

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



Complaint Intake Testing Inspection June 2022

Inspection # BI2022-0090

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 June 2022; all 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 three In-Person Complaint Intake Tests conducted during the month of June 2022.

1. TEST #: 87

DISTRICT/DIVISION: District 3

TEST SCENARIO: Tester posed as a Middle Eastern man who was inside a Starbucks when he observed a deputy allegedly cut to the front of the line and rudely interact with the employee serving him.

ACTIONS TAKEN: The tester went to the office of District 3 to file a complaint and found the lobby door locked. He called the number posted on the door and soon a sergeant came out and, after a few minutes, invited the tester inside

to finish obtaining details of the complaint and contact information of the tester. The interview was audio and video recorded by the sergeant in accordance with Office Policy.

Later that same day, the tester received a phone call from PSB providing him with an IA number and the contact information for the assigned investigator.

RESULTS: No deficiencies were noted.

TESTER COMMENTS: *"Other than the door being locked, the complaint process went very smoothly."*

BIO FOLLOW UP: None required.

2. TEST #: 89

DISTRICT/DIVISION: District 4

TEST SCENARIO: Tester posed as a woman who observed a uniformed deputy asleep in his patrol vehicle for an extended period of time.

ACTIONS TAKEN: The tester went to the office of District 4 to file a complaint and waited a short time in the lobby for an on-duty sergeant. The sergeant came out to the lobby window and audio and video recorded the interview in accordance with Office Policy. At the conclusion of the interview, the sergeant gave the tester his name and contact information, explained the process and informed the tester that the matter would be investigated.

Later that same day, 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: None required.

3. TEST #: 90

DISTRICT/DIVISION: District 7

TEST SCENARIO: Tester posed as a Middle Eastern man who observed a deputy in an MCSO vehicle allegedly parked in a handicapped space while eating his lunch inside a restaurant.

ACTIONS TAKEN: The tester went to the office of District 7 to file a complaint and waited a short time in the lobby for an on-duty sergeant. In the meantime, the receptionist directed the tester to a small conference room to begin completing the *Comment and Complaint Form*. The sergeant met the tester in the conference room and audio and video recorded the interview 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.

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

RESULTS: No deficiencies were noted.

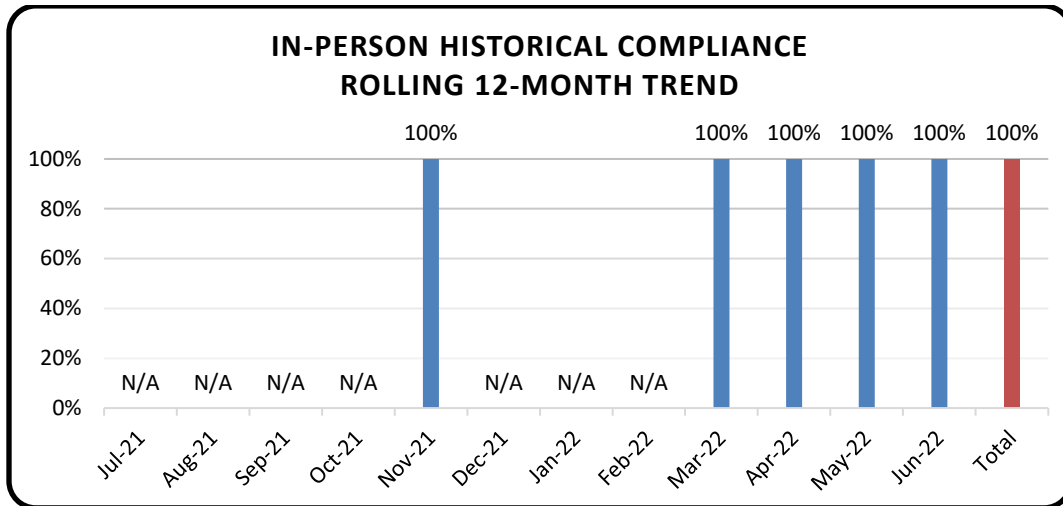
TESTER COMMENTS: N/A.

BIO FOLLOW UP: None required.

It was determined that MCSO employee compliance with applicable Office Policy GH-2, *Internal Investigations* was 100%, as illustrated by the table below:

| Inspection Element | Not In Compliance | In Compliance | Total | Compliance Rate |
|---|-------------------|---------------|-----------|-----------------|
| Determine if the complaint was accepted. | 0 | 3 | 3 | 100% |
| Determine if the complaint was taken in a courteous manner. | 0 | 3 | 3 | 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 | 3 | 3 | 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 | 3 | 3 | 100% |
| Verify that complaint was entered into BlueTeam or IAPro. | 0 | 3 | 3 | 100% |
| Determine if the employee attempted to discourage, interfere or delay complaint. | 0 | 3 | 3 | 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 | 3 | 3 | 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 | 3 | 3 | 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 | 3 | 3 | 100% |
| Determine if the complaint was immediately forwarded to PSB. | 0 | 3 | 3 | 100% |
| Determine if the complaint notification was sent within 7 days including IA# and investigator name and contact number. | 0 | 3 | 3 | 100% |
| Determine if the employee reported accurate information in the complaint. | 0 | 3 | 3 | 100% |
| Overall compliance for In-Person testing | 0 | 36 | 36 | 100% |

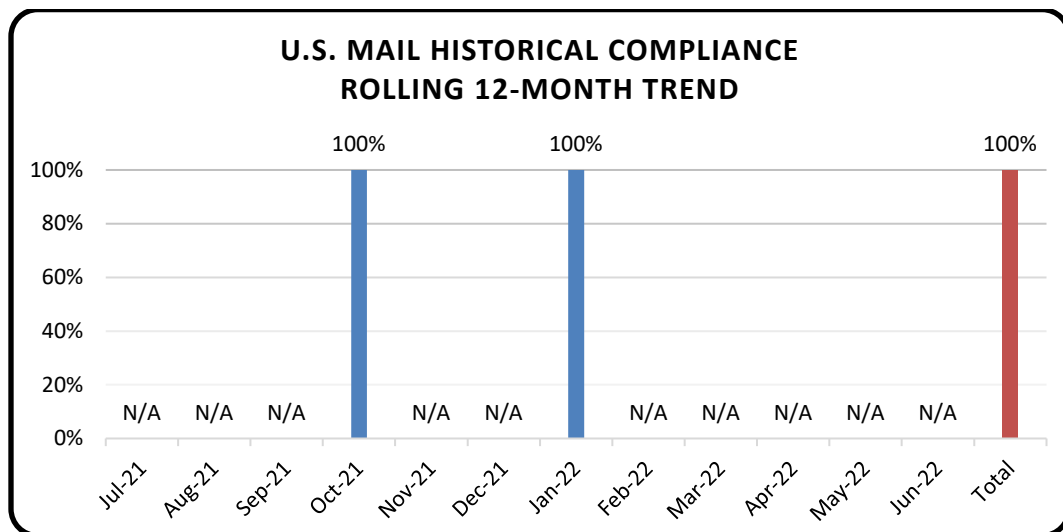
Below is a rolling 12-month historical comparison of compliance for In-Person tests:



Testing by U.S. Mail

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

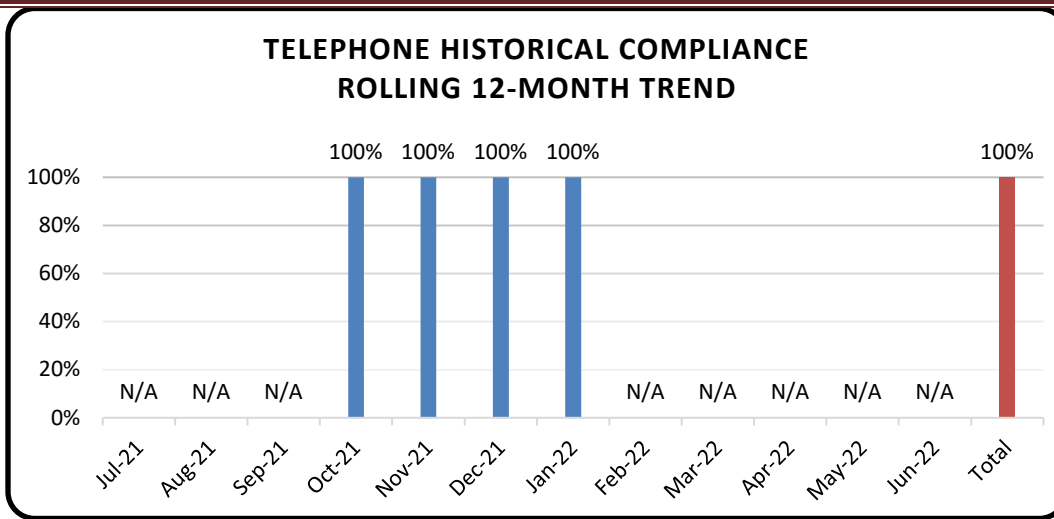
Below is a rolling 12-month historical comparison of compliance for tests conducted by U.S. Mail:



Testing by Telephone

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

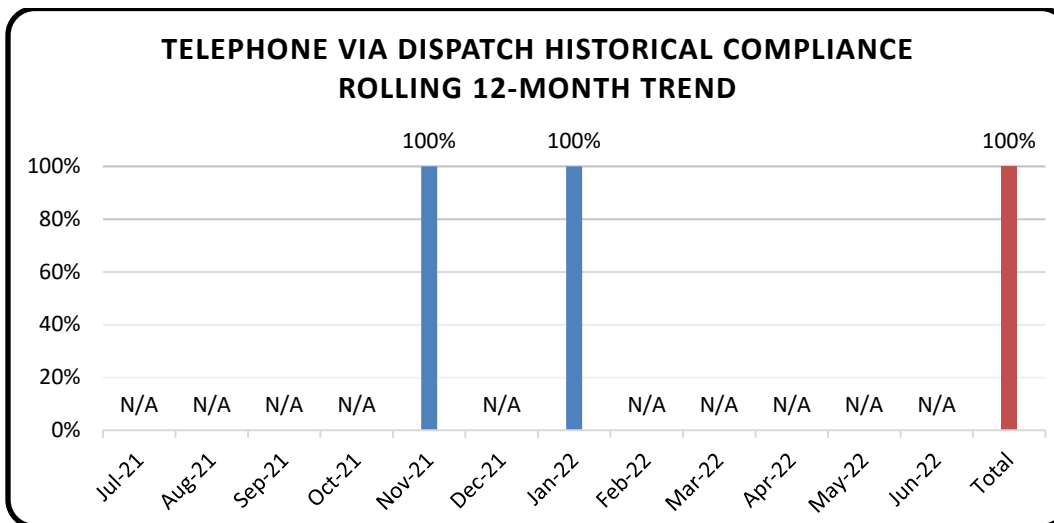
Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone:



Testing by Telephone via Communications Division

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

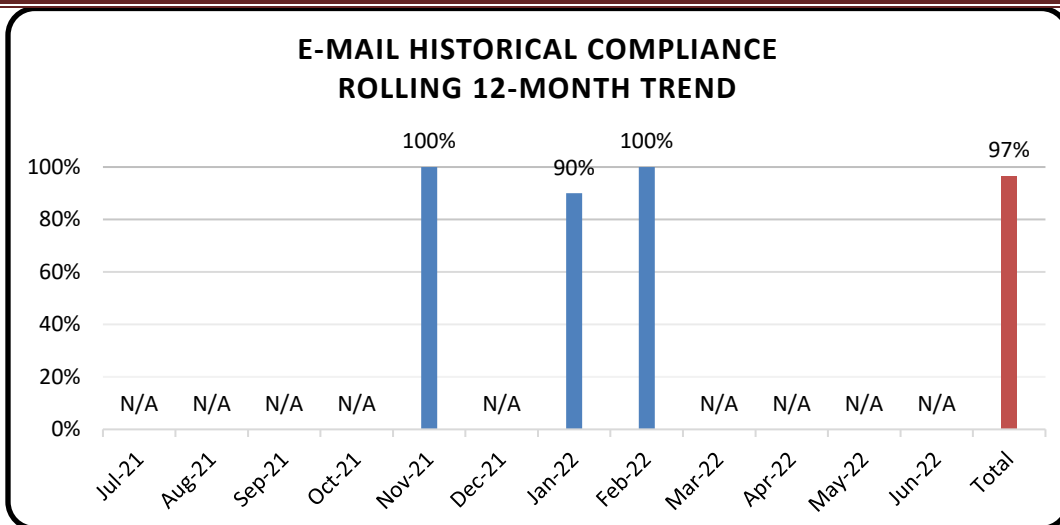
Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone via the Communications Division:



Testing by E-Mail

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

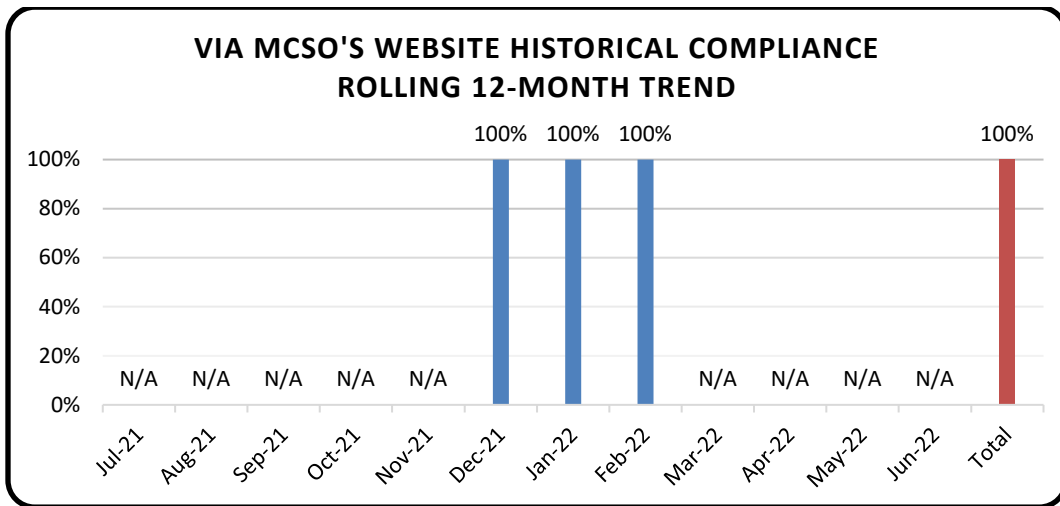
Below is a rolling 12-month historical comparison of compliance for tests conducted by E-mail:



Testing Online via MCSO’s Website

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

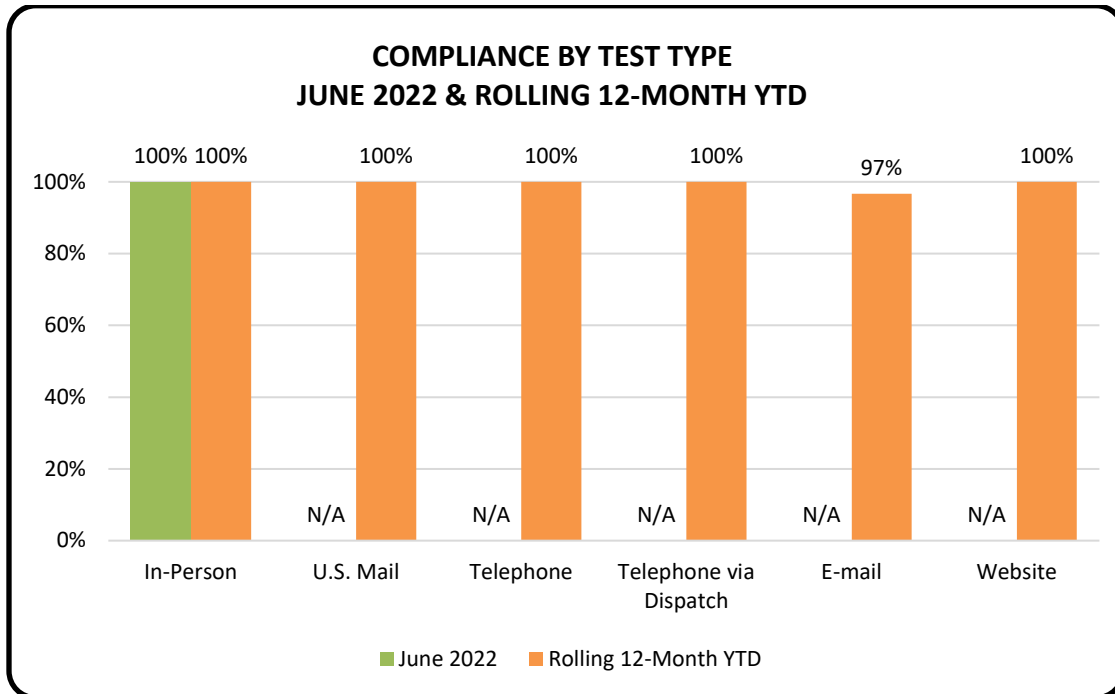
Below is a rolling 12-month historical comparison of compliance for filing a complaint Online:



Overall Compliance for June 2022:

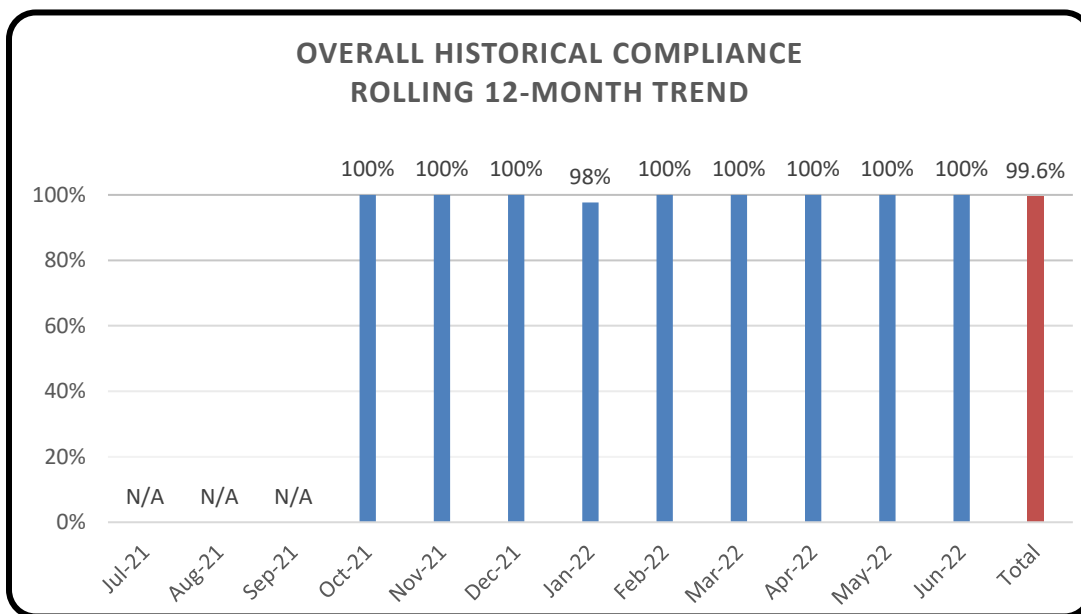
| Compliance Rate by Method of Testing June 2022 | Compliance Rate |
|--|-----------------|
| Tests conducted In Person | 100% |
| Tests conducted by U.S. Mail | N/A |
| Tests conducted by Telephone | N/A |
| Tests conducted via Dispatch | N/A |
| Tests conducted via E-mail | N/A |
| Tests conducted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

Below is a chart illustrating compliance rate by type of test conducted for the month of June 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 #BI2022-0090; **no BIO Action Forms** are requested.

Date Inspection Started: June 16, 2022
Date Completed: July 1, 2022
Timeframe Inspected: June 1st to June 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

7/7/2022

Date