

# MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



**Complaint Intake Testing Inspection August 2019**

Inspection # BI2019-0124

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 testing and audio record all phone testing. 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 one In-Person test conducted during the month of August 2019. This test is discussed in further detail under the applicable report sub-section below.

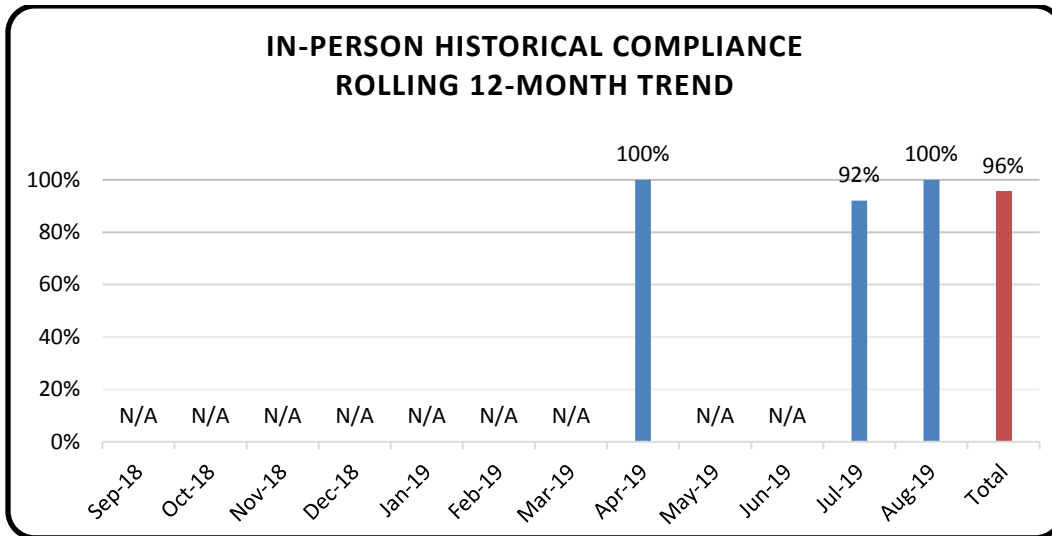
**In-Person Testing**

There was one In-Person Complaint Intake Test conducted during the month of August 2019 (Test 007). This test involved a civilian filing an external complaint in person at District 7 on 8/30/19, stating that she observed a deputy leaving a Circle K with a 12-pack of beer. He then drank one and gave two to what appeared to be underaged boys. The complaint was entered into BlueTeam the same day. Three days later, 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.

For the In-Person test, 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.	0	1	1	100%
Determine if original recordings and documents were attached to Blue Team or sent via interoffice mail to PSB.	0	1	1	100%
Verify that the complaint was entered into Blue Team 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 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 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%
<b>Overall compliance for In-Person testing</b>	<b>0</b>	<b>12</b>	<b>12</b>	<b>100%</b>

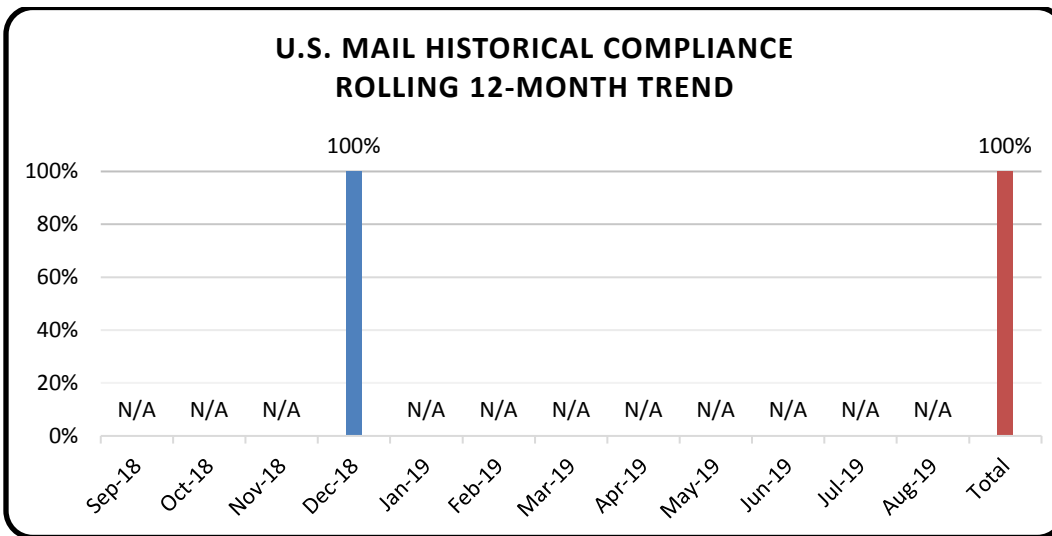
Below is a rolling 12-month historical comparison of compliance for In-Person tests:



**Testing by U.S. Mail**

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

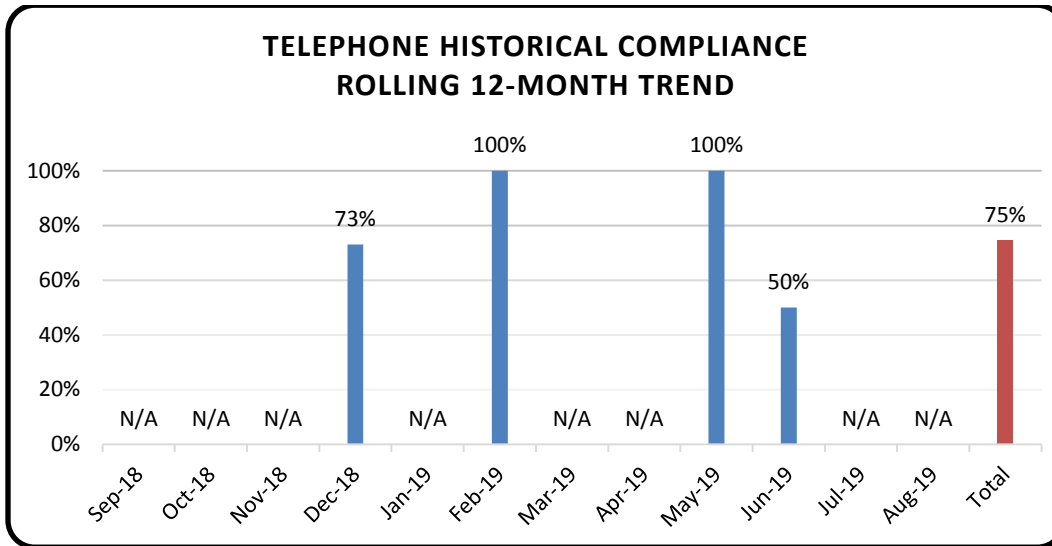
Below is a rolling 12-month historical comparison of compliance for tests conducted by U.S. Mail:



**Testing by Telephone**

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

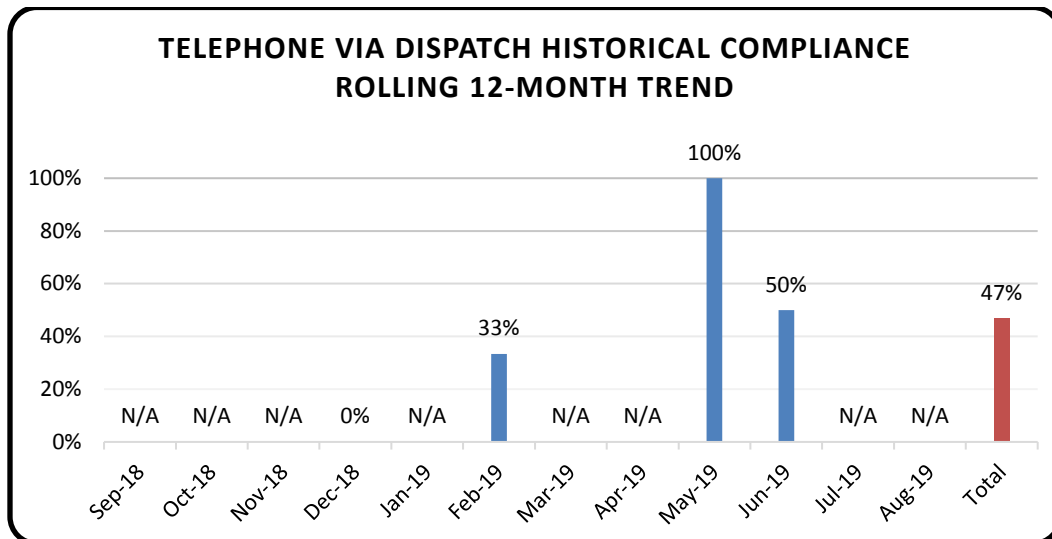
Below is a rolling 12-month historical comparison of compliance for tests conducted by Telephone:



**Testing by Telephone via Communications Division**

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

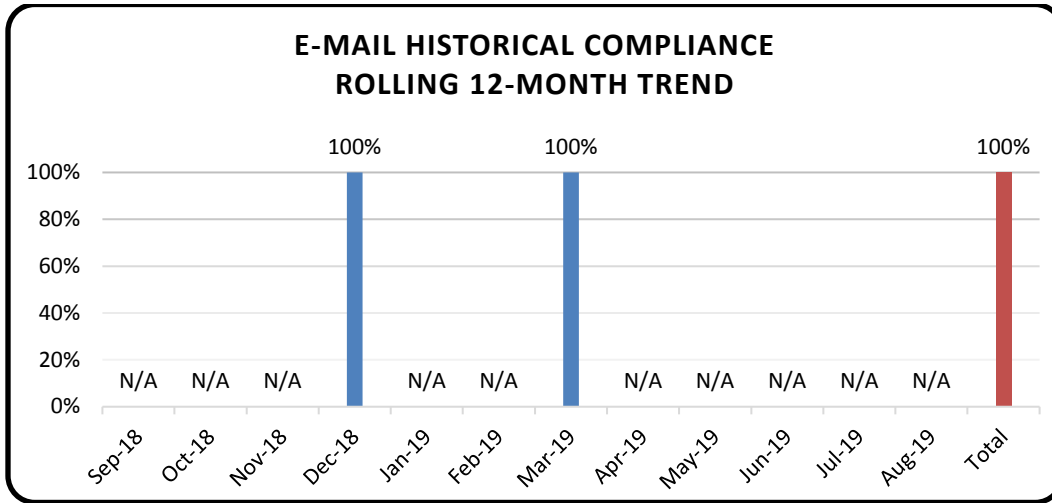
Below is a rolling 12-month historical comparison of compliance for tests received via Communications Division:



**Testing by E-Mail**

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

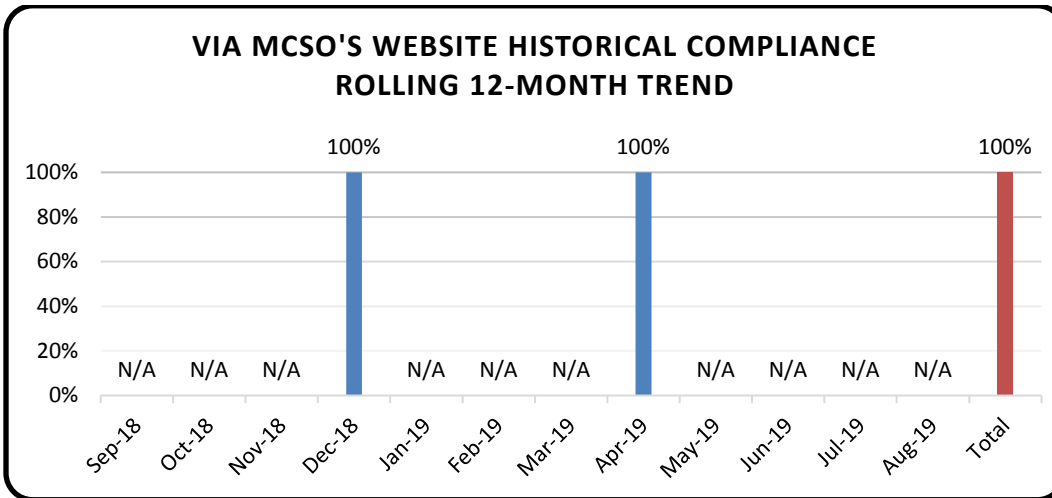
Below is a rolling 12-month historical comparison of compliance for tests conducted by E-mail:



**Testing by MCSO’s Website**

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

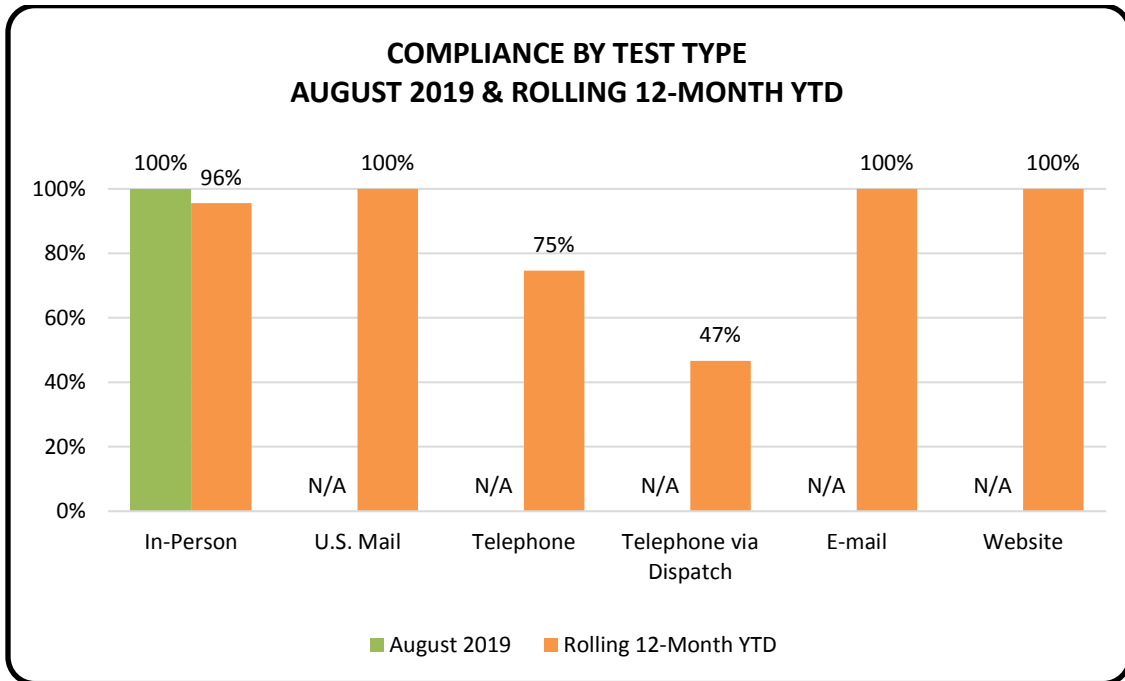
Below is a rolling 12-month historical comparison of compliance for filing a complaint online:



**Overall Compliance for August 2019:**

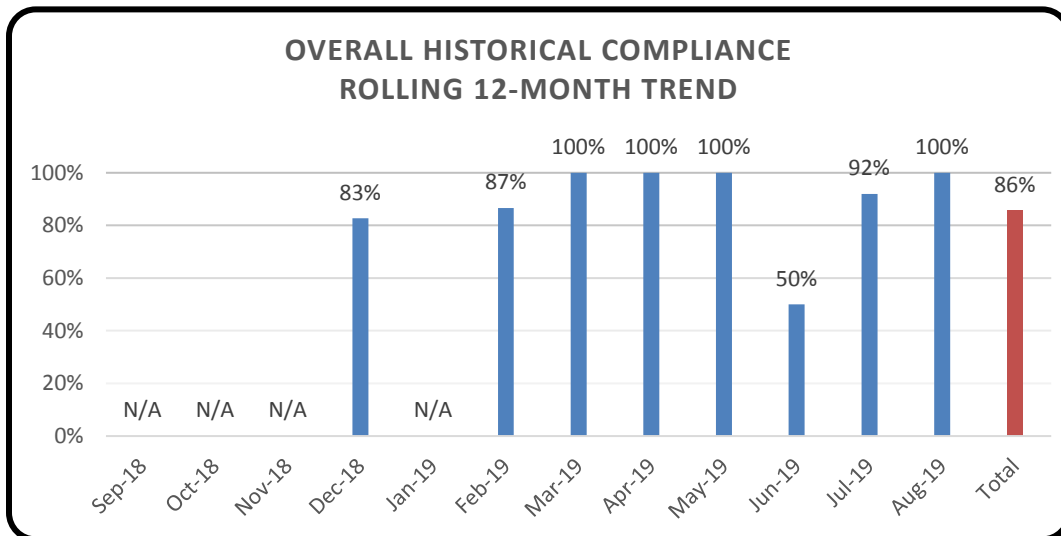
Compliance Rate by Method of Test August 2019	Compliance Rate
Tests conducted In Person	100%
Tests conducted by U.S. Mail	N/A
Tests conducted by Telephone	N/A
Tests conducted via Dispatch	N/A
Tests conducted via E-mail	N/A
Tests conducted via filing a complaint Online	N/A
<b>Overall Compliance for all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

Below is a chart illustrating compliance rate by type of test conducted for the month of August 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 #BI2019-0124, **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: September 25, 2019  
Date Completed: September 26, 2019  
Timeframe Inspected: August 1<sup>st</sup> to August 31<sup>st</sup>, 2019  
Assigned Inspector: Connie Phillips B3345

I have reviewed this inspection report.

Lt. D. Reaulo S1678  
Lt. Dominick Reaulo S1678  
Commander, Audits & Inspections Unit  
Bureau of Internal Oversight

10/17/2019  
Date