

# MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



**Complaint Intake Testing Inspection November 2019**

Inspection # BI2019-0168

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 testing was not performed during that month.

AIU reviewed two tests conducted In Person during the month of November 2019. These tests are discussed in further detail under the applicable report sub-section below.

**In-Person Testing**

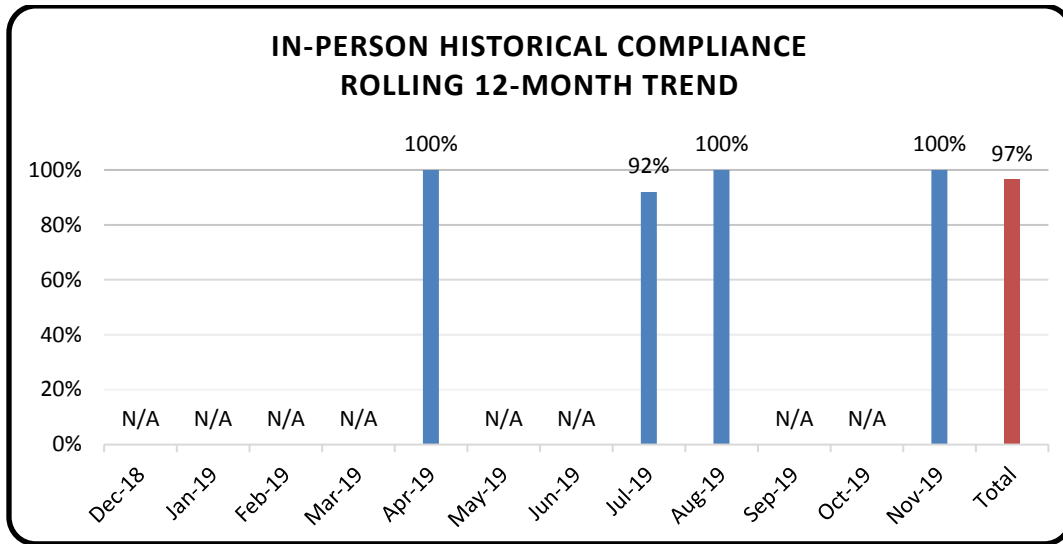
There were two In-Person Complaint Intake Tests conducted during the month of November 2019 (Tests 008 and 009). The first test (Test 008) involved a civilian filing an external complaint in person at District 1 on 11/19/19. The complaint was that a deputy pulled around the tester complainant's vehicle on the right as he was making a right turn causing him to brake hard and spill his beverage all over the vehicle. In addition, the complaint stated that the deputy yelled at the complainant while both were stopped at a traffic light. The complaint was entered into BlueTeam the same day. The following day, PSB sent the complaint tester a written acknowledgement through both e-mail and U.S. Mail that included an IA number and the contact information for the assigned investigator. No deficiencies were noted. It should be noted that the tester was able to record only the audio portion of the complaint intake test, and not both audio and video as required.

The second test (Test 009) involved a civilian filing an external complaint in person at District 6 on 11/20/19 complaining that a deputy drove very fast through a busy parking lot on a Friday almost colliding with the complainant as he was backing out of his parking space. Then the deputy rudely yelled at him. The address given by the tester where the incident allegedly took place was actually in District 1 and not in District 6; however, the sergeant taking the complaint assured the complaint tester that he would forward the information to the appropriate place. The complaint was entered into BlueTeam the next day. Five days after the test, PSB sent the complaint tester a written acknowledgement through both e-mail and U.S. Mail that included an IA number and the contact information for the assigned investigator. No deficiencies were noted. It should be noted that the tester was able to record only the audio portion of the complaint intake test, and not both audio and video as required.

For the two In-Person tests, 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	2	2	100%
Determine if the complaint was referred to the on-duty supervisor.	0	2	2	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 Blue Team or sent via interoffice mail to PSB.	0	2	2	100%
Verify that the complaint was entered into Blue Team or IAPro.	0	2	2	100%
Determine if the employee attempted to discourage, interfere or delay the complaint.	0	2	2	100%
If alleged conduct is of a criminal nature, determine if the chain of command was notified and if they 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 minimum amount of information was obtained (date, time, summary, location, name, contact info, witness info, supporting documents/evidence, involved employees, etc.).	0	2	2	100%
Determine if verbal or written acknowledgement was provided that the complaint was received, documented, forwarded for investigation and complainant would be contacted by a department representative.	0	2	2	100%
Determine if the complaint was promptly 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>0</b>	<b>22</b>	<b>22</b>	<b>100%</b>

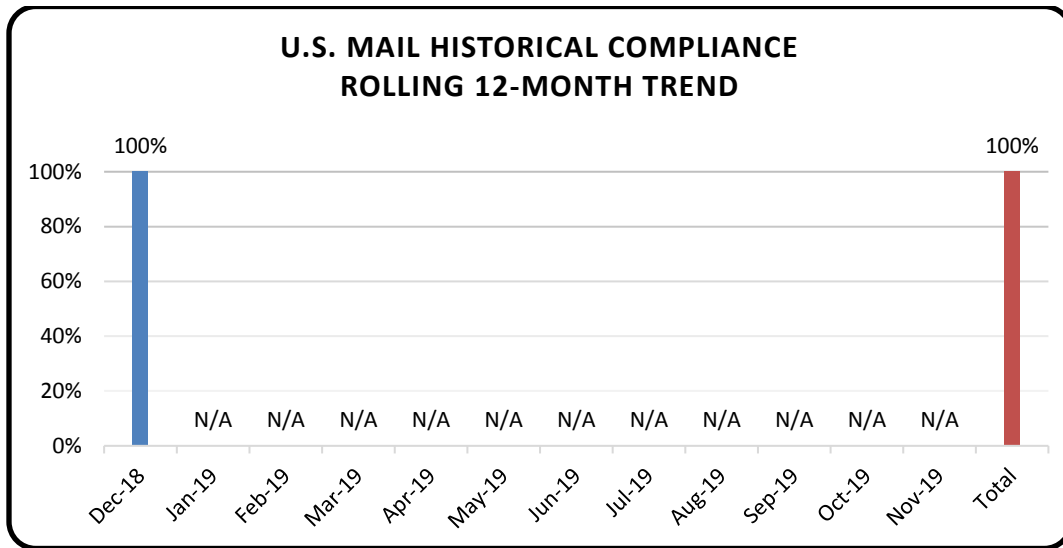
Below is a rolling 12-month historical comparison of compliance for In-Person tests:



**Testing by U.S. Mail**

There were no Complaint Intake Tests conducted by U.S. Mail during the month of November 2019.

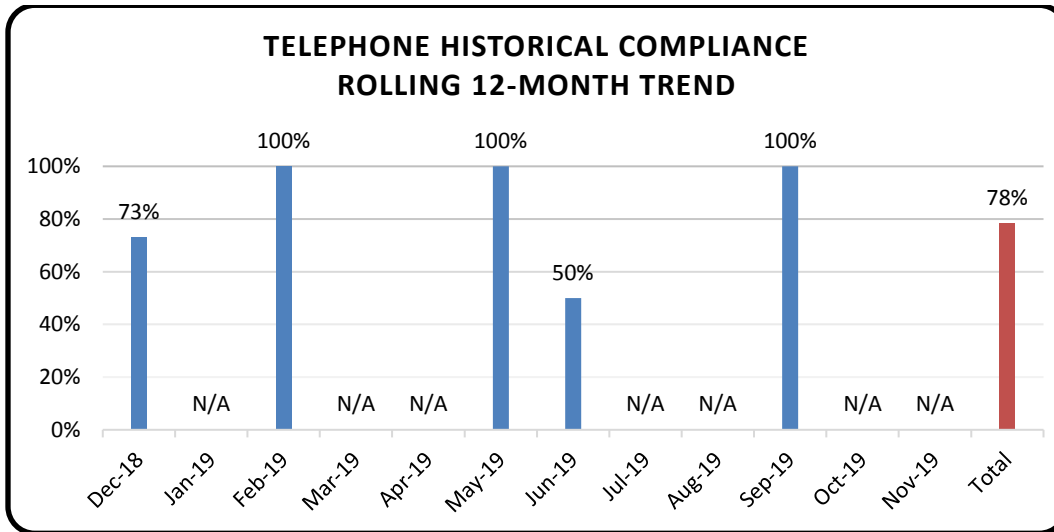
Below is a rolling 12-month historical comparison of compliance for tests conducted by U.S. Mail:



**Testing by Telephone**

There were no Complaint Intake Tests conducted by Telephone during the month of November 2019.

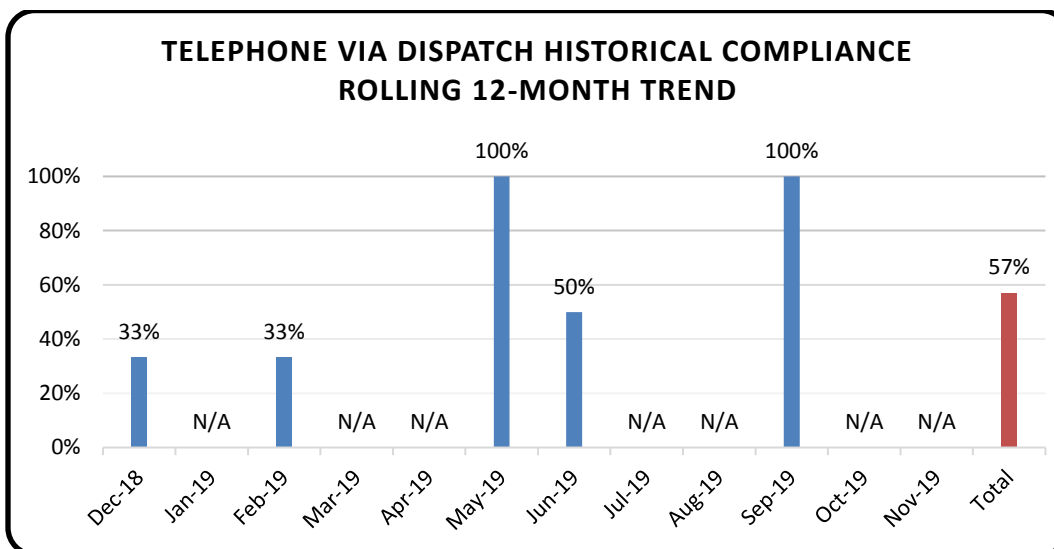
Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone:



**Testing by Telephone via Communications Division**

There were no Complaint Intake Tests conducted by Telephone via the Communications Division for the month of November 2019.

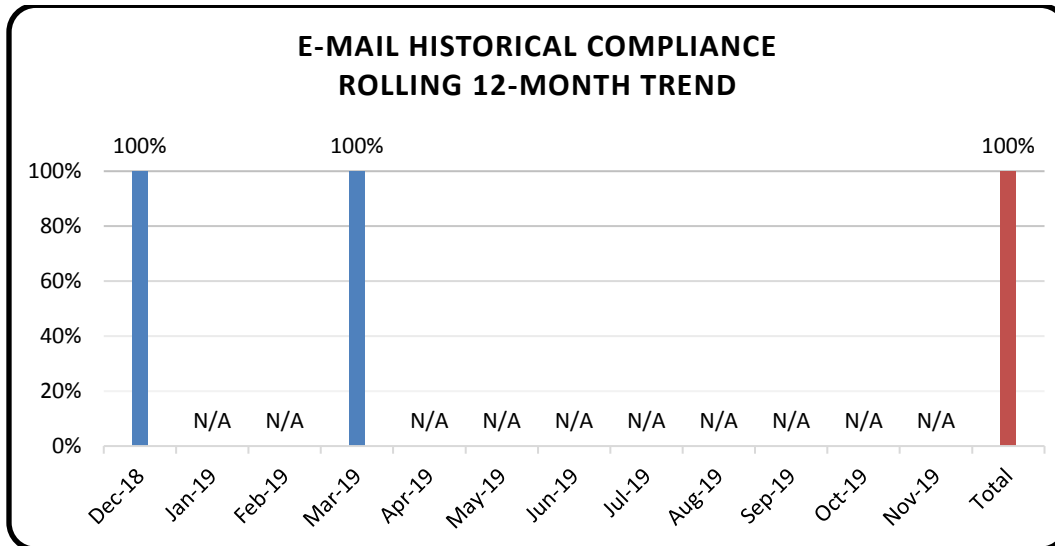
Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone via the Communications Division:



**Testing by E-Mail**

There were no Complaint Intake Tests conducted by E-mail during the month of November 2019.

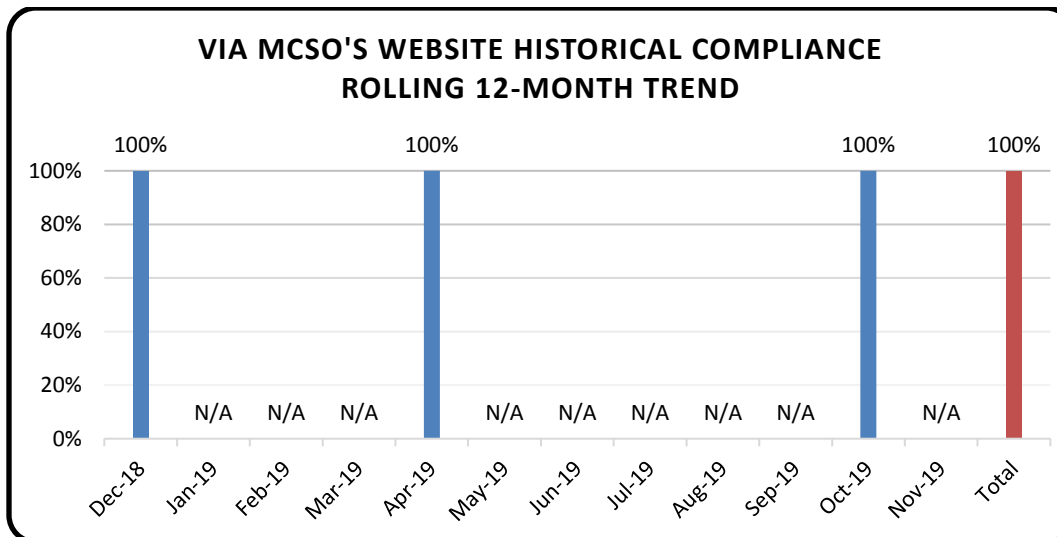
Below is a rolling 12-month historical comparison of compliance for tests conducted by E-mail:



**Testing Online via MCSO's Website**

There were no Complaint Intake Tests conducted during the month of November 2019 using the Office's website.

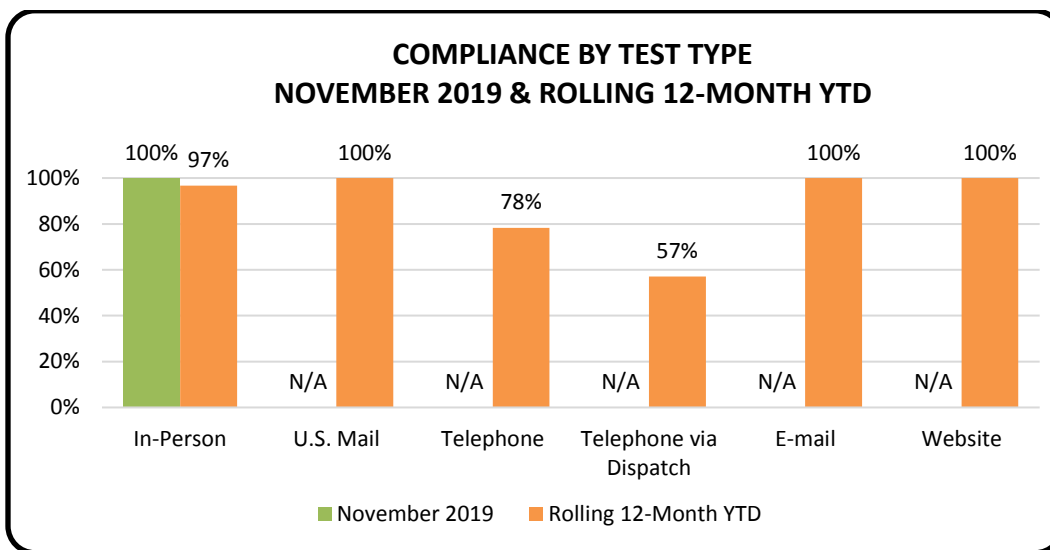
Below is a rolling 12-month historical comparison of compliance for filing a complaint Online:



**Overall Compliance for November 2019:**

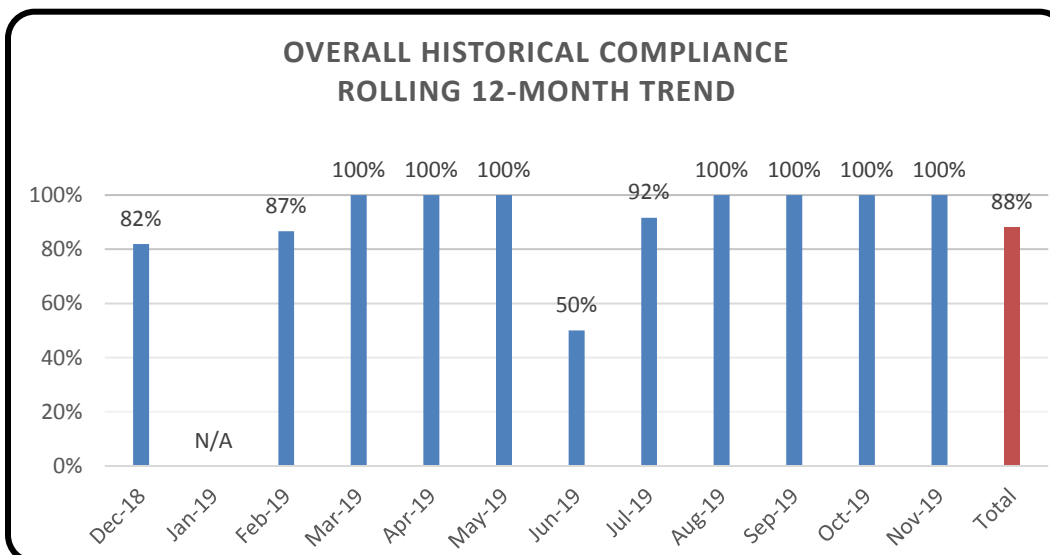
Compliance Rate by Method of Testing November 2019	Compliance Rate
Tests conducted In Person	100%
Tests conducted by U.S. Mail	N/A
Tests conducted by Telephone	N/A
Tests conducted via Dispatch	N/A
Tests conducted via E-mail	N/A
Tests conducted by filing a complaint Online	N/A
<b>Overall Compliance for all Complaint Intake Tests Inspected – November 2019</b>	<b>100%</b>

Below is a chart illustrating compliance rate by type of test conducted for the month of November 2019 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:



**Action Required:**

With the resulting **100%** compliance rate for Inspection #BI2019-0168, **no BIO Action Forms** are requested.

**Recommendations:**

1. It is recommended that commanders continue to provide mentoring and guidance and review MCSO Policy GH-2 to ensure that the requirements for the intake of complaints are being followed, specifically Complaint Intake Procedures requirements listed in GH-2.2.
2. It is recommended that commanders continue to provide mentoring and guidance and review MCSO Policy GI-1, paragraph 12.C.1 to ensure that the requirements for the intake of complaints are being followed, specifically the requirements that:
  1. Once the complaint information is obtained, Communications Division personnel shall immediately verbally contact the on-duty supervisor of the district or division in which the complaint was directed. This will allow the on-duty supervisor to immediately take action. This procedure applies to all complaints where contact is not restricted by business hours.
    - a. Communications Division personnel shall then e-mail the complaint information to that on-duty supervisor of the district or division in which the complaint was directed. It shall be the responsibility of the on-duty supervisor to document the complaint into Blue Team.
    - b. Communications Division personnel shall copy the e-mail sent to the on-duty supervisor with the complaint information, to the Early Identification Unit to ensure the complaints entry is entered into Blue Team.

Date Inspection Started: December 6, 2019  
Date Completed: December 6, 2019  
Timeframe Inspected: November 1<sup>st</sup> to November 30<sup>th</sup>, 2019  
Assigned Inspector: Connie Phillips B3345

I have reviewed this inspection report.

Sgt. R. Levy S1881  
Sgt. Rob Levy S1881  
Acting Commander, Audits and Inspections Unit  
Bureau of Internal Oversight

12/19/2019  
Date