assigned investigator.

RESULTS: No deficiencies were noted.

TESTER COMMENTS: N/A.

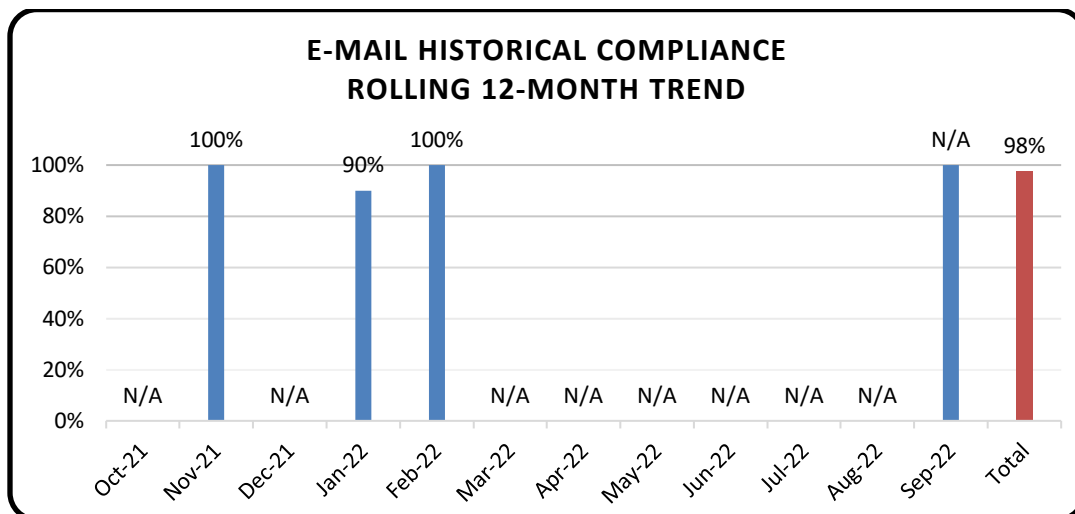
BIO FOLLOW UP: None required.

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	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 was one Complaint Intake Test conducted online during the month of September 2022 using the Office's website.

TEST #: 111

DISTRICT/DIVISION: District 4

TEST SCENARIO: The tester posed as a woman who was eating at a restaurant and observed a deputy allegedly yelling and making racially incentive remarks to the Hispanic staff.

ACTIONS TAKEN: The tester filed the complaint through the MCSO website at www.mcso.org/i-want-to/share-comments-or-complaints. Later the same day, 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: *"I was supposed to get a copy of my complaint (checked the box to have a copy emailed) but have not received a copy yet. I checked a box at the time I submitted by complaint to receive a copy of the complaint."*

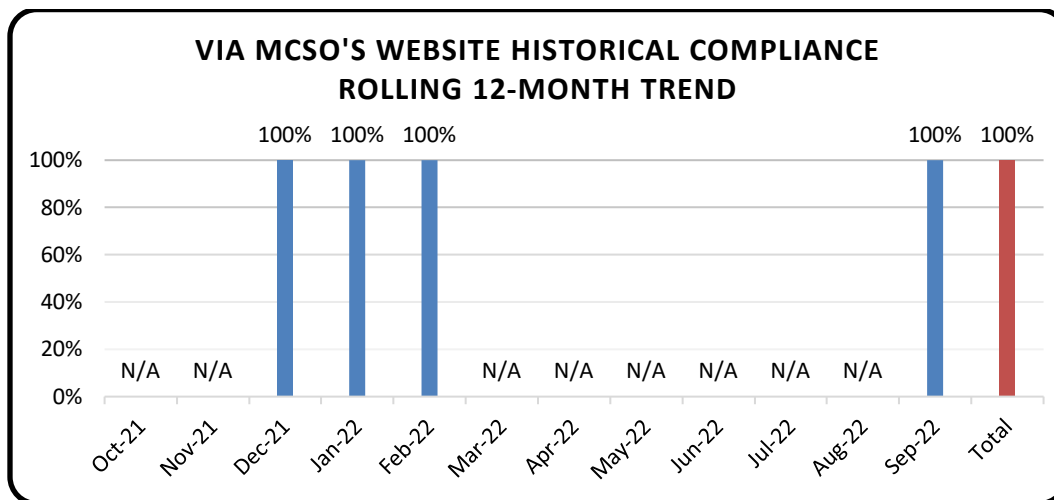
BIO FOLLOW-UP: AIU followed up with MCSO's IT Department to see if the tester entered the correct return e-mail address and to see if a copy of the automatically generated system response could be retrieved. The correct e-mail address was entered but the system response could not be confirmed. AIU also followed up with the tester to verify that the e-mail response did not go to the tester's spam folder undetected. The tester indicated that she checked all e-mail folders and could not find an automatically generated e-mail response from MCSO. MCSO's IT Department submitted a test complaint through the MCSO website and received a submission message. However, in the case of PMR Test #111, it could not be determined if an auto-generated e-mail response was sent or the reason why one might not be sent.

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%

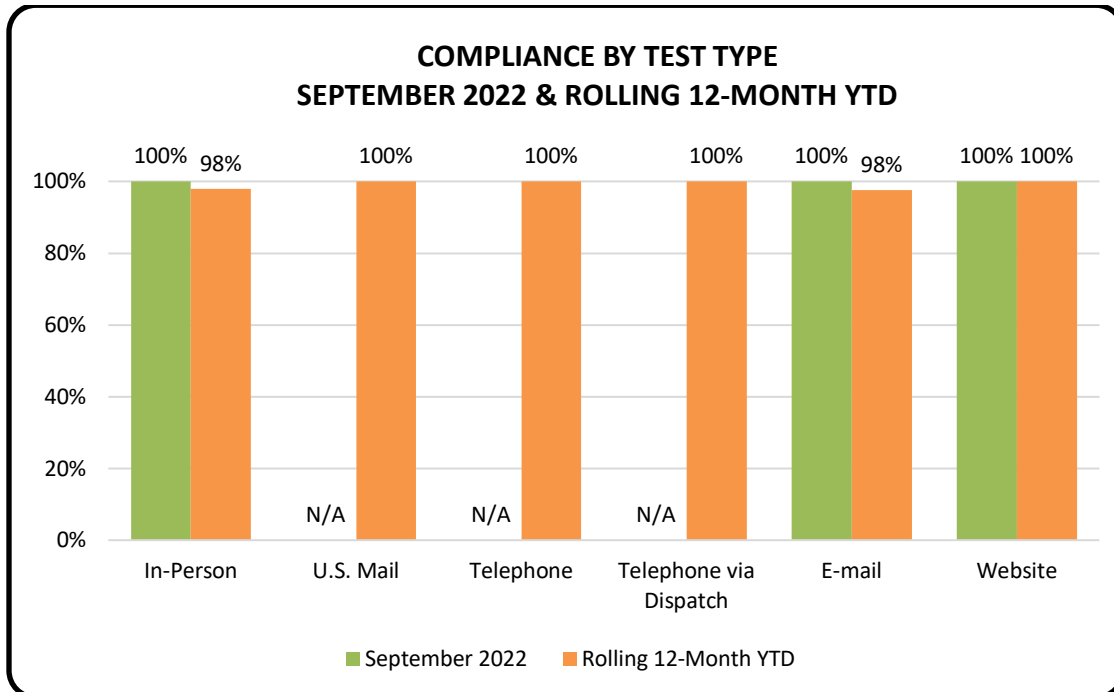
Below is a rolling 12-month historical comparison of compliance for filing a complaint Online:



Overall Compliance for September 2022:

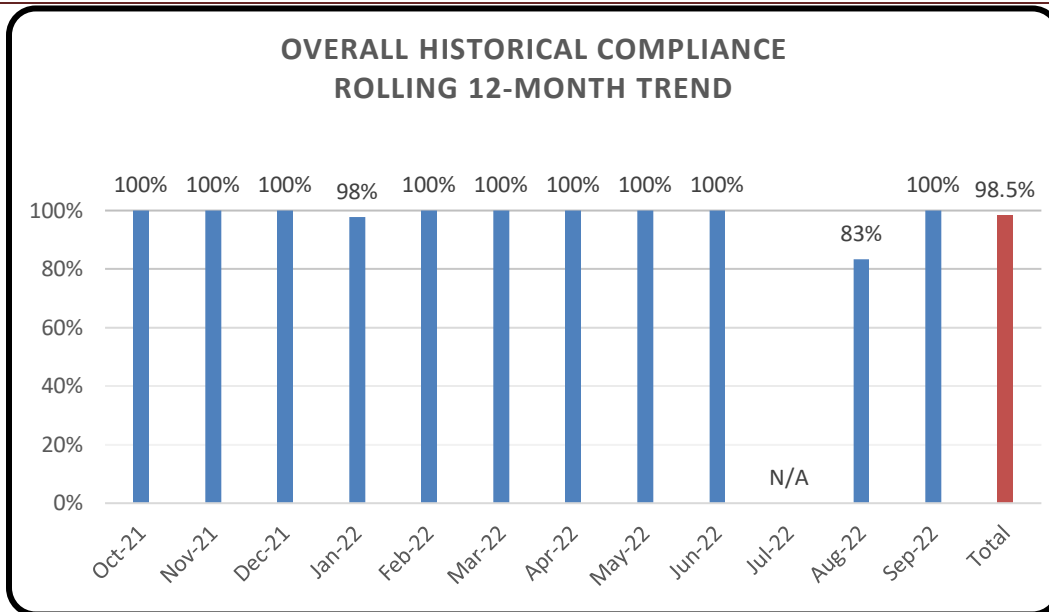
Compliance Rate by Method of Testing September 2022	Compliance Rate
Tests conducted In Person	100%
Tests conducted by U.S. Mail	N/A
Tests conducted by Telephone	N/A
Tests conducted via Dispatch	N/A
Tests conducted via E-mail	100%
Tests conducted by filing a complaint Online	100%
Overall Compliance for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

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



There were no deficiencies noted during the inspection period

Action Required:

The compliance rate is **100%** for Inspection #BI2022-0136; **no BIO Action Forms** are requested.

Date Inspection Started: September 22, 2022
 Date Completed: October 11, 2022
 Timeframe Inspected: September 1st to September 30th, 2022
 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

10/21/2022

 Date