

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



Complaint Intake Testing Inspection December 2019

Inspection # BI2019-0184

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:

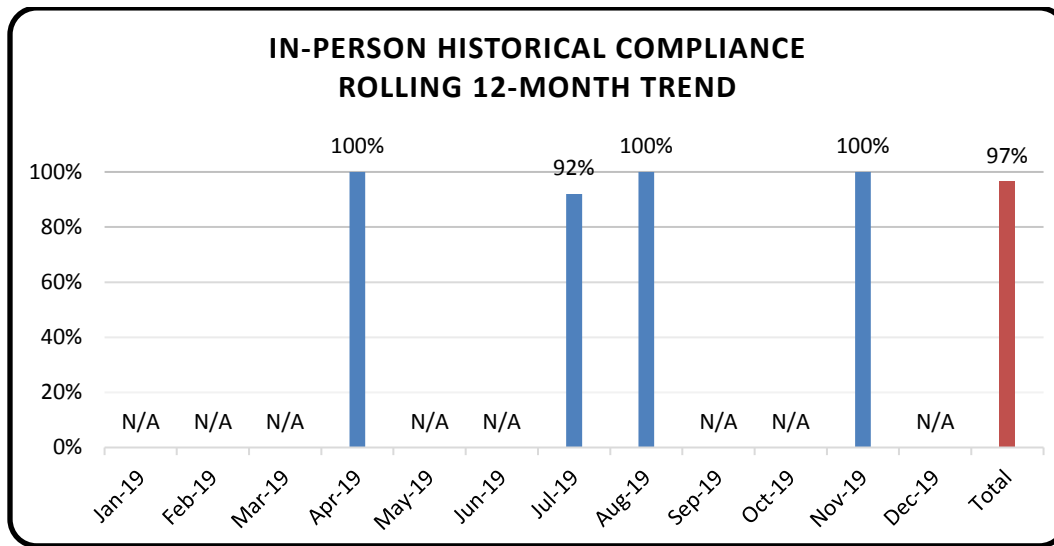
AIU began conducting the inspection of Complaint Intake Testing in January 2019 for tests performed during the month of December 2018. The following charts illustrate rolling 12-month histories of compliance with Office Policy. "N/A" indicates a particular type of testing was not performed during that month.

AIU reviewed two tests conducted during the month of December 2019; one was a test conducted by e-mail and the other was conducted by telephone. These tests are discussed in further detail under the applicable report sub-section below.

In-Person Testing

There were no In-Person Complaint Intake Tests conducted during the month of December 2019.

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 December 2019 or during the past 12 months.

Testing by Telephone

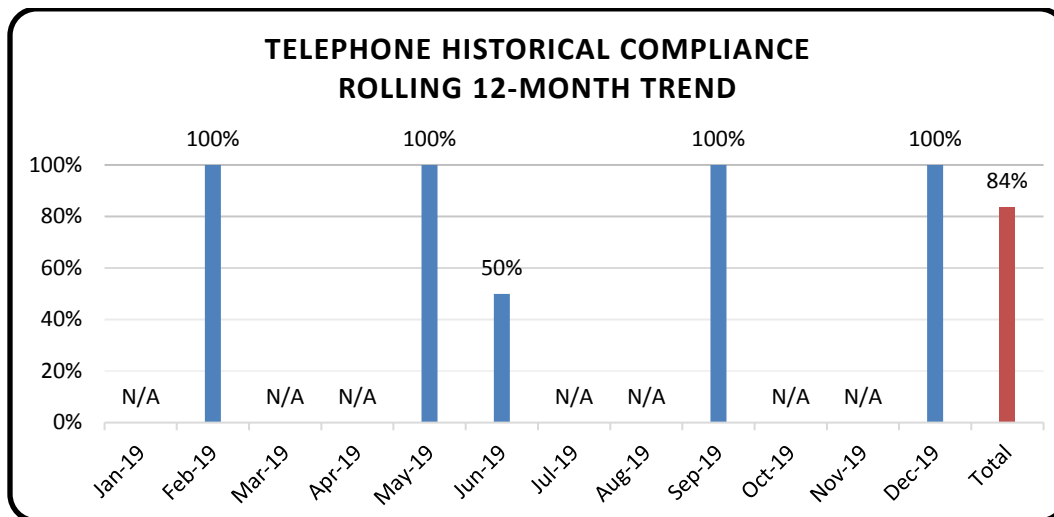
There was one Complaint Intake Test conducted by Telephone during the month of December 2019 (Test 42). The tester was a Hispanic male who called the general switchboard number for MCSO (602-876-1000) at approximately 1500 hours on a Saturday to complain that a deputy had thrown trash on the ground beside his patrol vehicle in view of the complainant who was dining at Oregon’s Pizza at the time. Dispatch personnel obtained information required by Policy GI-1, paragraph 12 and indicated that someone would contact the complainant. Dispatch promptly verbally notified the on-duty supervisor of the appropriate patrol district and then followed up with an e-mail. Within the hour, the district sergeant called the complainant and left a voicemail. The tester complainant returned the sergeant’s phone call and gave him details regarding the complaint. Three days later, PSB called and left a voicemail updating the complainant as to the IA number and the name and contact information of the assigned investigator. AIU sent PSB notification that this was a test prior to the required seven-day deadline that the complainant be provided an update in writing and, therefore, no written update was sent. No deficiencies were noted regarding this test.

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 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 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	1	1	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	1	1	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	1	1	100%
Determine if the complaint was promptly 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 Telephone	0	11	11	100%

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



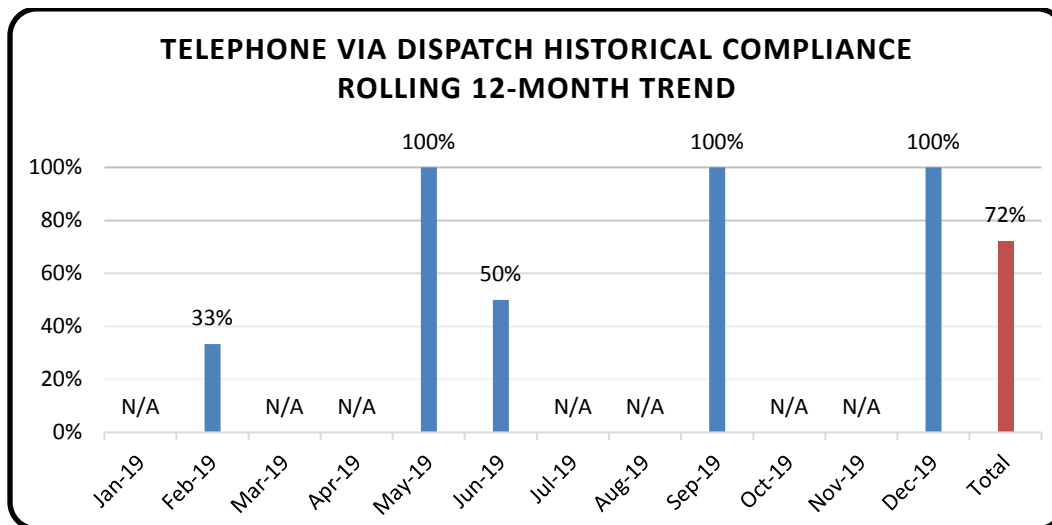
Testing by Telephone via Communications Division

There was one Complaint Intake Test conducted by Telephone via the Communications Division for the month of December 2019 (see above “Testing by Telephone” section).

It was determined that MCSO employee compliance with the applicable Office Policy (GI-1, *Radio and Enforcement Communications Procedures*) was 100%, 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.	0	1	1	100%
Determine if the employee contacted the division/district supervisor and emailed the info to him/her	0	1	1	100%
Determine if the employee e-mailed EIU	0	1	1	100%
Overall compliance for testing by Telephone via Communications Division	0	3	3	100%

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



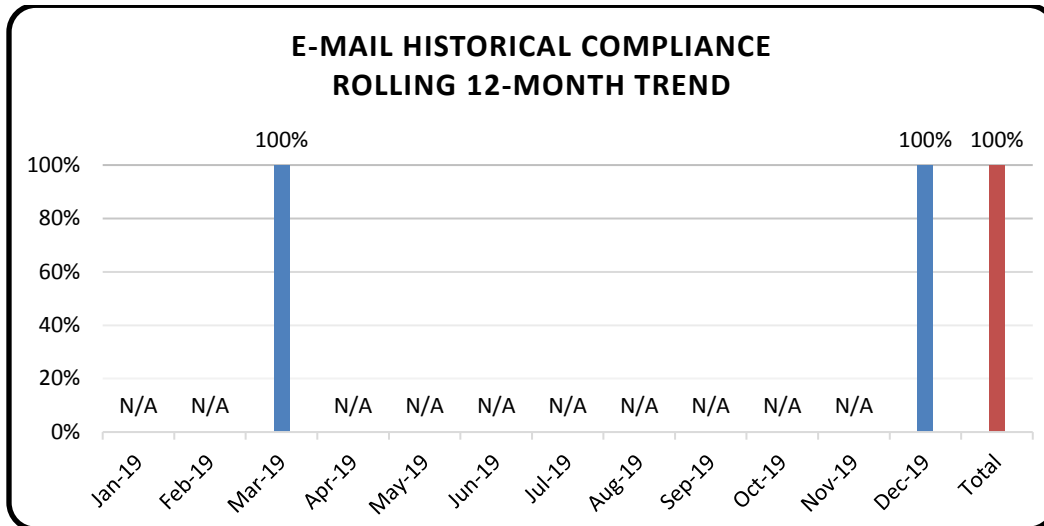
Testing by E-Mail

There was one Complaint Intake Test conducted by E-mail during the month of December 2019 (Test 41). Posing as a Hispanic male, the tester sent an e-mail directly to the commander of a patrol district complaining that he was pulled over for weaving in his lane. The test e-mail indicated that the complainant and the deputy argued during the stop. Although no citation or warning was issued, the complainant felt that the purpose for the traffic stop was to harass him because of his ethnicity. The following day, the complaint was entered into BlueTeam and forwarded to PSB. PSB then sent a letter both electronically and by U.S. mail providing the complainant with an IA number and the contact information for the assigned investigator. No deficiencies were noted.

For the Complaint Intake Test conducted by E-mail, 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 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 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.	N/A	N/A	N/A	N/A
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	1	1	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	1	1	100%
Determine if the complaint was promptly 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 E-mail	0	10	10	100%

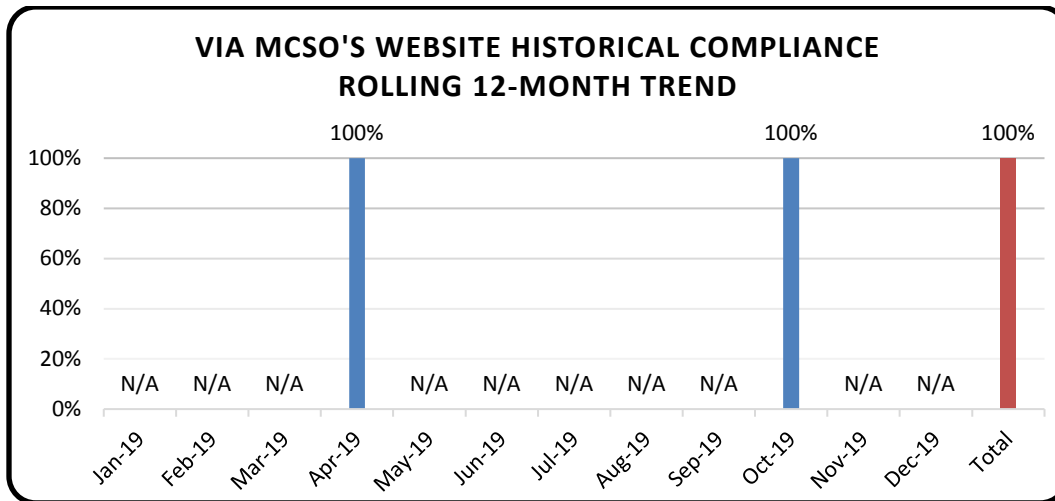
Below is a rolling 12-month historical comparison of compliance for tests conducted by E-mail:



Testing Online via MCSO’s Website

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

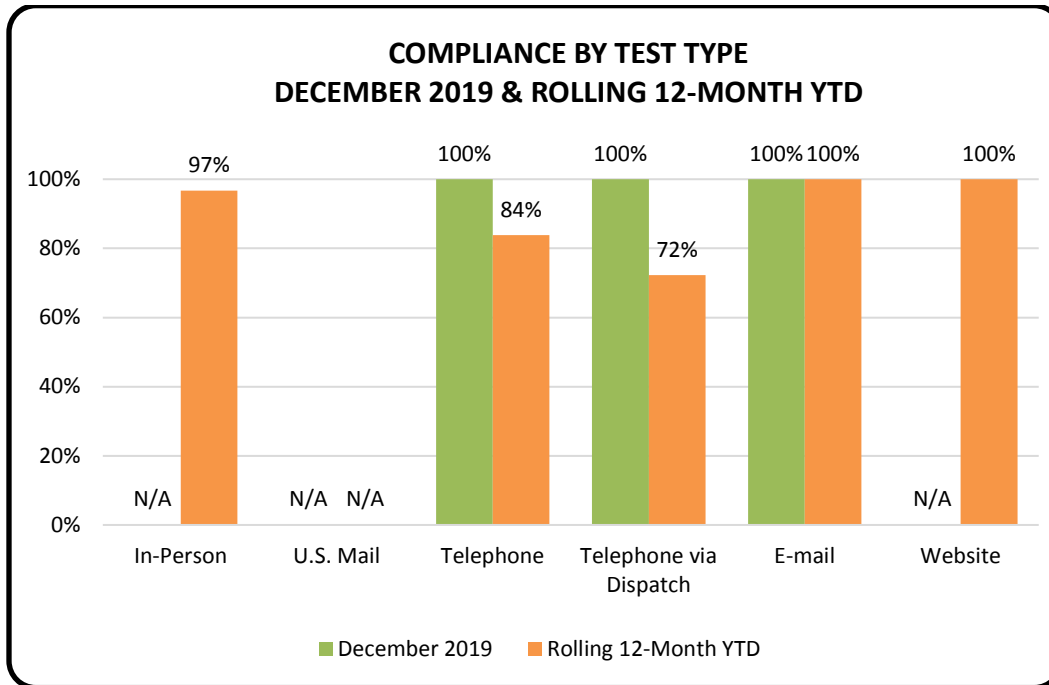
Below is a rolling 12-month historical comparison of compliance for filing a complaint Online:



Overall Compliance for December 2019:

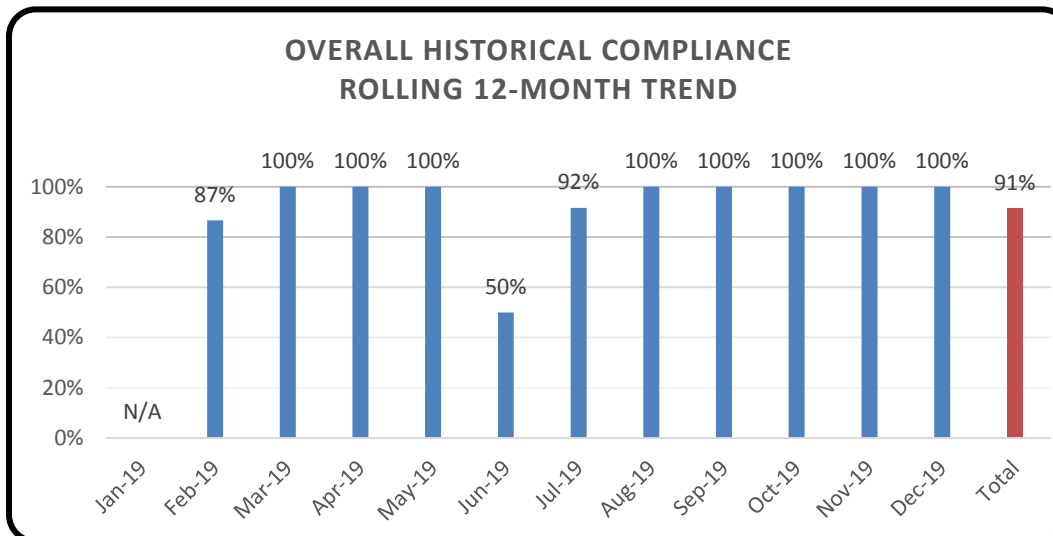
Compliance Rate by Method of Testing December 2019	Compliance Rate
Tests conducted In Person	N/A
Tests conducted by U.S. Mail	N/A
Tests conducted by Telephone	100%
Tests conducted via Dispatch	100%
Tests conducted via E-mail	100%
Tests conducted by filing a complaint Online	N/A
Overall Compliance for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

Below is a chart illustrating compliance rate by type of test conducted for the month of December 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 #BI2019-0184, **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: January 9, 2020
Date Completed: January 14, 2020
Timeframe Inspected: December 1st to December 31st, 2019
Assigned Inspector: Connie Phillips B3345

I have reviewed this inspection report.

Lt. D. Reaulo S1678

Lt. Dominick Reaulo S1678
Commander, Audits and Inspections
Bureau of Internal Oversight

1/22/2020

Date