

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight
Audits and Inspections Unit



Complaint Intake Testing Inspection April 2024

Inspection # BI2024-0055

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 April 2024; one was an in-person test/Telephone via the Communications Division and one was a U.S. Mail 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 April 2024.

1. TEST #: IP24-03

DISTRICT/DIVISION: District 3

TEST SCENARIO: The tester posed as a white female who witnessed a truck hit a parked car in the parking lot of a Starbucks. She was able to get the truck's license plate number and tried to report the accident to a deputy who was inside the Starbucks. She said the deputy was uninterested in taking the report and stated he was on break and the person whose vehicle was hit could just file the incident with their insurance company since it occurred on private property.

ACTIONS TAKEN: The tester went to the District 3 office which was closed, so she called the number posted on the door. See the below section titled "Testing by Telephone via the Communications Division" for the Telephone portion of the test.

The on-duty sergeant was contacted by the Communications dispatcher via the CAD system and came outside the district's office 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 on the In-Person portion of the test

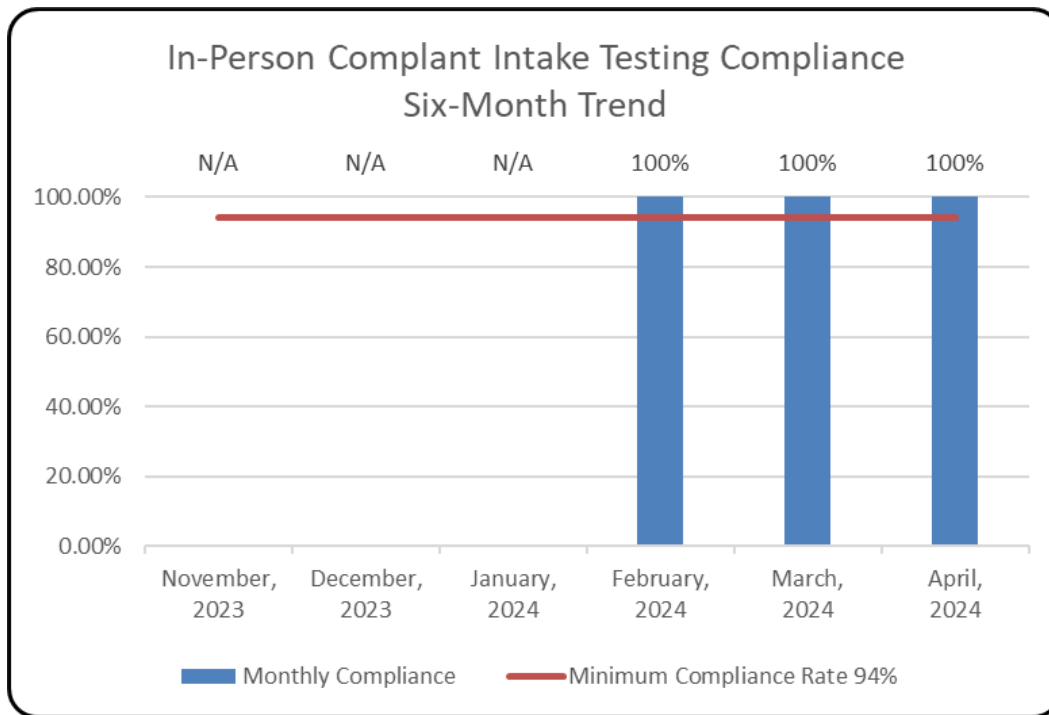
TESTER COMMENTS: N/A

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 was one Complaint Intake Test conducted by U.S. Mail during the month of April 2024.

TEST #: RM24-01

DISTRICT/DIVISION: PSB

TEST SCENARIO: The tester sent a letter by U.S. mail addressed to PSB at 550 W. Jackson Street, Phoenix, AZ 85003 complaining about teenagers speeding in Anthem. The tester said the deputy was very rude when the tester waved him down, the deputy said that he did not have time to deal with the type of BS.

ACTIONS TAKEN: PSB received the letter five days after the tester mailed it. Later that day, 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.

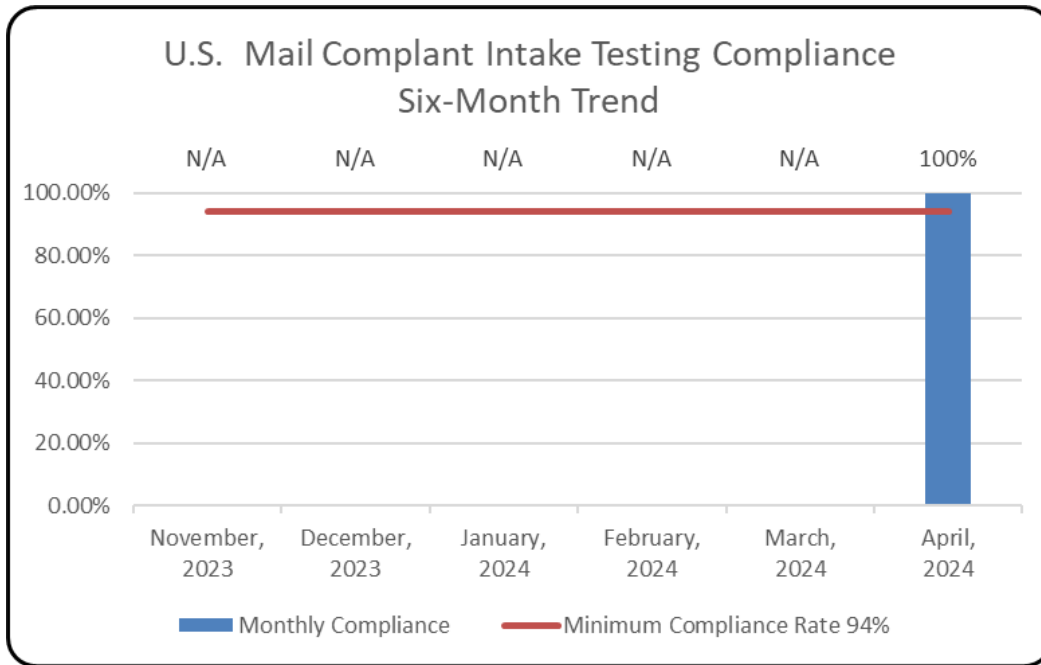
TESTER COMMENTS: N/A.

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 the complaint was entered into BlueTeam or IAPro.	0	1	1	100%
Determine if the employee attempted to discourage, interfere, or delay the complaint.	N/A	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.	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 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 testing conducted by U.S. Mail	0	9	9	100%

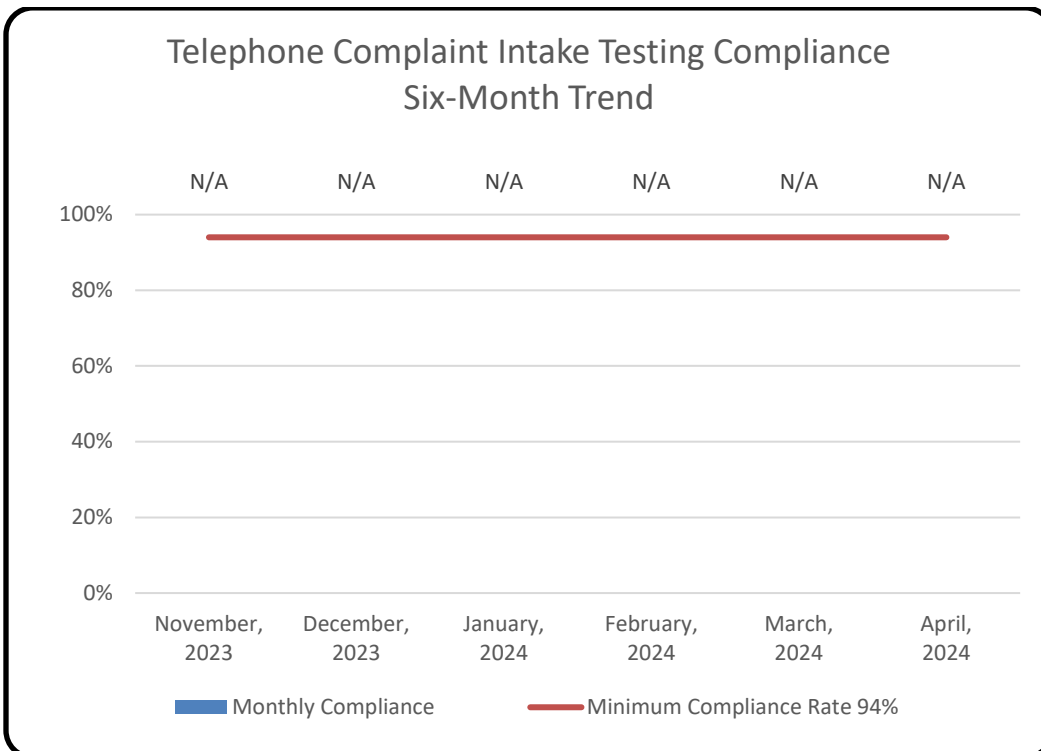
Below is a rolling 6-month historical comparison of compliance for tests conducted by U.S. Mail:



Testing by Telephone

There were no Complaint Intake Tests conducted by Telephone during the month of April 2024.

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 April 2024. See the above section titled "In-Person Testing" for the in-person portion of the test.

2. TEST #: IP24-03

DISTRICT/DIVISION: District 3

TEST SCENARIO: The tester posed as a white female who witnessed a truck hit a parked car in the parking lot of a Starbucks. She was able to get the truck's license plate number and tried to report the accident to a deputy who was inside the Starbucks. She said the deputy was uninterested in taking the report and stated he was on break and the person whose vehicle was hit could just file the incident with their insurance company since it occurred on private property.

ACTIONS TAKEN: The tester went to the District 3 office which was closed, so she called the number posted on the door. The call was first answered by an automated message and then MCSO dispatch answered. The dispatcher took the complaint information but did not obtain the complainant's name or contact information. The dispatcher contacted the on-duty supervisor via CAD and told him that there was a person outside wanting to file a complaint. The dispatcher did not email the on-duty supervisor and EIU with the details of the complaint as required by Policy GI-1.

RESULTS: Communications Division personnel did take the complainant's name or contact information, they did not e-mail the complaint information to the on-duty supervisor of the district or division in which the complaint was directed. Also, Communication Division personnel did not copy the e-mail 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.

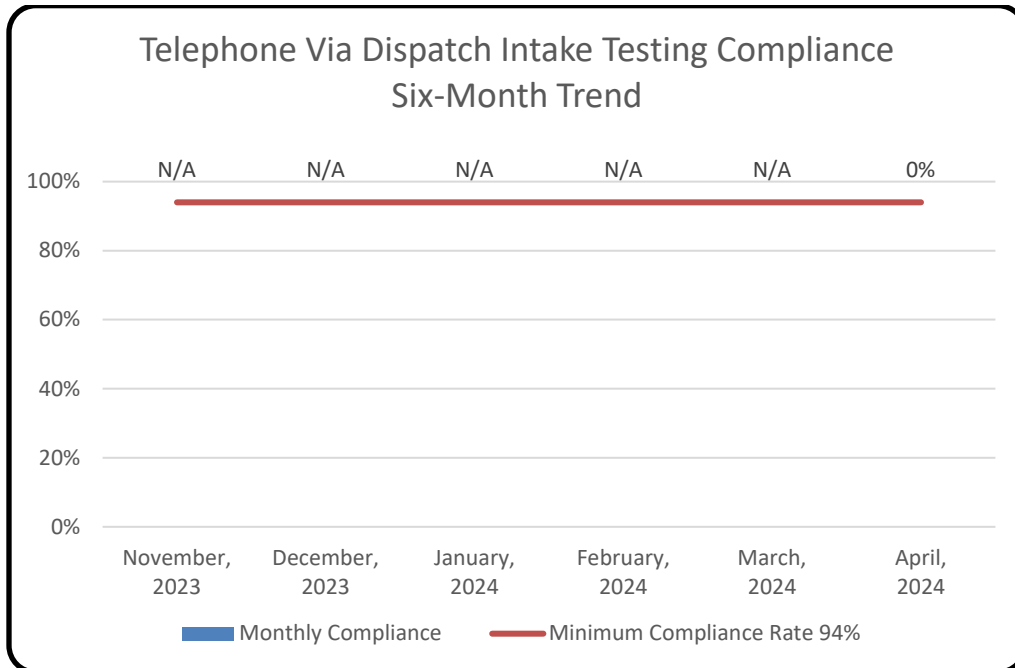
TESTER COMMENTS: N/A

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

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%

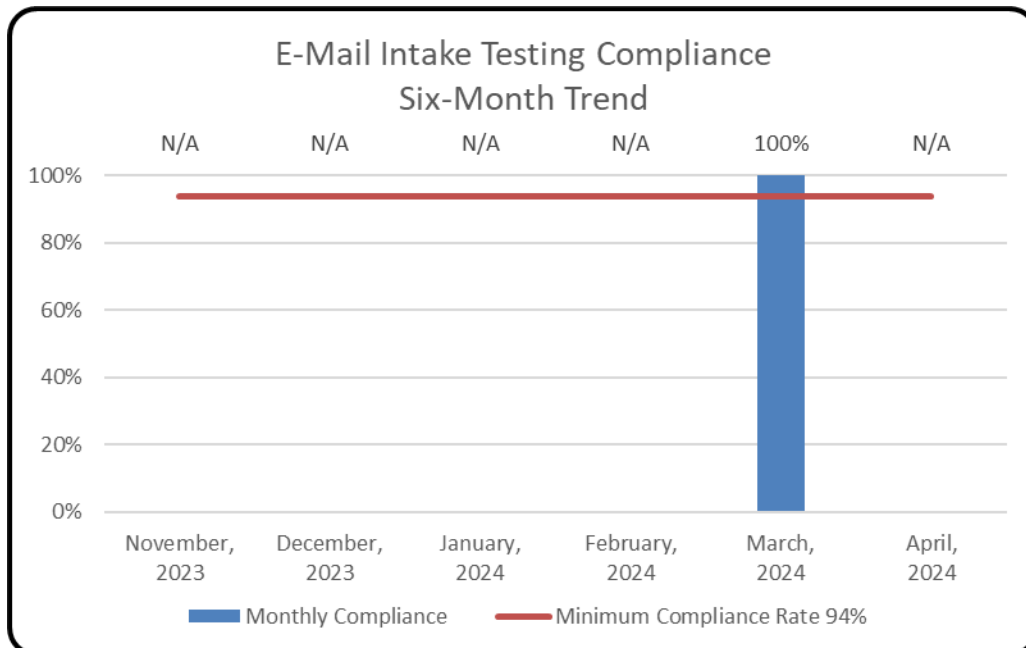
Below is a rolling 6-month historical comparison of compliance for tests conducted by Telephone via the Communications Division:



Testing by E-Mail

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

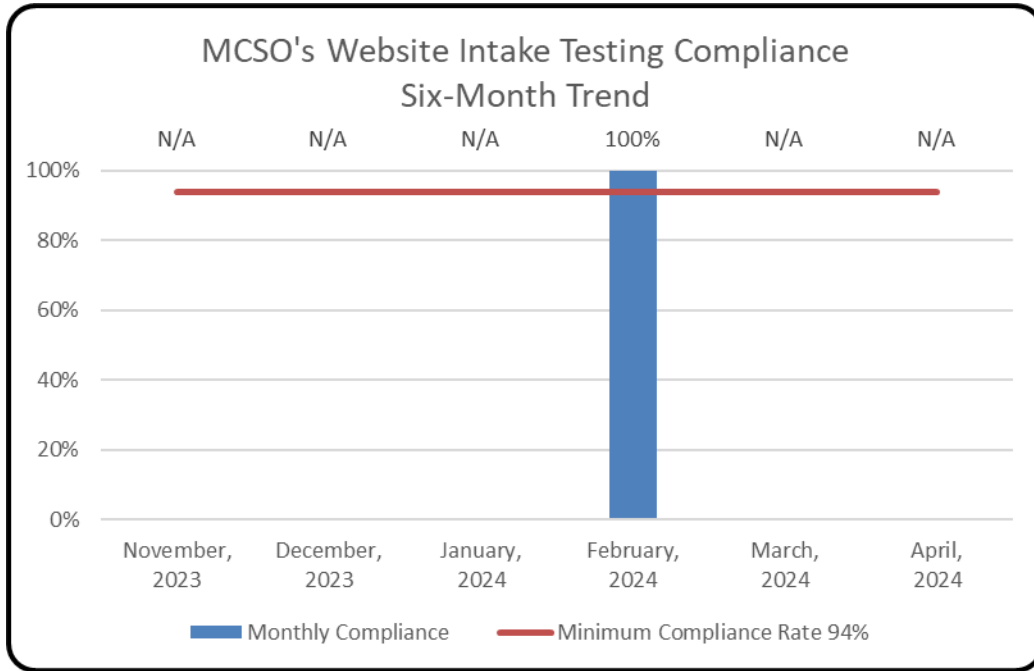
Below is a rolling 6-month historical comparison of compliance for tests conducted by E-mail:



Testing Online via MCSO’s Website

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

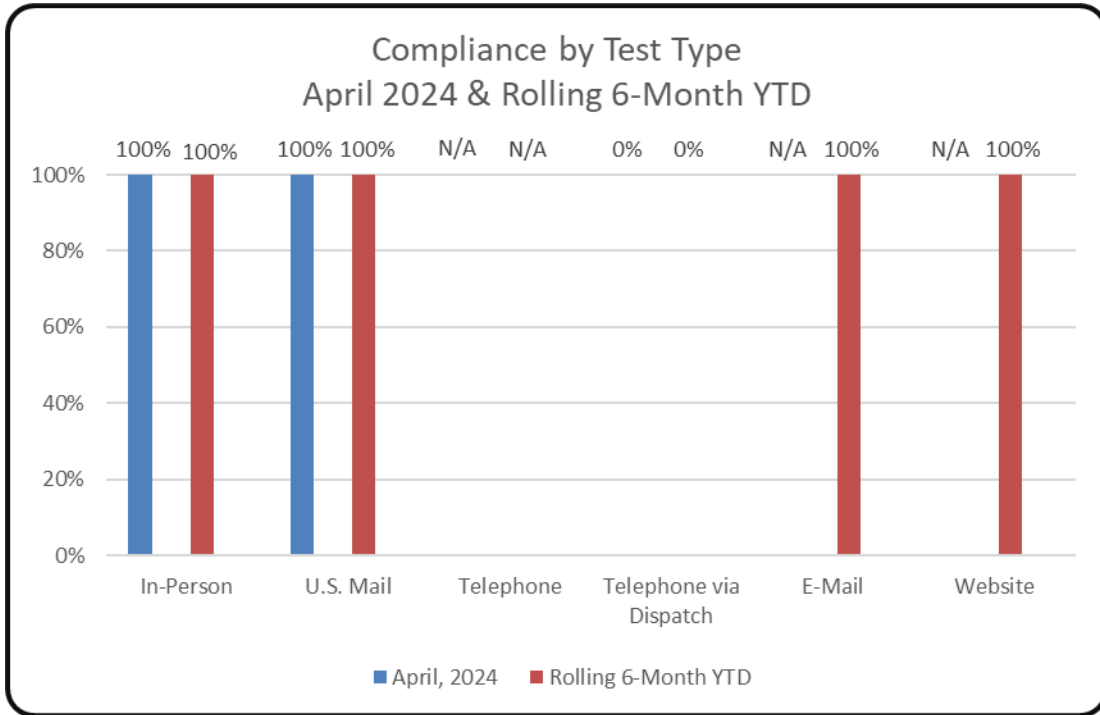
Below is a rolling 6-month historical comparison of compliance for filing a complaint Online:



Overall Compliance for April 2024:

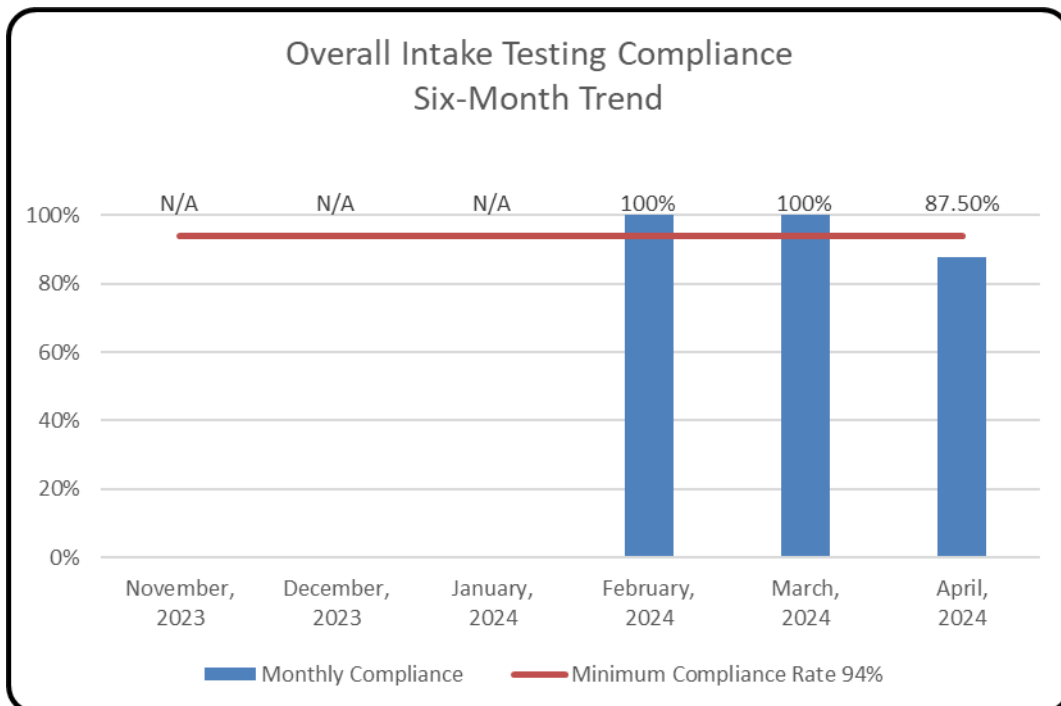
Compliance Rate by Method of Testing April 2024	Compliance Rate
Tests conducted In Person	100%
Tests conducted by U.S. Mail	100%
Tests conducted by Telephone	N/A
Tests conducted via Dispatch	0%
Tests conducted via E-mail	N/A
Tests conducted by filing a complaint Online/Website	N/A
Overall Compliance for all Complaint Intake Tests Inspected – April 2024	87.50%

Below is a chart illustrating the compliance rate by type of test conducted for the month of April 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	4/24/24	Employee	Supervisor	Commander
Deficiency				
1. The complaint name and contact information were not documented. (GI-1.12.D) 2. The complaint information was not emailed to the district on-duty supervisor. (GI-1.12.D.1.a) 3. The complaint information was not cc-emailed to the Early Intervention Unit (EIU) at mcso.eis@mcso.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 **87.50%** for *Inspection BI2024-0055*; **1** BIO Action Form is requested from the affected divisions.

The form shall be completed utilizing Blue Team.

Date Inspection Started: May 01, 2024
 Date Completed: May 09, 2024
 Timeframe Inspected: April 1 - 30, 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

6/12/2024

Date