

# MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight  
Audits and Inspections Unit



**Complaint Intake Testing Inspection November 2022**

Inspection # BI2022-0167

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 the Fiscal Year ending June 30<sup>th</sup> 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 November 2022; one was a telephone test and two were in-person tests. 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 were two In-Person Complaint Intake Tests conducted during the month of November 2022.

**1. TEST #: 119-IP**

**DISTRICT/DIVISION:** Lake Patrol

**TEST SCENARIO:** The tester posed as a Middle Eastern male who was having issues at a boat ramp at Saguaro Lake and a deputy came by and rudely told him to move.

**ACTIONS TAKEN:** The tester went to one of the offices of Lake Patrol to file a complaint. A deputy obtained details of the complaint, as well as audio and video recorded the interview in accordance with Office Policy. At the conclusion of the interview, the deputy explained the process and informed the tester that the matter would be investigated. Per MCSO Policy GH-2, *Internal Investigations*, complaints received at the division by phone or in person shall be referred to the on-duty supervisor. The video showed the deputy talking with a uniformed sergeant multiple times during the video and the sergeant can also be seen giving the deputy the report number to give to the tester for reference. At no point in the video does the sergeant go out to the lobby and speak to the tester. The sergeant is assigned to Dist. 4 but filling in at Lake Patrol at the time of the test

The following day, PSB called the tester with an IA number and the contact information for the assigned investigator.

**RESULTS:** There was one deficiency noted, as follows:

The complaint was not referred to an on-duty supervisor. (Policy GH-2, 2.B.1.a.1)

**TESTER COMMENTS:** N/A

**BIO FOLLOW-UP:** BIO followed up with District 4 through the BIO Action Form process to address the Policy GH-2 requirements that were not met.

## 2. TEST #: 125-IP

**DISTRICT/DIVISION:** District 4

**TEST SCENARIO:** The tester posed as a Middle Eastern male who observed a deputy driving recklessly.

**ACTIONS TAKEN:** The tester went to the office of District 4 to file a complaint. The Office Assistant gave the tester the MCSO *Comment and Complaint Form* to complete. The Office Assistant went to the back to get a supervisor. The sergeant came out to the lobby and met with the tester and obtained the details of 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 called the tester with an IA number and the contact information for the assigned investigator.

**RESULTS:** No deficiencies were noted.

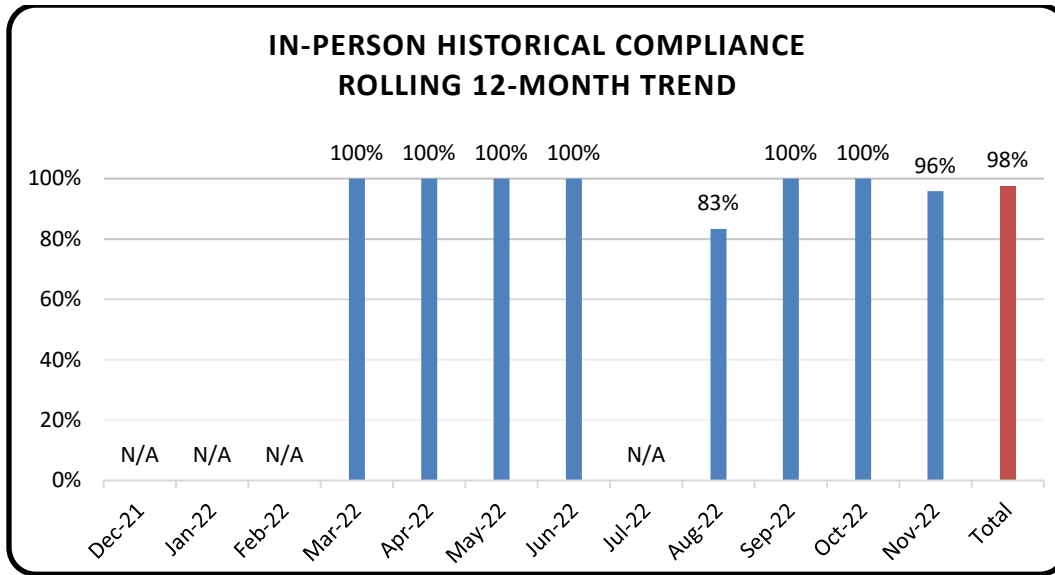
**TESTER COMMENTS:** N/A

**BIO FOLLOW-UP:** None required

It was determined that MCSO employee compliance with applicable Office Policy GH-2, *Internal Investigations* was 96%, 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.	1	1	2	50%
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	2	2	100%
Verify that the complaint was entered into BlueTeam or IAPro.	0	2	2	100%
Determine if the employee attempted to discourage, interfere or delay the complaint.	0	2	2	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	2	2	100%
Determine if the following minimum amount of information was obtained: <ul style="list-style-type: none"> <li>• Complainant's name</li> <li>• Complainant's contact information</li> <li>• Location of the complaint occurrence</li> <li>• Report number and deputy name, if known</li> </ul>	0	2	2	100%
Determine if verbal or written acknowledgment 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%
<b>Overall compliance for In-Person testing</b>	<b>1</b>	<b>23</b>	<b>24</b>	<b>96%</b>

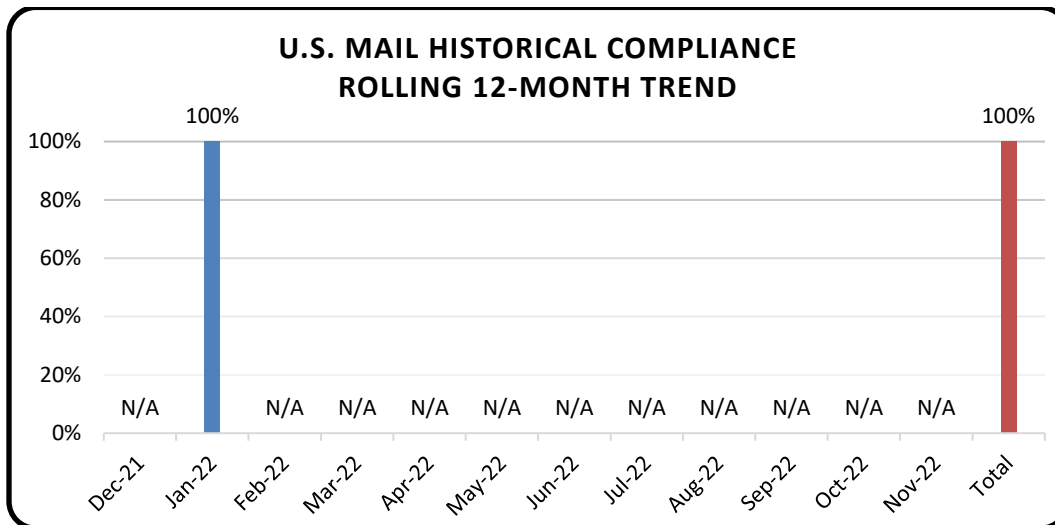
Below is a rolling 12-month historical comparison of compliance for In-Person tests:



**Testing by U.S. Mail**

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

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 2022.

**TEST #:** 105

**DISTRICT/DIVISION:** PSB

**TEST SCENARIO:** The tester posed as a female who was almost hit by a deputy making a left-hand turn on a red light. The tester said the deputy was driving aggressively and brake-checking her after the initial incident.

**ACTIONS TAKEN:** The tester called PSB to file a complaint. The call was answered by a PSB employee who recorded the conversation as required by Policy and entered the complaint in the BlueTeam system the same day. Six days later the tester received a phone call from PSB providing her with an IA number and the contact information for the assigned investigator.

**RESULTS:** No deficiencies were noted.

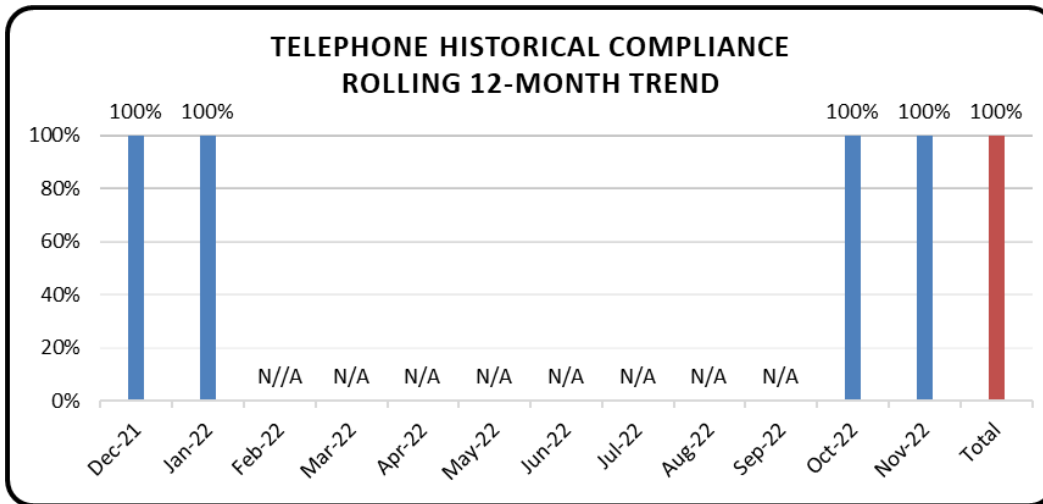
**TESTER COMMENTS:** N/A.

**BIO FOLLOW-UP:** Clarified with PMR that the tester called PSB directly and there was no District 2 involvement as had been initially noted by the tester.

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.	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 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"> <li>• Complainant's name</li> <li>• Complainant's contact information</li> <li>• Location of the complaint occurrence</li> <li>• Report number and deputy name, if known</li> </ul>	0	1	1	100%
Determine if verbal or written acknowledgment 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%
<b>Overall compliance for testing by Telephone</b>	<b>0</b>	<b>11</b>	<b>11</b>	<b>100%</b>

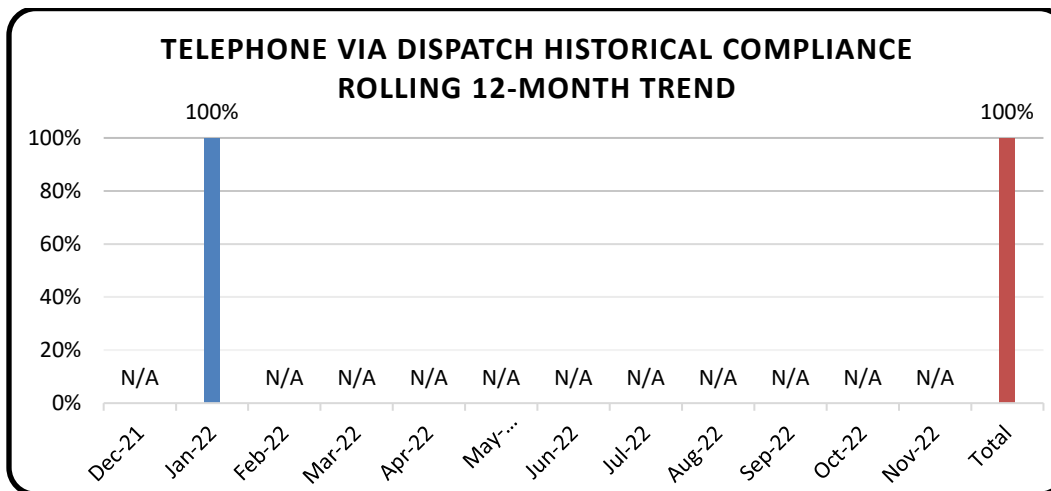
Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone:



**Testing by Telephone via Communications Division**

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

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

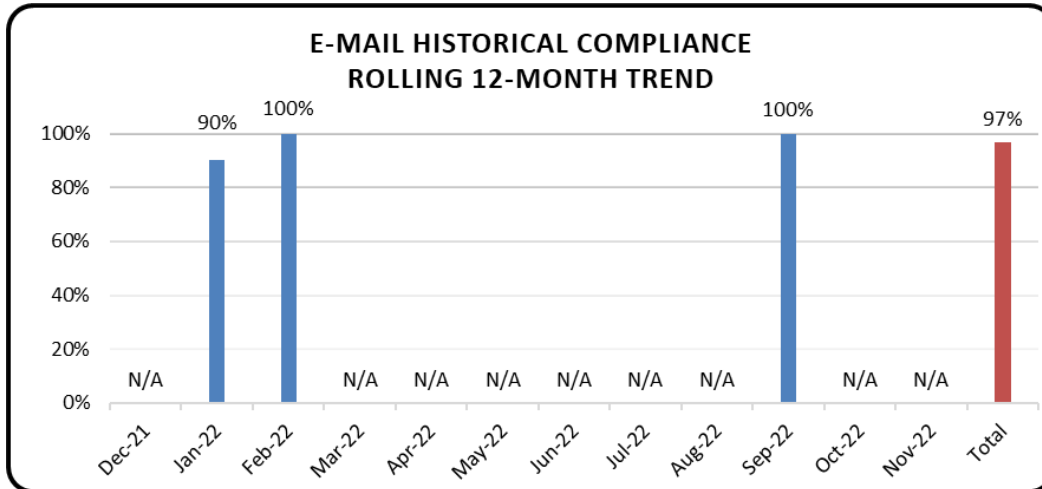




**Testing by E-Mail**

There were no Complaint Intake Tests conducted by E-mail during the month of November 2022.

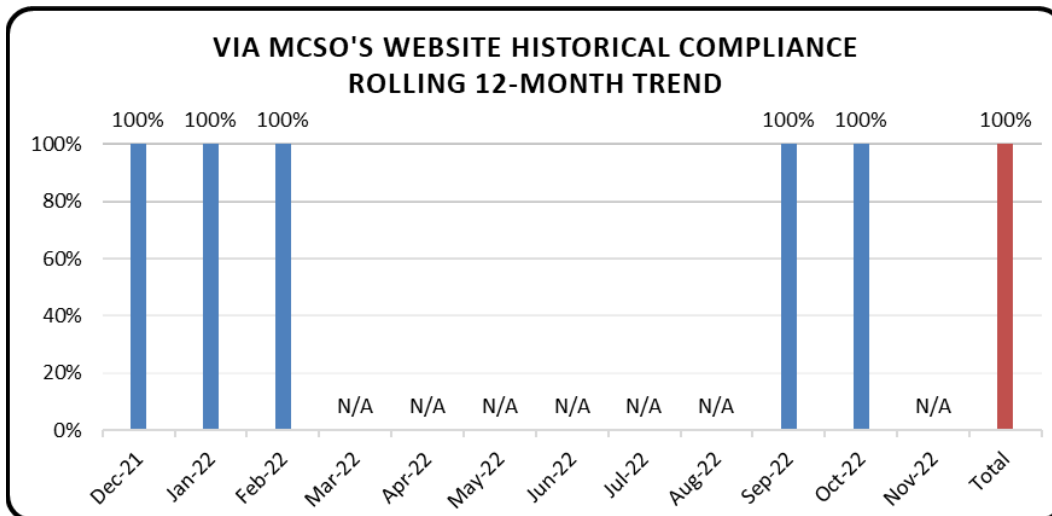
Below is a rolling 12-month historical comparison of compliance for tests conducted by E-mail:



**Testing Online via MCSO's Website**

There were no Complaint Intake Tests conducted online during the month of November 2022 using the Office's website.

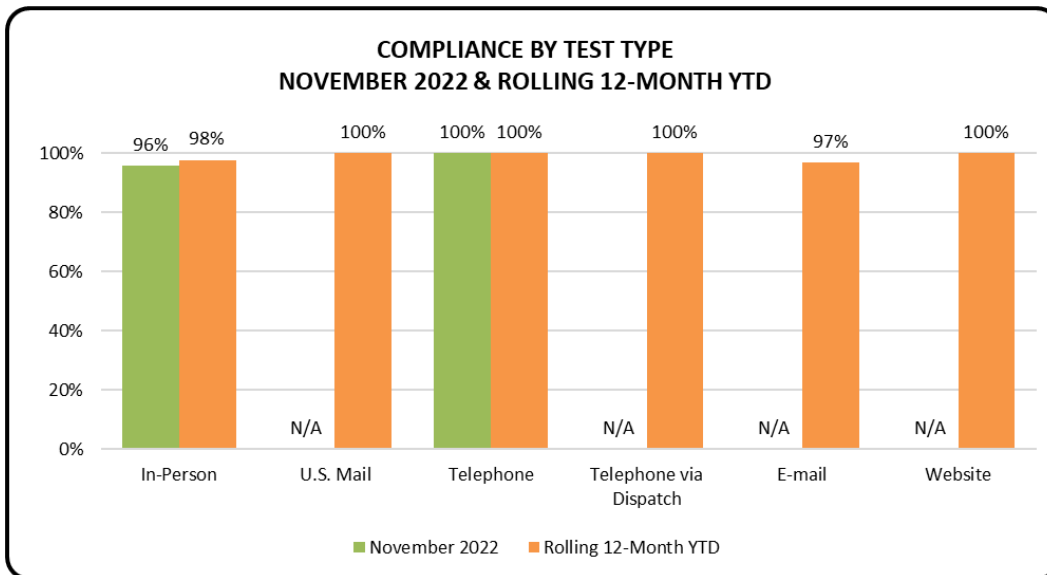
Below is a rolling 12-month historical comparison of compliance for filing a complaint Online:



**Overall Compliance for November 2022:**

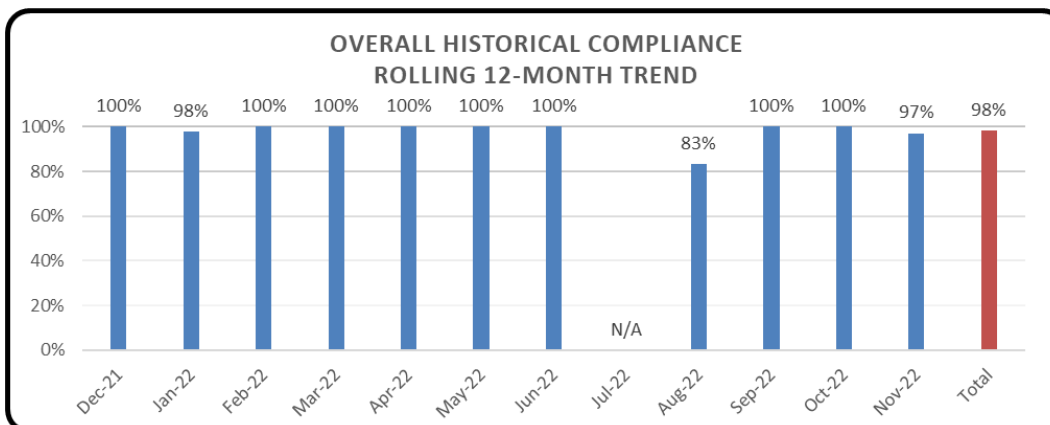
<b>Compliance Rate by Method of Testing November 2022</b>	<b>Compliance Rate</b>
Tests conducted In Person	96%
Tests conducted by U.S. Mail	N/A
Tests conducted by Telephone	100%
Tests conducted via Dispatch	N/A
Tests conducted via E-mail	N/A
Tests conducted by filing a complaint Online	N/A
<b>Overall Compliance for all Complaint Intake Tests Inspected – Nov 2022</b>	<b>97%</b>

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



The following deficiencies were noted during the inspection period:

### Dist. 4 (1 BIO Action Form)

District/ Division	Employee	Date of Event	IA Number	Current Supervisor	Current Commander
Dist. 4	Sergeant	11/22/2022	Redacted	Lieutenant	Captain
Deficiency					
The complaint was not referred to an on-duty supervisor. (Policy GH-2, 2.B.1.a.1)					

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 **97%** for Inspection #BI2022-0167; **1 BIO Action Form** is requested.

Date Inspection Started: November 23, 2022  
 Date Completed: December 12, 2022  
 Timeframe Inspected: November 1<sup>st</sup> to November 30<sup>th</sup>, 2022  
 Assigned Inspector: Ronda Jamieson B3178

I have reviewed this inspection report.

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

1/10/2023  
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 Date