

# MARICOPA COUNTY SHERIFF'S OFFICE

Bureau of Internal Oversight

Audits and Inspections Unit



## Complaint Intake Testing Inspection June 2019

Inspection # BI2019-0093

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 Policy (GH-2, *Internal*

*Investigations and GI-1, Radio and Enforcement Communications Procedures*) as it relates 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 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.

**Matrix Procedures:**

- 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 (*Section 12*), *Radio and Enforcement Communications Procedures*:

12. Complaint or Service Complaint Handling:

- A. Communications Division personnel shall be properly trained to handle complaint intake from a member of the public, providing complaint materials and information, and the consequences for failing to take complaints.
- B. Communications Division personnel receiving complaint and service complaint calls from members of the public through the 9-1-1 phone line, shall instruct the caller to call Communication Division personnel back on a non-emergency phone line.
- C. Upon receiving the call back, Communications Division personnel shall document the information from the complainant to include: the complainant's name and contact information; location of the complaint occurrence; a report number and the name of the deputy, if known.
  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 at mcso.eis@mcso.maricopa.gov to ensure the complaints entry is entered into Blue Team.
2. Communications personnel receiving complaints shall ensure the maintenance of confidentiality. Communications personnel shall not divulge the name of any persons filing a complaint or provide complainant information to any employee other than the supervisor and/or PSB, or personnel authorized by Office command to properly process and investigate allegations of misconduct. However, at no time shall any individual who receives or handles a complaint, in any way attempt to dissuade a member of the public, from making the complaint or attempting to narrow the grounds of the complaint.
  3. Failure to report an act of misconduct shall be considered misconduct and may result in disciplinary or corrective action, up to and including dismissal from employment.

**Conditions:**

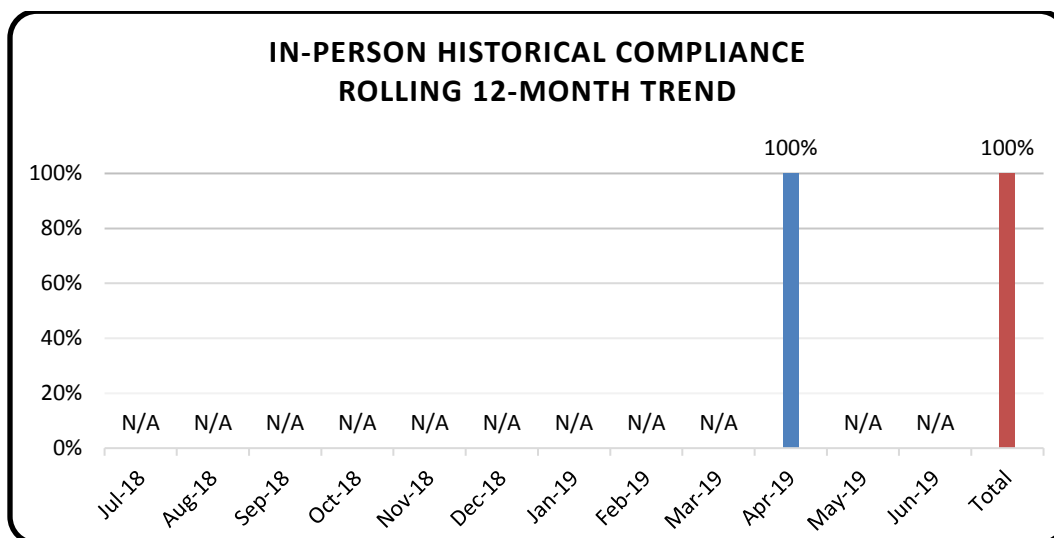
AIU began conducting the inspection of Complaint Intake Testing in January 2019 for tests performed during the month of December 2018. The following charts illustrate rolling 12-month histories of compliance with Office Policy. "N/A" indicates a particular type of testing was not performed during that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

AIU reviewed two tests conducted by telephone during the month of June 2019. 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 June 2019.

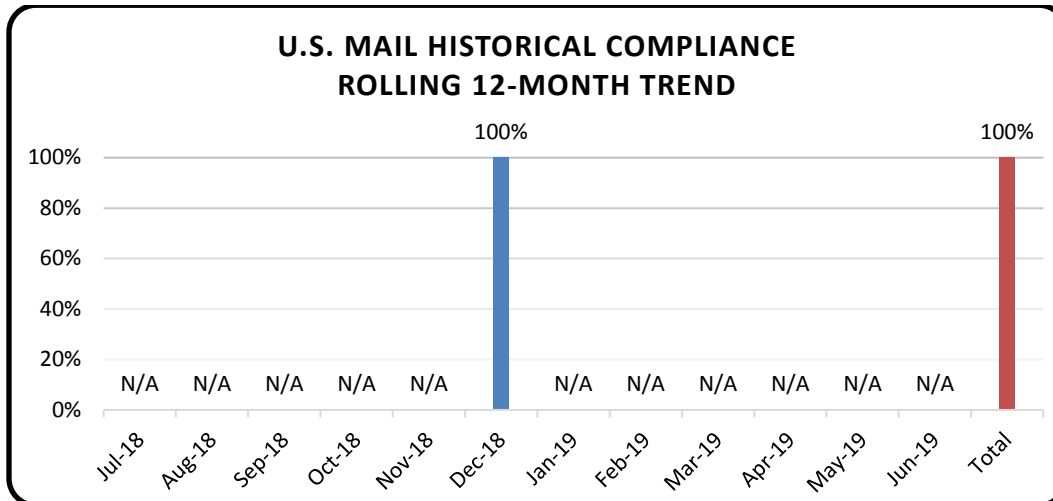
Below is a rolling 12-month historical comparison of compliance for In-Person tests:



**Testing by U.S. Mail**

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

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

**Testing by Telephone**

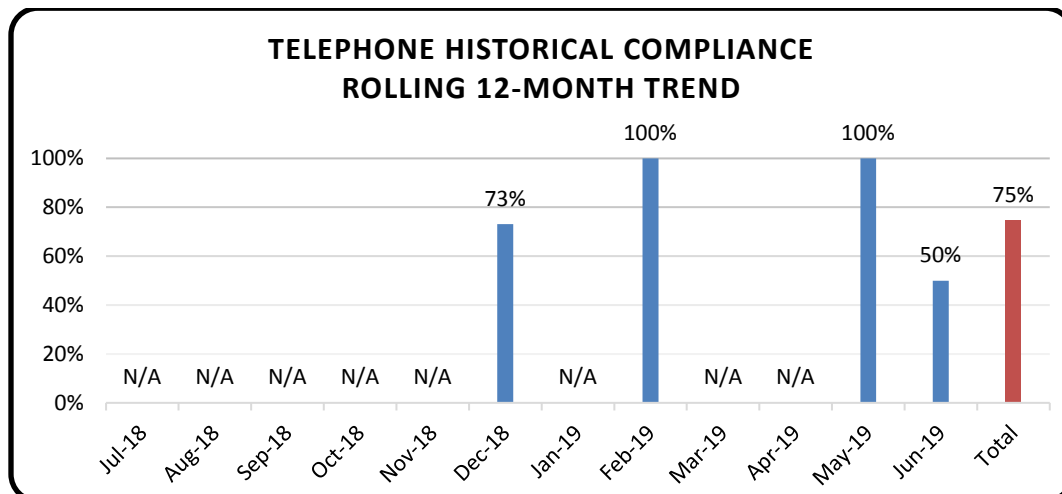
There were two Complaint Intake Tests (Tests 37 and 38) conducted by Telephone during the month of June 2019. During the first test (Test 37), the complainant called the general switchboard number for MCSO (602-876-1000) at approximately 1600 hours on a weekday to file a complaint regarding a deputy driving erratically, swerving over the line, possibly looking down at his phone. Dispatch personnel obtained information required by Policy GI-1, paragraph 12 and indicated that someone would contact her. Dispatch immediately notified the appropriate patrol district. Minutes later, the district sergeant called the complainant and obtained details regarding the complaint. Within seven days, PSB provided the complainant with the IA number and name of the assigned investigator (“Initial Letter”) by telephone since the telephone number was the only contact information available. No deficiencies were noted regarding this test.

The second test (Test 38) once again involved the tester calling the general MCSO switchboard number. The complaint concerned a rude interaction with a deputy claiming to be an MCSO detective. The detective drove up to the complainant and her husband and starting yelling at them for speeding and generally behaving unprofessionally. After the complainant said that she did not know the name of the detective, the dispatcher referred her to the patrol district in which the alleged incident occurred and suggested she call them to file her complaint. The tester then asked the dispatcher if she could take the complaint. The dispatcher replied that there was not enough information for her to do so and that the complainant was better off calling the district directly. Policy GI-1, *Radio and Enforcement Communications Procedures*, Paragraph 12.C. requires that Communications Division personnel obtain the complainant’s name and contact information, at a minimum; this was not done. The tester did not continue the test at this point.

It was determined that MCSO employee compliance with the applicable Office Policy (GH-2, *Internal Investigations*) was 50%, as illustrated by the table below:

Inspection Element	Not In Compliance	In Compliance	Total	Compliance Rate
Determine if the complaint was accepted.	1	1	2	50%
Determine if the complaint was taken by a supervisor.	1	1	2	50%
If a supervisor was not available, verify that the employee forwarded all pertinent information to a supervisor to contact the complainant and/or entered into Blue Team.	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.	1	1	2	50%
Verify that the complaint was entered into Blue Team or IAPro.	1	1	2	50%
Determine if the employee attempted to discourage, interfere or delay the complaint.	1	1	2	50%
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
Determine if the complaint was audio and video recorded or audio recorded for phone calls by a supervisor or PSB.	1	1	2	50%
Determine if the minimum amount of information was obtained (date, time, summary, location, name, contact info, witness info, supporting documents/evidence, involved employees, etc.).	1	1	2	50%
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.	1	1	2	50%
Determine if the complaint was promptly forwarded to PSB.	1	1	2	50%
Determine if the complaint notification was sent within 7 days, including IA# and investigator name and contact number.	1	1	2	50%
Determine if the employee reported accurate information in the complaint.	1	1	2	50%
<b>Overall compliance for testing by Telephone</b>	<b>11</b>	<b>11</b>	<b>22</b>	<b>50%</b>

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



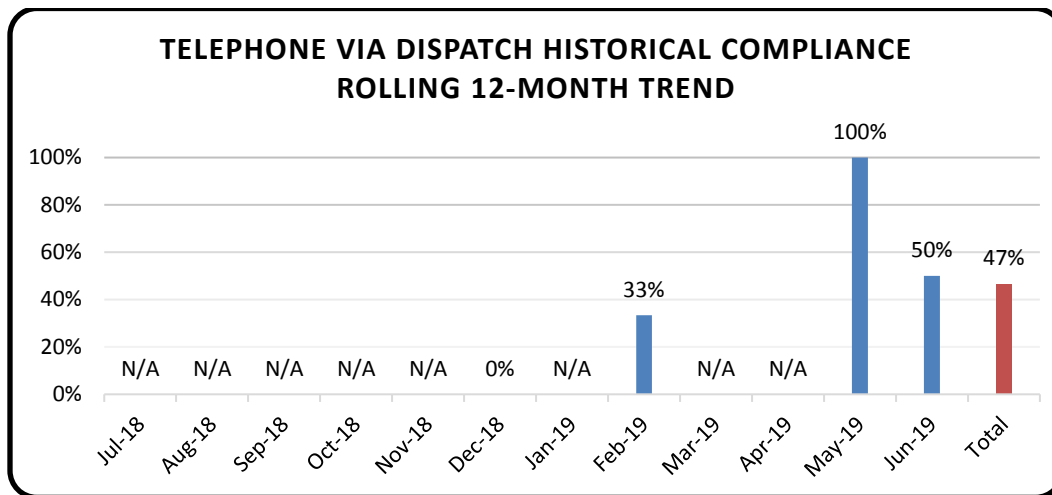
**Testing by Telephone via Communications Division**

Both Complaint Intake Tests conducted by Telephone for the month of June 2019 were initiated via the Communications Division (see above).

It was determined that MCSO employee compliance with the applicable Office Policy (GI-1, *Radio and Enforcement Communications Procedures*) was 50%, 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.	1	1	2	50%
Determine if the employee contacted the division/district supervisor and emailed the info to him/her	1	1	2	50%
Determine if the employee emailed EIU	1	1	2	50%
<b>Overall compliance for testing by Telephone via Communications Division</b>	<b>3</b>	<b>3</b>	<b>6</b>	<b>50%</b>

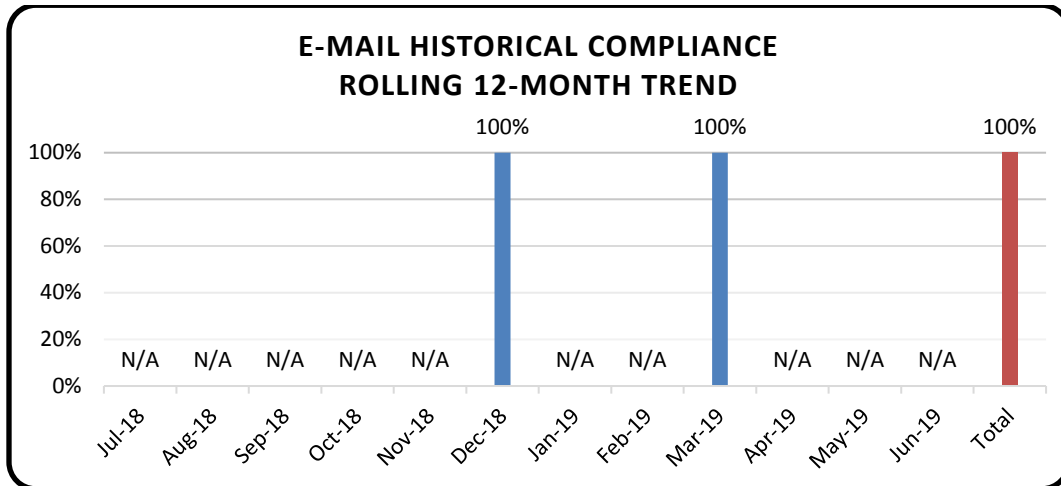
Below is a rolling 12-month historical comparison of compliance for tests received via Communications Division:



**Testing by E-Mail**

There were no Complaint Intake Tests conducted by E-mail during the month of June 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 June 2019 using the Office's website.

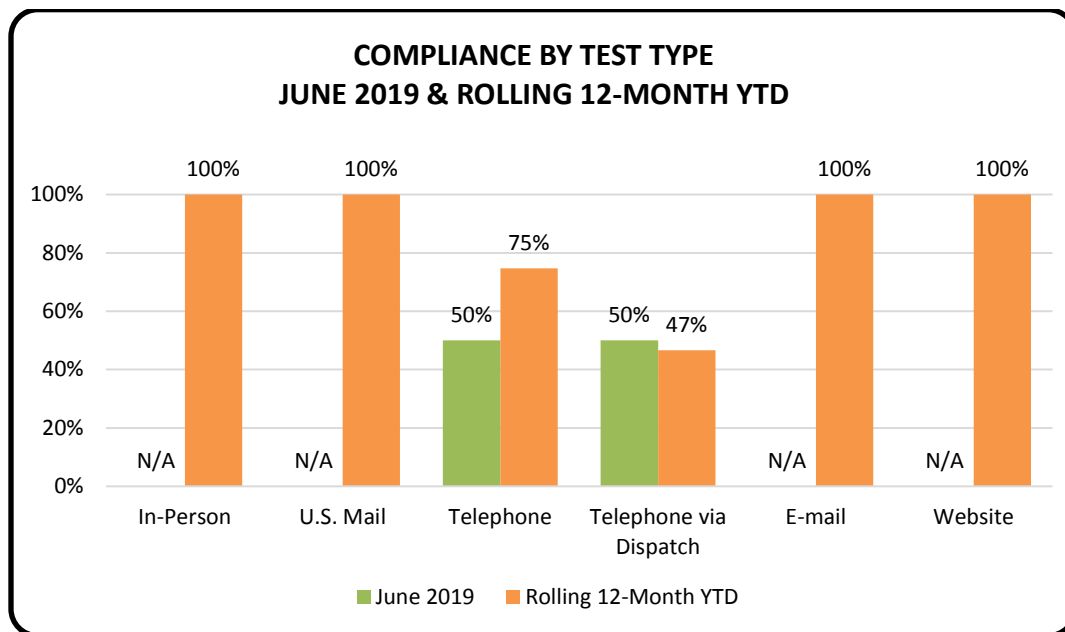
Below is a rolling 12-month historical comparison of compliance for filing a complaint online:



**Overall Compliance for June 2019:**

Compliance Rate by Method of Test June 2019	Compliance Rate
Tests conducted In Person	N/A
Tests conducted by U.S. Mail	N/A
Tests conducted by Telephone	50%
Tests conducted via Dispatch	50%
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 – June 2019</b>	<b>50%</b>

Below is a chart illustrating compliance rate by type of test conducted for the month of June 2019 as compared with the corresponding year-to-date compliance rate.



The following deficiencies were identified during the inspection process and require that a BIO Action Form be completed:

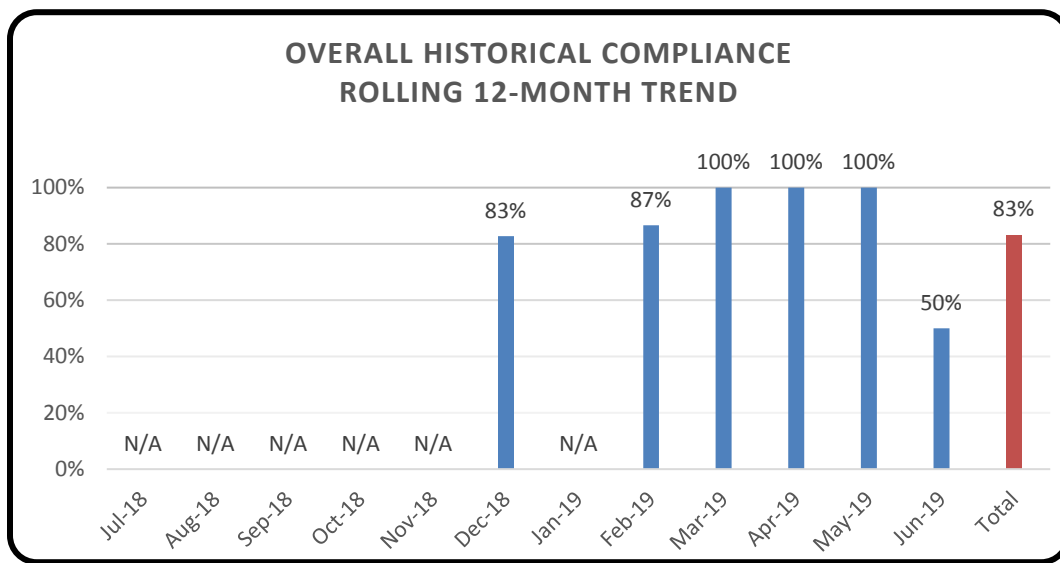
District/Division	Employee	Date of Event	IA Number	Current Supervisor	Current Commander	Related BAFs
Communications	Redacted	6/10/2019	N/A	Redacted	Redacted	None
<b>Perceived Deficiency</b>						
1. "... Communications Division personnel [did not] document the information from the complainant to include: the complainant's name and contact information; location of the complaint occurrence, a report number and the name of the deputy, if known." (GI-1.12.C.)						



2. The on-duty supervisor of District 4 was not verbally contacted. "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." (GI-1.12C.1.)
3. The complaint information was not provided to the on-duty supervisor of District 4. "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." (GI-1.12.C.1.a.)
4. An e-mail with the complaint information was not sent to EIU. "Communications Division personnel shall copy the e-mail sent to the on-duty supervisor with the complaint information, to the Early Identification Unit at [mco.eis@mco.maricopa.gov](mailto:mco.eis@mco.maricopa.gov) to ensure the complaints entry is entered into Blue Team." (GI-1.12.C.1.b.)

**History of Overall Compliance:**

Below is a rolling 12-month historical comparison of compliance for all Complaint Intake Testing:



**Recommendation:**

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.

**Action Required:**

With the resulting **50%** overall compliance for *Inspection BI2019-0093*, **one BIO Action Form** is requested.

**Notes:**

All supporting documentation (working papers) is included in the inspection file number *BI2019-0093* and contained within IAPro.

Date Inspection Started: July 1, 2019  
Date Completed: July 8, 2019  
Timeframe Inspected: June 1<sup>st</sup> – 30<sup>th</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

7/31/2019  
Date