

MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



Complaint Intake Testing Inspection December 2020

Inspection # BI2020-0163

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 in order 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 a sufficient number of random and targeted tests to allow MCSO to assess the complaint intake process. The vendor determines the number of tests it will conduct on a monthly basis 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:

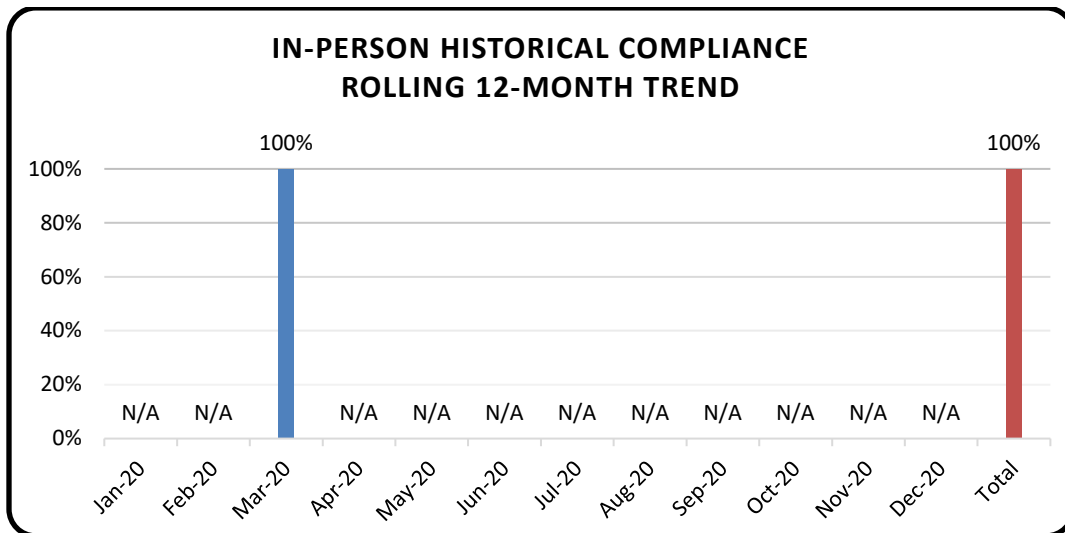
AIU began conducting the inspection of Complaint Intake Testing in January 2019 for tests performed during the month of December 2018. The following charts illustrate rolling 12-month histories of compliance with Office Policy. "N/A" indicates a particular type of testing was not performed during that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

The Complaint Intake Testing vendor conducted two tests by Email during the month of December 2020. AIU inspected both complaint intake tests. 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 2020.

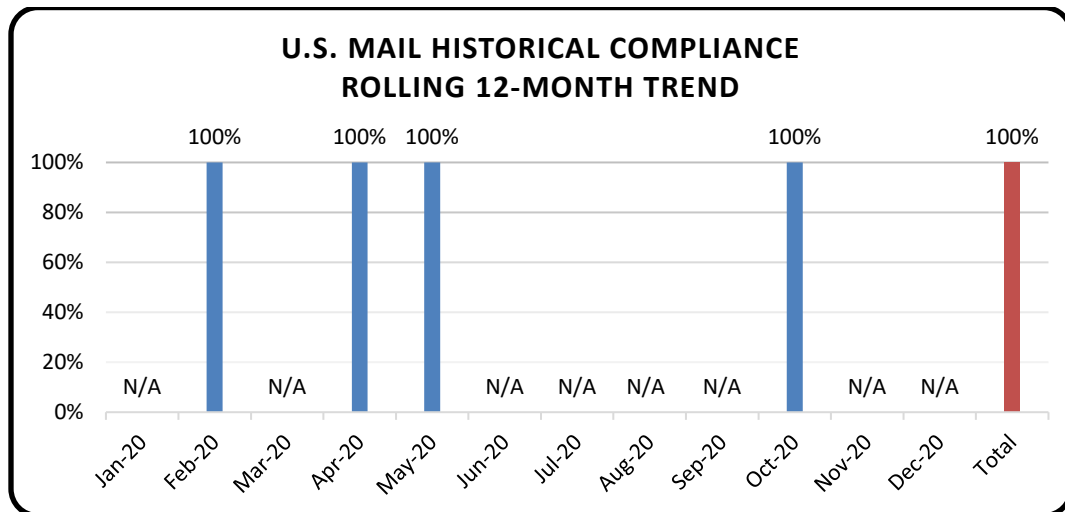
Below is a rolling 12-month historical comparison of compliance for In-Person tests:



Testing by U.S. Mail

There were no Complaint Intake Tests conducted by U.S. Mail during the month of December 2020.

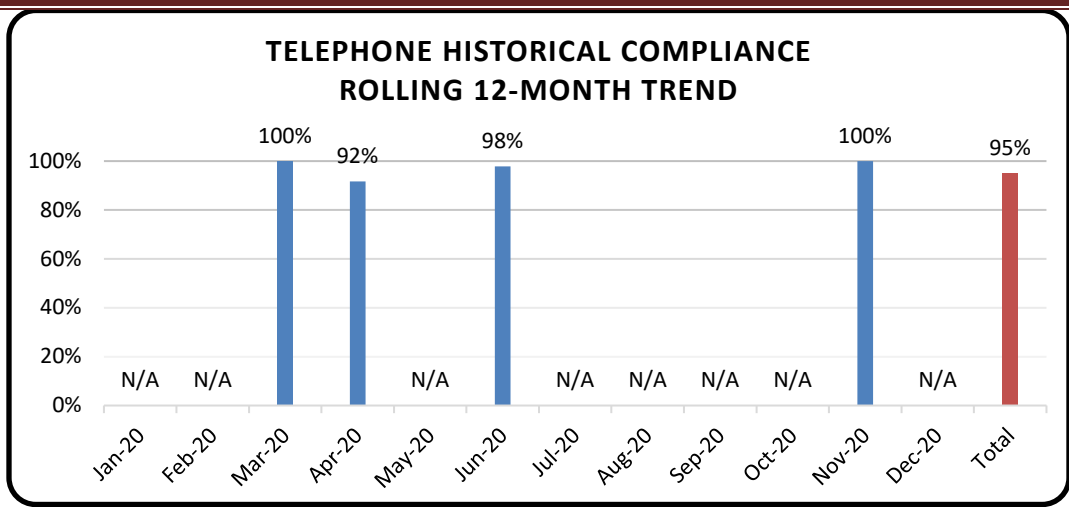
Below is a rolling 12-month historical comparison of compliance for tests conducted by U.S. Mail:



Testing by Telephone

There were no Complaint Intake Tests conducted by Telephone during the month of December 2020.

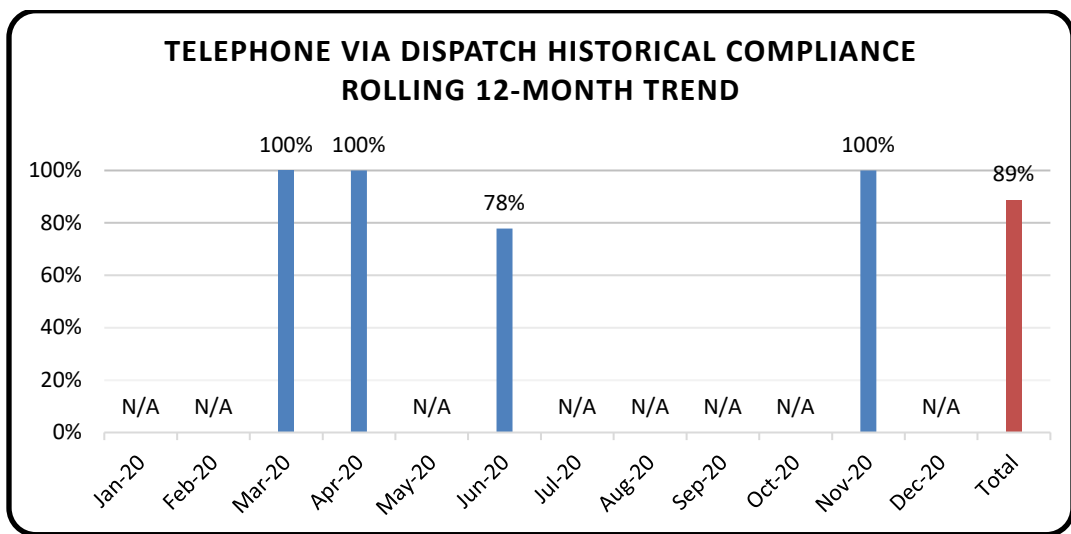
Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone:



Testing by Telephone via Communications Division

There were no Complaint Intake Tests conducted by Telephone via the Communications Division for the month of December 2020.

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 two Complaint Intake Tests conducted by E-mail during the month of December 2020.

1. TEST #: 58

DISTRICT/DIVISION: District 2

TEST SCENARIO: The tester e-mailed the commander of District 2 directly. According to the tester’s e-mail, a deputy was allegedly rude to the tester’s friend who spoke only Spanish, telling him, “No habla [sic] espanol”. The deputy said he had to go and then drove away. The tester was e-mailing the complaint on behalf of her Spanish-speaking friend.

ACTIONS TAKEN: The tester received an automatic e-mail response the same day from the District 2 commander indicating he was out of the office on vacation. However, the following day, the District 2 commander forwarded the complaint to PSB. Two days later, the tester received a letter electronically from PSB providing her with an IA number and the contact information for the assigned investigator.

RESULTS: No deficiencies were noted.

TESTER COMMENTS: *All went very well with this test ... Very quick response.*

BIO FOLLOW UP: None required.

2. TEST #: 59

DISTRICT/DIVISION: District 7

TEST SCENARIO: The tester e-mailed the commander of District 7 directly. The complainant alleged that a deputy was rude and belligerent when he issued a ticket to the man for j-walking. The man was African-American and his wife was Caucasian, which seemed to “set him off.” The deputy calmed down only when another deputy drove up to assist.

ACTIONS TAKEN: The e-mail test was flagged as potential spam and placed in E-mail Quarantine for 14 days. After being notified by the tester they had not received an IA # and AIU could not locate the complaint in IAPro, AIU followed up with the District 7 commander. The commander was unaware of the complaint e-mail. After a search, it was located in a junk/spam folder. It had been placed in quarantine by the anti-spam software program. The e-mail system is owned and overseen by Maricopa County and not the Sheriff’s Office. There appeared nothing offensive or inappropriate in the address of the sender or content of the e-mail. The anti-spam software developer determined the e-mail to be a false-positive.

RESULTS: N/A – Test not completed due to e-mail quarantine.

TESTER COMMENTS: N/A

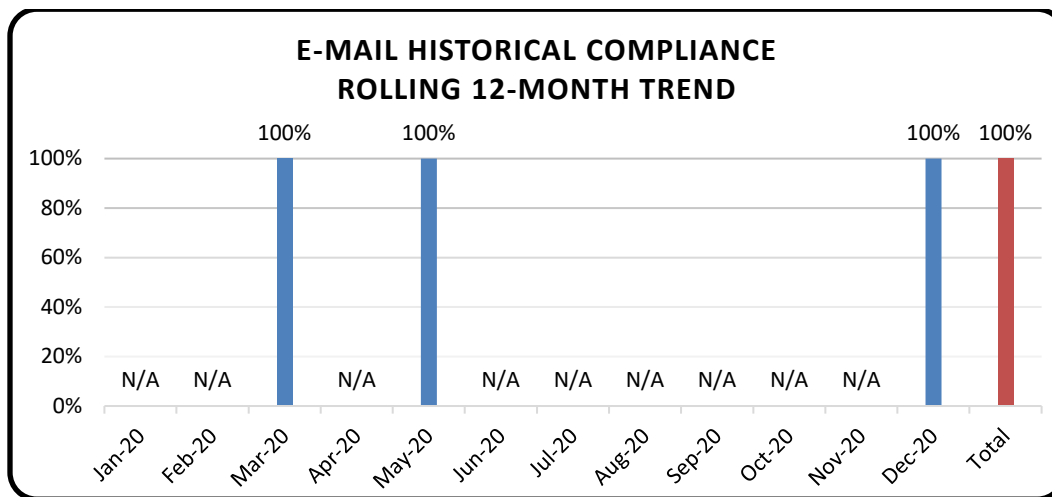
BIO FOLLOW UP: N/A

It was determined that MCSO employee compliance with applicable Office Policy (GH-2, *Internal Investigations*) was 100% for the one completed E-mail test, 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 complaint was entered into BlueTeam or IAPro.	0	1	1	100%

Determine if the employee attempted to discourage, interfere or delay complaint.	0	1	1	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.	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 acknowledgement 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%
Overall compliance for testing by E-mail	0	10	10	100%

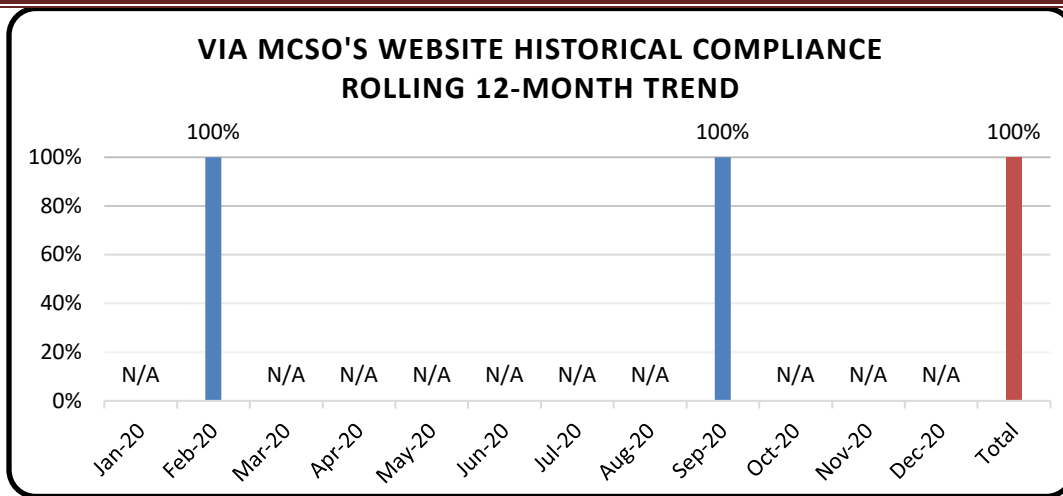
Below is a rolling 12-month historical comparison of compliance for tests conducted by E-mail:



Testing Online via MCSO’s Website

There were no Complaint Intake Tests conducted online during the month of December 2020 using the Office’s website.

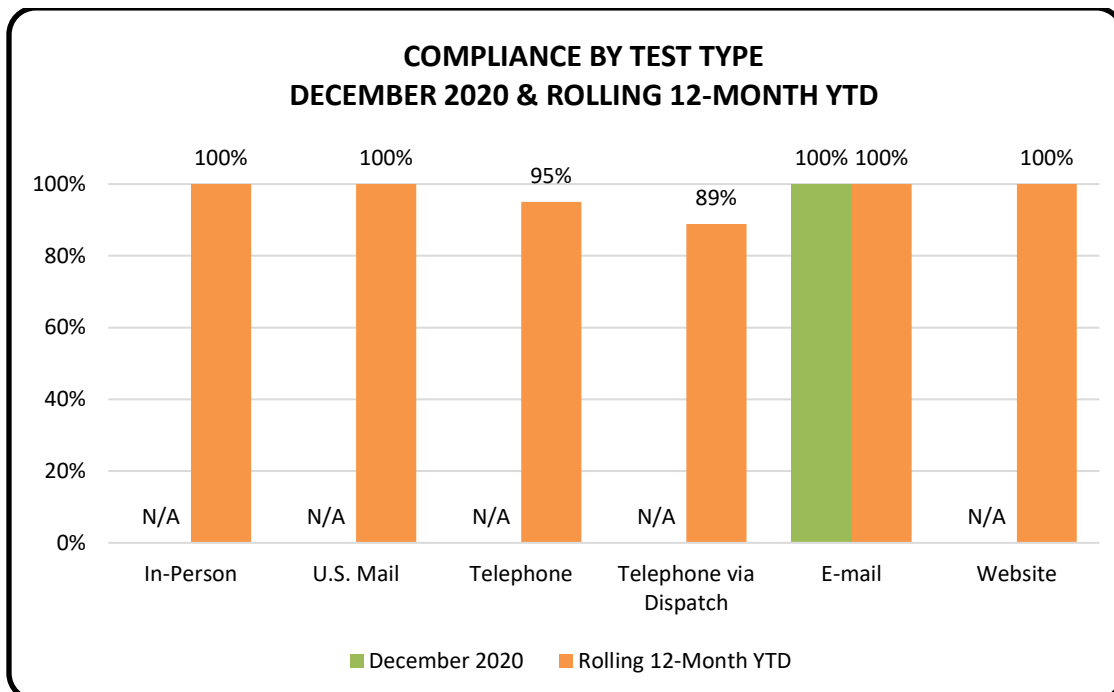
Below is a rolling 12-month historical comparison of compliance for filing a complaint Online:



Overall Compliance for December 2020:

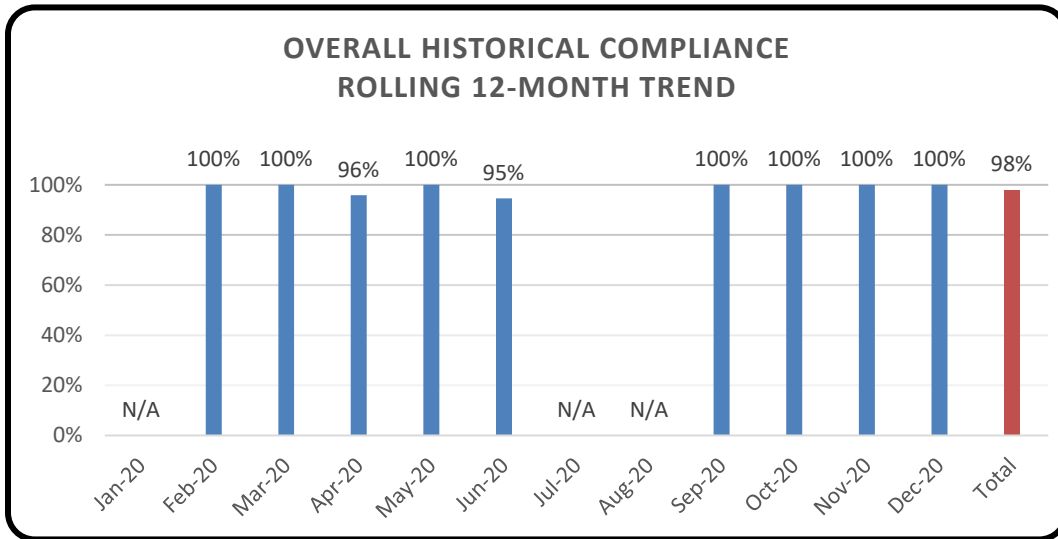
Compliance Rate by Method of Testing December 2020	Compliance Rate
Tests conducted In Person	N/A
Tests conducted by U.S. Mail	N/A
Tests conducted by Telephone	N/A
Tests conducted via Dispatch	N/A
Tests conducted via E-mail	100%
Tests conducted by filing a complaint Online	N/A
Overall Compliance for all Complaint Intake Tests Inspected – December 2020	100%

Below is a chart illustrating compliance rate by type of test conducted for the month of December 2020 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 #BI2020-0163, **no BIO Action Forms** are requested.

Date Inspection Started: January 11, 2021
 Date Completed: January 27, 2021
 Timeframe Inspected: December 1st to December 31st, 2021
 Assigned Inspector: Connie Phillips B3345

I have reviewed this inspection report.

Lt. Todd Brice
 Lt. Todd Brice S1767
 Commander, Audits and Inspections Unit
 Bureau of Internal Oversight

2-4-21
 Date