

Exhibit A

2019 Annual Compliance Report

July 1, 2018-June 30, 2019

MARICOPA COUNTY SHERIFF'S OFFICE
PAUL PENZONE, SHERIFF

COURT IMPLEMENTATION DIVISION



2019 ANNUAL COMPLIANCE REPORT

JULY 1, 2018 – JUNE 30, 2019

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Executive Summary

This Annual Report assesses the Maricopa County Sheriff's Office ("MCSO or "Office") level of compliance with the Hon. G. Murray Snow's October 2, 2013 Supplemental Permanent Injunction/Judgment Order (Doc. 606), as amended (the "First Order"), and the July 26, 2016 Second Supplemental Permanent Injunction/Judgment Order (Doc. 1765), as amended (the "Second Order") (collectively, the "Court's Order"). The reporting period for this annual report covers July 1, 2018 through June 30, 2019. This Annual Report is submitted to comply with, Paragraphs 12 and 13 of the Court's Order.

To ensure compliance with the Court's Order, MCSO maintains a Court Implementation Division (CID), established policies, procedures, and directives, and maintains the Bureau of Internal Oversight (BIO) that conducts internal inspections and audits to further ensure compliance measures are met.

MCSO acquired and implemented hardware and software technology that is used to collect traffic stop data and data needed for the Early Identification System (EIS). This technology, along with inspections and audits performed by BIO, helps MCSO conduct quality assurance activities. In the future, when the Monitor is no longer involved in verifying compliance, BIO will continue audits and inspections to assure the ongoing compliance with MCSO's reforms.

MCSO promulgated all Office Policies and Procedures related to Patrol Operations and completed the comprehensive instruction required in each of these substantive areas. MCSO also increased the number of supervisors and their roles and responsibilities as leaders responsive to the Court's Order.

Over the past year Sheriff Penzone has made several changes in the command structure of the Office, primarily due to retirements, while maintaining efforts to move the Office into compliance with the court order. In addition, there have been a number of significant events which have occurred over the year involving several divisions within the Compliance Bureau, whose focus is to facilitate MCSO into compliance with the Court's Order:

- October 2018, Deputy Chief David Toporek retired as the Deputy Chief over the Compliance Bureau.
- November 2018, Captain Ken Booker was promoted from Captain to Deputy Chief of the Compliance Bureau, which includes several divisions: CID, BIO, and the Training Division, which is responsible for training all MCSO personnel sworn, detention, and civilian.
- December 2018, Captain Henry Brandimarte was promoted from Captain to Deputy Chief over Patrol Bureau West, which includes all patrol districts in the western portion of Maricopa County (Districts 2, 3, & 4) as well as the SWAT Division, Aviation Division, Extraditions Unit, and the Judicial Enforcement Division (JED).
- May 2018, Deputy Chief Rustenburg retired from the Support Services Bureau.
- June 2018, Captain W. Cory Morrison was promoted from Captain over BIO to Deputy Chief over Patrol Bureau East, which includes all patrol districts in the eastern portion of Maricopa County (Districts 1, 6, 7, and Lake Patrol) in addition to the Court Security Division. Captain James McFarland was assigned as the new Commander over BIO.
- Appointment of individuals pursuant to Paragraph 9 of the First Order to head CID and act as a primary point of contact with the Monitor, parties, and the Court regarding compliance:

November 2018, Lt Todd Hoggatt was transferred to CID and was appointed as the primary contact between MCSO and the Monitor.

- March 2019, Captain Frank McWilliams was transferred from CID and was replaced by Captain Tim Palmer.
- In the 3rd quarter of 2018, MCSO contracted with a new vendor that will be conducting the annual, monthly, and quarterly traffic stop analyses – CNA Analysis & Solutions (CNA). CNA provides independent analysis across a wide range of topics and expertise, but most relevant to MCSO, CNA has 75 years of experience working with military and law enforcement. Their team is made up of experts in the analytics field that know and understand law enforcement. We expect they will be a tremendous resource in reviewing, analyzing, and comprehending the results of our traffic stop data. Members of the CNA team have attended several Internal Town Hall meetings, most recently in District 2 in the 1st quarter of 2019, hosted by the Compliance Bureau to address employees of MCSO interested in learning more about CNA, or for those who have questions or comments about the analyses they will conduct. The review and finalization of the revised Annual (TSAR) analysis process was completed in the 2nd Quarter of 2019. The methodology for the monthly analysis was finalized for approval in July 2019. Subsequent to that approval, and after preliminary testing by CNA, CNA and MCSO notified the parties and the Monitor of some adjustments and updates to the approved methodology. MCSO and CNA continue to work with the parties and the Monitor moving forward regarding calibration of the methodology as it is implemented to produce the annual traffic stop report. The methodology for the quarterly analysis is still being developed, while the fourth TSAR is expected to be completed by CNA & BIO by the 4th quarter of 2019.
- As of June 2019, the quarterly community meetings held by MCSO, with the Monitor and Plaintiffs present, were turned back over to the Monitor's supervision (relevant to Order at Doc. 2431). These meetings are meant to "inform the community members of the policy changes or other significant actions that the MCSO has taken to implement the provisions of this Order" (Doc. 2431). In addition, these meetings are intended to "rebuild public confidence and trust in the MCSO and in the reform process," and to "improve community relationships and engage constructively with the community" (*Id.*). In accordance with this Order, MCSO will address concerns from the community in reference to the Court's Order, or non-Order related questions at the discretion of the Sheriff. MCSO will reimburse the Monitor for expenses incurred from the venue selected and any additional needs or related cost. MCSO is eager to continue moving forward with community engagement and share the efforts and accomplishments made towards compliance with the Court's Order.
- In addition to the approval of the TSAR analysis, two other inspection methodologies were approved during this quarter: Post-Stop Ethnicity Inspection methodology and a Monthly Incident Report Inspection methodology. The Monthly Incident Report Inspection will replace the County Attorney Turndown Inspection beginning in September. MCSO is confident that this inspection will provide an accurate assessment of MCSO's compliance with supervisory reviews of arrests and the corrective actions taken to address deficiencies.
- During this rating period, MCSO had petitioned the Court to modify its Plan to Promote Constitutional Policing in accordance with Paragraph 70, of the First Order. The Plaintiffs were opposed to this modification, as was the Court. MCSO accordingly continues to implement its original nine goal plan and will continue with efforts to seek feedback from the Monitor as well as the parties, the Community Advisory Board (CAB) (in addition to the several other advisory boards with which MCSO consults), and the community moving forward.

- MCSO continues to collaborate with several community advisory boards to include the court-ordered CAB. A single point of contact from executive command has been appointed to facilitate and organize meetings, providing document review, and soliciting feedback to MCSO in moving forward towards compliance. During this period two members, selected by MCSO, requested to step down and as such two new members will be selected in the very near future.

All MCSO employees read and acknowledged the Court's *Corrective Statement* of April 17, 2014, and all supervisors read and acknowledged the *Findings of Fact and Conclusions of Law* (Doc. 579) of May 24, 2013 and the First Order. In March 2015, the Court deemed MCSO in compliance, having met the requirements of the Court's Order, and is no longer obligated to report on compliance levels for the Court's *Corrective Statement* of April 17, 2014.

On July 26, 2016 the Court issued the Second Order. All MCSO employees read and acknowledged a briefing that explained the terms of the Second Order as well as relevant background information about the Court's May 13, 2016 Findings of Fact as required by Paragraph 273 of the Second Order.

MCSO quarterly reports and the Monitor's quarterly reports are placed on the online learning tool, The HUB, to allow all employees access to the reports. Employees at the rank of Lieutenant and above are required to read these reports. MCSO leadership made these reports required reading by Lieutenants and above because they want all leadership at MCSO to understand the importance of gaining compliance with the Court's Order along with what steps need to be taken to achieve compliance in areas in which they may have influence.

MCSO continues to implement the CID Liaison Program with the Patrol Districts, inviting sworn Captains to monthly compliance status meetings, and incorporating field personnel into meetings during the Monitor's quarterly site visits. This Liaison Program continues to extend to several other divisions within the Compliance Bureau to include BIO and the Professional Standards Bureau (PSB). The effects of this program have been positive and MCSO plans to continue these practices and expand them with the expectation that will help future gains in compliance.

In some respects, compliance under the Court's Order requires complex technological change and advances. Accordingly, MCSO's Technology Bureau has the burden of developing technology-based solutions to fulfill many of the requirements under the Court's Order. The Technology Bureau juggles several technology projects simultaneously with regard to its efforts to assist MCSO to achieve its goal of full and effective compliance under the Court's Order. Some of these projects require the retention and assistance of software development by an outside technology vendor.

Within this rating period, one of the more important tasks the Technology Bureau has been diligently working on is the implementation of Open Axes. Open Axes is a digital search tool that will search various data systems to identify documents and files related to preservation orders. This was put into operation in June 2019 and added to the operations manual of the Administrative Services Division (ASD).

Work also continues on the refinement and expansion of MCSO's Traffic Stop Collection System (TraCS). Working groups continue to evaluate and develop ideas on how to improve the system to become not only user friendly for efficiency in the field but also assist patrol deputies with procedures in accordance with the Court's Order.

Through much collaboration and input from the parties and Monitor, the Training Division finalized and delivered several Court's Order-Related training curriculums. These courses include:

- MCSO Training Polices, GG-1 and GG-2 were revised and approved by the Monitor. This allows for the update of the Operations Manual to be completed.

- PSB-8 Internal Training course for all investigative personnel assigned to the PSB was approved.
- PSB-8 External Training course for all supervisors who may investigate employee misconduct was submitted to the Monitor and parties in June of 2019 and approved August 22, 2019.

MCSO has appreciated the feedback and input from everyone involved who contributed to making these courses relevant, informative and deliverable. Training courses such as these are key to the overall success of the Office and its employees.

This annual report also encompasses compliance efforts with respect to the Second Order. The Second Order added an additional 114 Paragraphs to the 89 Paragraphs from the First Order on which MCSO is evaluated.

Overall, the Monitor gives MCSO a compliance rating on 213 Paragraphs.

The Monitor assesses these Paragraphs in two phases of compliance. Phase 1 compliance is assessed on “whether MCSO has developed and approved requisite policies and procedures, and MCSO personnel have received documented training on their contents” (Monitor’s Twentieth Quarterly Report, p. 7-10). Phase 2 compliance, generally considered operational implementation, is assessed by whether MCSO can “demonstrate that it is complying with applicable Order requirements more than 94% of the time, or in more than 94% of the instances under review.” (Monitor’s Twentieth Quarterly Report, p. 6).

The *Melendres* Court’s Order Compliance Chart (See Appendix A) was developed from compliance rate information provided in the Monitor’s quarterly reports covering the reporting period for the fiscal year of 2018 – 2019. The Monitor’s Twenty-First Quarterly Report is not due until October 9th; therefore, the Court’s Order Compliance Chart does not include data from the 2nd quarter of 2019.

During this annual review period significant compliance progress has been made as demonstrated by the below tables taken from the Monitor’s Twentieth Quarterly Report depicting historical compliance rates during the time Sheriff Penzone took office:

		Report 12	Report 13	Report 14	Report 15	Report 16	Report 17	Report 18	Report 19	Report 20
10/2013 “First Order”	Phase 1	79%	88%	85%	85%	85%	85%	97%	97%	97%
	Phase 2	57%	67%	62%	65%	64%	66%	77%	75%	78%
7/2016 “Second Order”	Phase 1	12%	72%	75%	77%	77%	78%	78%	99%	99%
	Phase 2	60%	63%	66%	72%	75%	80%	81%	90%	89%

Per the Monitor’s Twentieth Quarterly Report, MCSO is in “Full and Effective Compliance,” with 21 Paragraphs of the Court’s Order, of the 213 paragraphs MCSO is rated on; unfortunately, MCSO did fall one percentage point in its compliance rating for phase 2 compliance of the Second Order (as noted above), this was related to section 15 of the Monitors Quarterly Report for Document Preservation and Production. MCSO CID has met with commanders throughout the Office to reinforce MCSO Policy GD-9 and the required procedures involved to mitigate this issue and reinforce this policy.

MCSO continues to dedicate financial and personnel resources to advance the organization towards compliance. MCSO’s path to compliance is a truly collaborative effort among MCSO, the Monitor, and the attorneys

representing the Plaintiffs and the Department of Justice (DOJ), including technical assistance from the Monitor when requested and substantive suggestions from the parties and the community advisory groups.

MCSO is committed to achieving its goal of “Full and Effective Compliance” as the Court’s Order defines it. Compliance is a top priority for Sheriff Penzone because he believes gaining full and effective compliance with the Court’s Order is also the fastest way to ensure MCSO is deploying and following the current best police practices.

Court Implementation and Document Production

MCSO took major steps to implement Section III of the First Order. In October 2013, MCSO formed a division titled the Court Compliance and Implementation Division consistent with Paragraph 9. In February 2015, MCSO changed the name of this division to the Court Implementation Division, or CID. The CID is currently comprised of 11 MCSO personnel with interdisciplinary backgrounds and various ranks: 1 Captain, 1 Lieutenant, 3 Sergeants, 2 Deputies, 1 Management Analyst, 1 Management Assistant, and 2 Administrative Assistants.

Captain Tim Palmer was assigned to command CID on March 4, 2019. Lieutenant Todd Hoggatt was assigned the role of single point of contact with the Court and the Monitor, although MCSO's legal team and MCSO's upper Command Staff also communicate with the Monitor and parties as needed. Members of CID work very closely with MCSO counsel and MCSO Command Staff to ensure that MCSO maintains a sustained effort to achieve its goal of full and effective compliance with the Court's Order. CID coordinates site visits and other activities with each of the parties, as the Court's Order requires.

The CID strives to maintain positive and professional working relationship with the Monitor and parties. CID is committed to its vital role in the reform process and reaching MCSO Command Staff's directive and sincere goal to be in full and effective compliance expeditiously. Over the past several years CID and BIO have taken a more aggressive role in assisting commanders from various divisions and districts in identifying gaps with the Office's efforts towards compliance and working collaboratively with the Monitor and parties to identify different methods to bridge these towards compliance with Court's Order.

The CID, with the Sheriff's approval, ensures the proper allocation of document production requests to the appropriate MCSO units to achieve full and effective compliance with the Court's Order. Thus, the efforts to achieve compliance and to fulfill the Monitor's requests involve the efforts of MCSO divisions, bureaus, personnel and command staff, as well as personnel from the Maricopa County Attorney's Office (MCAO). This shared effort and allocation of assignments are set forth in Table #1 immediately as follows:

TABLE 1: MCSO UNIT ASSIGNMENTS FOR COURT'S ORDER

MCSO Unit Assignments for Court's Order	
Section	Unit Name
III. MCSO Implementation Unit and Internal Agency-Wide Assessment (First Order)	• CID • MCAO
IV. Monitor Review Process (First Order)	• CID • MCAO
V. Policies and Procedures (First Order)	• CID • Human Resources Bureau, ASD (Policy Section) • MCAO
VI. Pre-Planned Operations (First Order)	• CID • ASD (Policy Section) • Detective and Investigations Bureau

VII. Training (First Order)	• CID • MCAO • Training Division
VIII. Traffic Stop Documentation and Data Collection and Review (First Order)	• CID • BIO
IX. Early Identification System (“EIS”) (First Order)	• CID • BIO/Early Intervention Unit (EIU)
X. Supervision and Evaluation of Officer Performance (First Order)	• CID • Command Staff • Human Resources Bureau, ASD and Personnel Services Division
XI. Misconduct and Complaints (First Order)	• CID • Command Staff • PSB • Supervisors in each unit
XII. Community Engagement (First Order)	• CID • Community Outreach Division (COrD)
XV. Misconduct Investigations, Discipline, and Grievances (Second Order)	• CID • PSB • Training Division • COrD • MCSO Command Staff and District Commanders • ASD
XVI. Community Outreach and the Community Advisory Board (Second Order)	• CID • COrD • PSB
XVII. Supervision and Staffing (Second Order)	• CID • Command Staff • Human Resources Bureau, ASD and Personnel Services Division • BIO/EIU • Enforcement Bureau

XVIII Document Preservation and Production (Second Order)	• CID • Command Staff • Human Resources Bureau, ASD and Personnel Services Division
XIX. Additional Training (Second Order)	• CID • MCAO • Training Division
XX. Complaint and Misconduct Investigations Relating to Members of the Plaintiff class (Second Order)	• CID • MCAO • PSB

In response to Paragraph 19 of the Court's Order concerning review of existing Policy and Procedures, and Paragraph 30 regarding timely submissions, the CID, working with the Policy Section, reviewed MCSO Policies and Procedures. Please see the Annual Policy Assessment Section for further details.

The First Order, Section IV directs submission of policies and appeals, and sets deadlines. Consistent with Paragraph 14, MCSO responded expeditiously to all requests for documentation. Consistent with Paragraph 15, MCSO completed resubmissions when requested (e.g., format changes to document requests, changes to training curriculum via the consultant, etc.). Additionally, as per Paragraphs 16 and 31, MCSO promptly disseminated Office Policies and Procedures, and other documents following Monitor approval.

In attempt to try and accelerate the pace of compliance, the Monitor circulated a draft policy and curriculum review proposal which was adopted. Both MCSO and the parties have maintained established deadlines to provide their respective revisions to and voice any concerns with MCSO policies and training curricula being reviewed.

The CID is responsible for facilitating data collection and document production. The CID responded to numerous combined document requests during this reporting period and produced over one million pages of documents. In addition to the Monitor document requests, CID facilitates the production of training material and policies and procedures to the Monitor for review and approval.

Inspections and Quality Assurance Audits

Consistent with the Court's Order mandate to engage in periodic audits, on September 29, 2014, MCSO created BIO to address the Court's Order compliance and to assist the Sheriff's Office by providing timely and professional auditing, inspections, technical and review services. This includes the assessment of employee performance and misconduct, management functions, the promotion of integrity, economy, efficiency and effectiveness of Office programs, services and activities. BIO inspections and audits allow MCSO to assess whether personnel are in compliance with the Court's Order and MCSO Policy.

BIO includes two MCSO units; the Audits and Inspections Unit (AIU) and the EIU. The BIO team is comprised of a combination of sworn, detention and civilian Sheriff's Office staff.

AIU's primary function is to conduct audit and non-audit services for the Sheriff's Office. AIU conducts audits and routine compliance inspections on an ongoing basis. The purpose of the audits is to determine compliance with Office policy, promote proper supervision, and support compliance with the Court's Order.

EIU is responsible for the implementation, maintenance, and operation of the EIS and for providing training and assistance to the EIS users. The unit conducts data analysis and where applicable, data input, and follow-up interventions to address problematic conduct and/or operating procedures.

One of the most important functions of BIO is that it enables MCSO to audit and inspect MCSO and MCSO personnel to assure compliance with the Court's Order. Following a review of inspection results, BIO made the following efforts in response to identified deficiencies or drastic changes observed in compliance rates. The goal in this area is to proactively address deficiencies and remedy outstanding issues that negatively affect compliance rates.

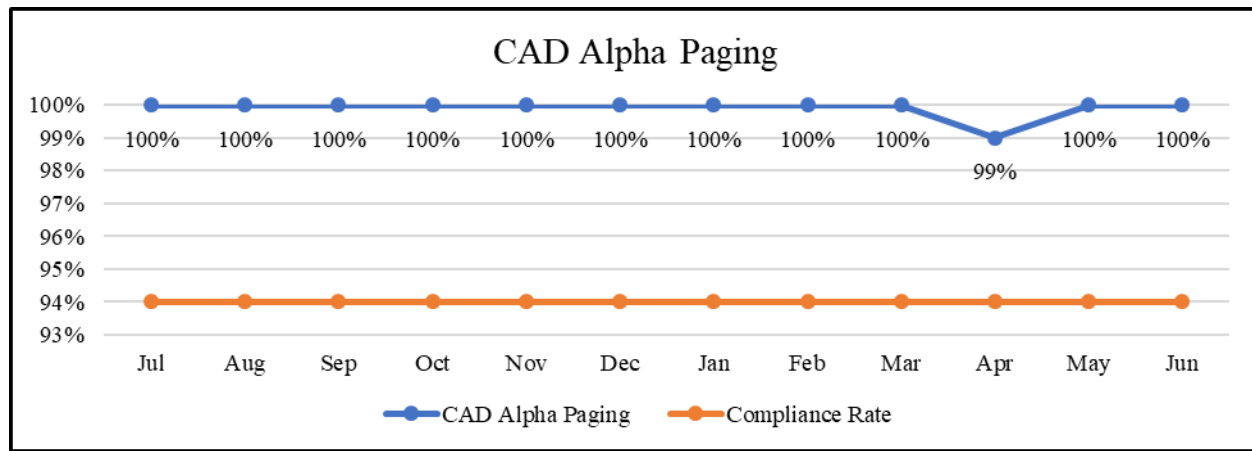
The first area where issues were observed was the June inspection for Complaint Intake Testing. In June, there was a decline in compliance from consistent 100% results down to 50%. Following a review, it was found the deficiency was an isolated issue related to the Communications Division. In response, a checklist was developed that outlined a step by step process to ensure compliance with complaint intake policies. With the issue identified, and listed steps taken to address the issue, it is expected MCSO will regain compliance in this area.

Additionally, the new EIS Alert Inspection indicated there was a consistent issue with compliance for supervisors completing alerts within required timeframes. The compliance rates have fluctuated between 67% to 80% with a spike to 94% in June. BIO has begun implementing processes with hopes to improve results. EIU staff, along with assistance from TSAU, have plans to improve communication with supervisors completing the EIS Alerts which will help facilitate completion of the alerts within required timeframes. These plans include increased TSAU liaisons contact with supervisors upon alert assignment and improved tracking processes for EIU staff.

During this annual review period, BIO completed the following inspections to verify compliance with the Court's Order requirements and identify any deficiencies. Below each inspection is the coinciding compliance of those inspections.

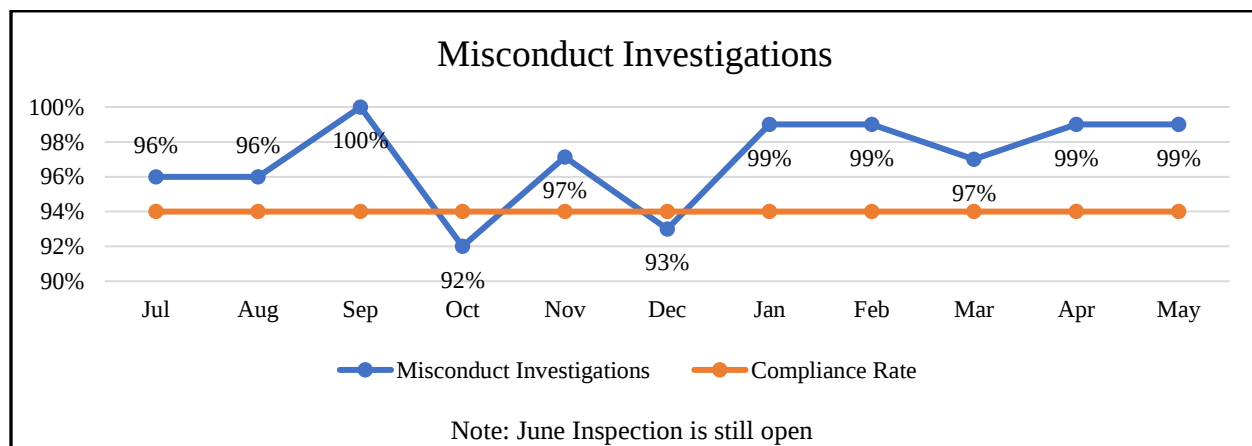
CAD/Alpha Paging Messaging Inspection

CAD Messaging/Alpha Paging System Inspection: The CAD Messaging/Alpha Paging System inspection is to ensure that CAD and Alpha Paging Messaging system entries adhere to Office policy and that those systems were not used by employees to discriminate or denigrate any persons, in compliance with the Court's Order. AIU conducts a CAD Messaging/Alpha Paging Inspection on a monthly basis by selecting a random sample of all CAD messages and Alpha Paging messages.



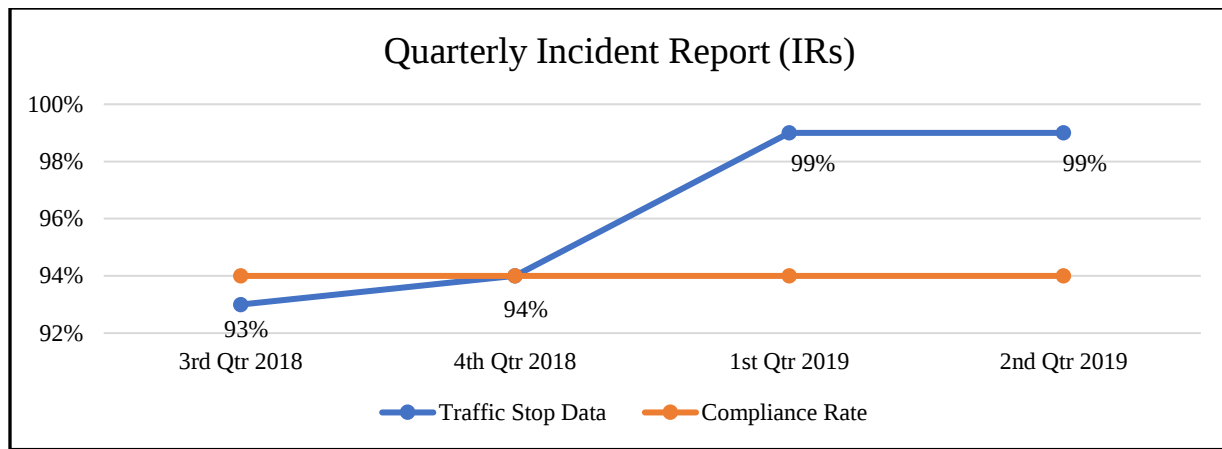
Misconduct Investigations Inspection

The purpose of this inspection is to determine if the selected administrative investigation cases were conducted in compliance with Office policy and in support of the Court's Order. For this inspection, a random sample of 25 closed cases from each month was reviewed. The inspection complies with MCSO Policies GH-2, *Internal Investigations*, GC-17, *Employee Disciplinary Procedure*, GJ-26, *Sheriff's Reserve Deputy Program*, and GJ-27, *Sheriff's Posse Program*, and is consistent with the Court's Order Paragraphs 33, 102, and 104. BIO's semi-annual audit report regarding misconduct investigations as required by Paragraph 253 has been put on hold until a methodology for the inspection is developed and agreed upon. The methodology for this inspection was approved on June 28, 2018. AIU began this inspection with July 2018 data for cases initiated on, or after, December 1, 2017, and closed during the respective month being inspected, with a sample selected by the Monitor. During the January 2019 site visit, it was determined that AIU would alter its timeline for conducting the inspections. The inspections will be conducted two months after the investigations have been closed.



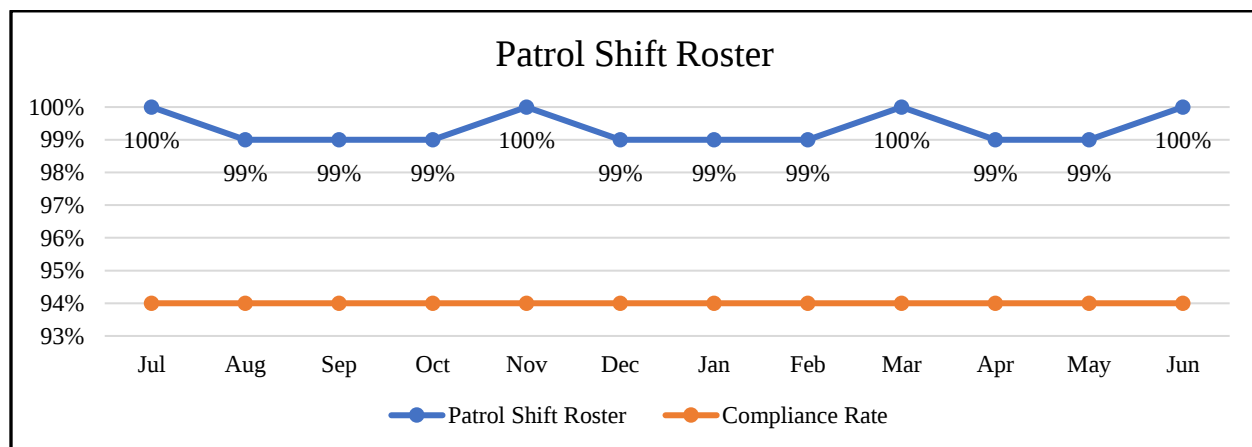
Quarterly Incident Report (IR) Inspection

The Quarterly IR Inspection ensures that IRs adhere to Office policy, federal and state laws, promotes proper supervision, and supports compliance with the Court's Order. AIU completes this inspection on a quarterly basis by taking a sample of IRs provided each month to CID by the Monitor. IRs are uniformly inspected utilizing the AIU matrix. Beginning July 1, 2019, the Quarterly IR Inspection will no longer be conducted independently. Instead, the County Attorney Disposition and the Quarterly IR Inspections are going to be combined into a new Incident Report Inspection. The Incident Report Inspection will be conducted on a monthly basis going forward.



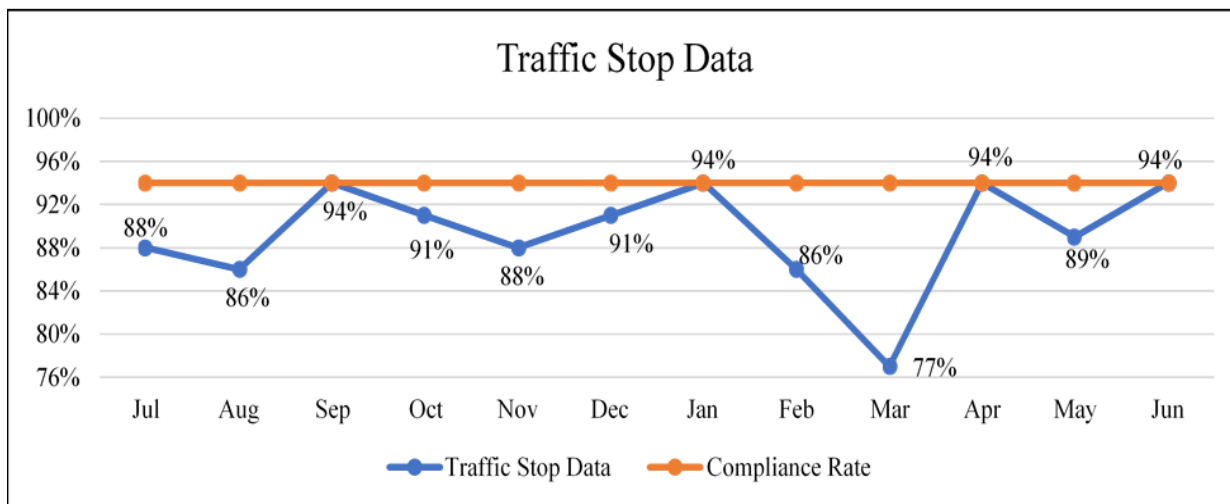
Patrol Shift Roster Inspection

The Patrol Shift Roster inspection is conducted to ensure consistency with Policy GB-2, Command Responsibility, and with Paragraphs 82, 84, and 86 of the Court's Order. This inspection is conducted by reviewing all Patrol Shift Rosters for the month inspected.



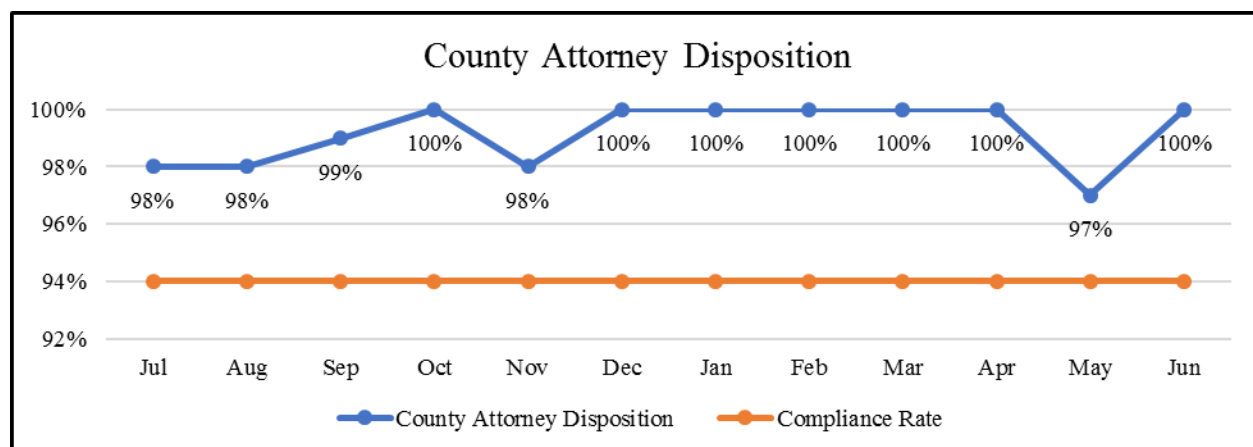
Traffic Stop Data Collection Inspection

The Traffic Stop Data Collection inspection reviews monthly traffic stop data to ensure compliance with Office policy and Paragraphs 54-57 of the Court's Order. This inspection is based on Paragraph 64 of the Court's Order and is conducted using the traffic stop data sample that is randomly chosen by the Monitor Team. This inspection ensures that MCSO: a) collected all traffic stop data to comply with MCSO Policy, EB-2, Traffic Stop Data Collection; b) accurately completed all forms associated to traffic stops; c) closed and validated all TraCS forms; and d) used the correct CAD codes and sub codes.



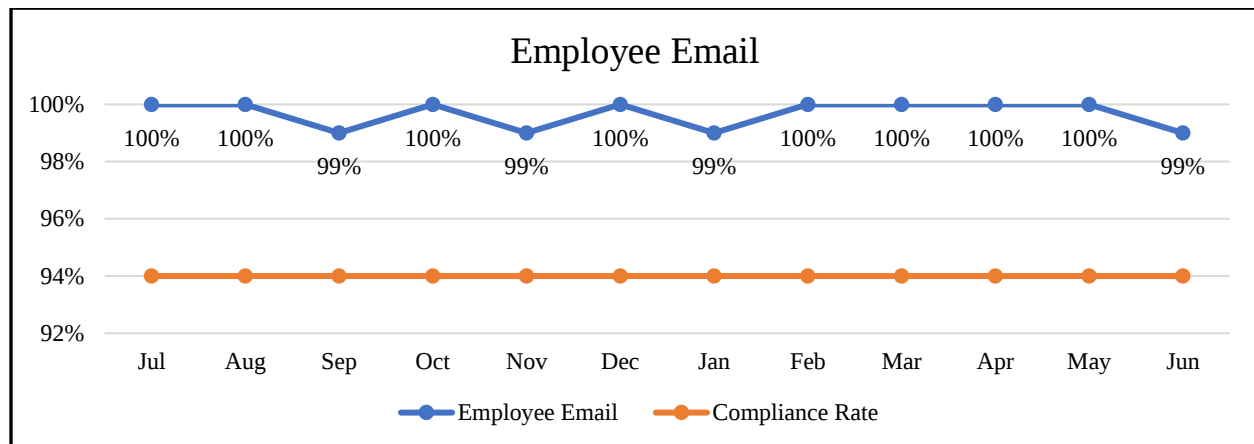
County Attorney Disposition Inspection

The County Attorney Dispositions Inspection is conducted to ensure that there were no irreversible errors in cases declined for prosecution by the prosecuting authority or court. To achieve this, inspectors utilized "IAPro" to generate all County Attorney turndowns processed for the respective month. The County Attorney turndowns are uniformly inspected utilizing the Records Division "FileBound" database and the AIU matrix developed in accordance with Policies GF-4 and ED-3, and the Court's Order Paragraph 75. Beginning July 1, 2019, the County Attorney Disposition Inspection will no longer be conducted independently. Instead, the County Attorney Disposition and the Quarterly IR Inspections are going to be combined into a new Incident Report Inspection. The Incident Report Inspection will be conducted on a monthly basis going forward.



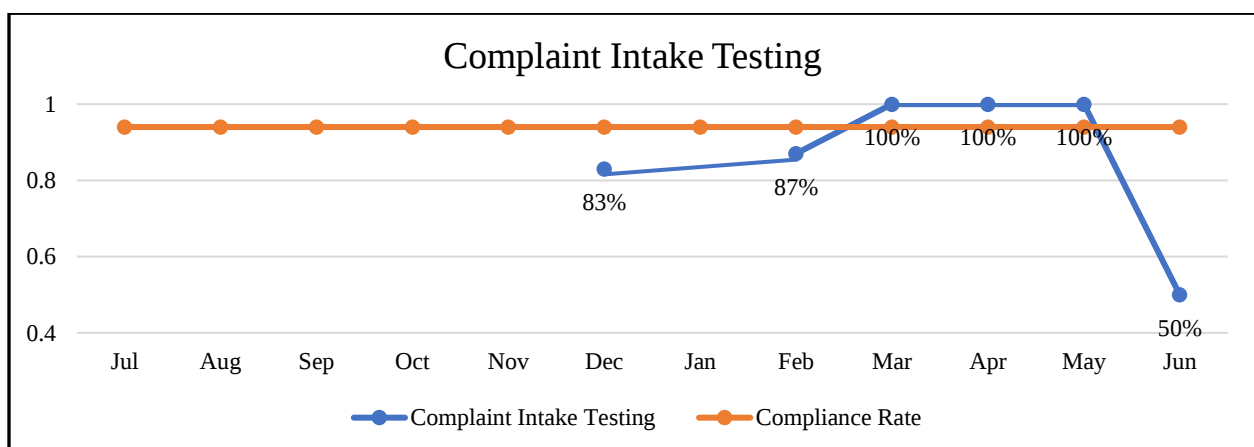
Employee Email Inspection

The Employee Email Inspection is conducted to ensure that employee email accounts are utilized in compliance with Office policy and the Court's Order. This inspection is conducted by reviewing a random sample of Office email accounts for 35 employees during the month inspected, utilizing the AIU matrix.



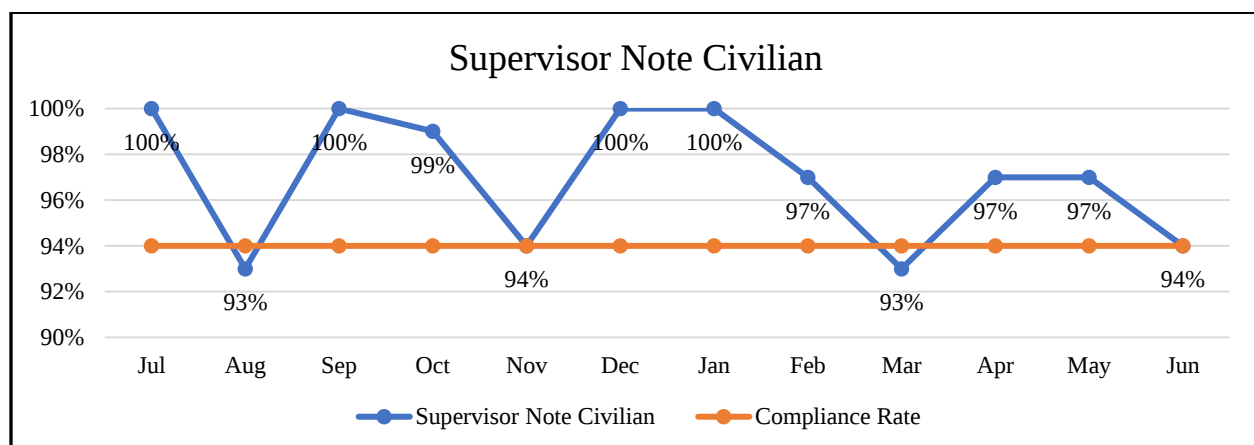
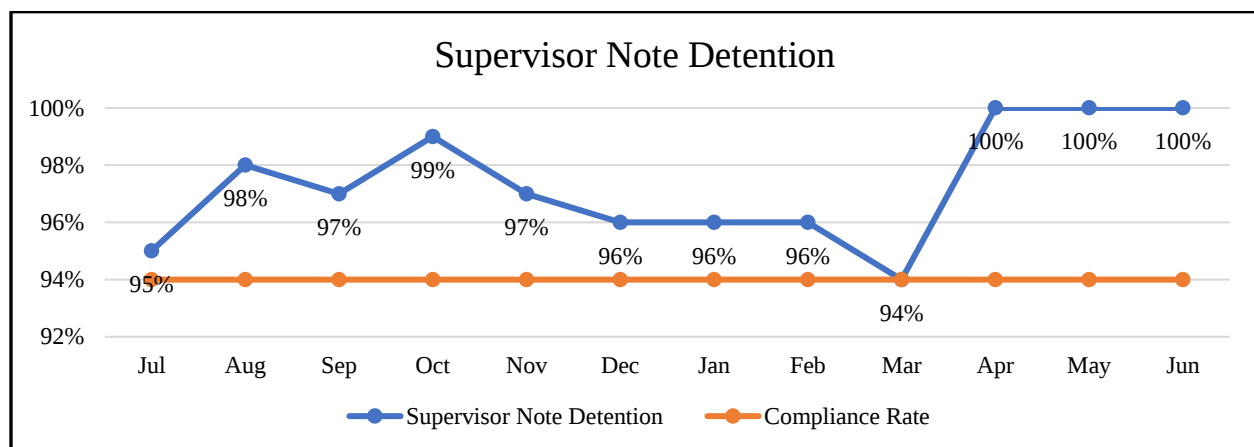
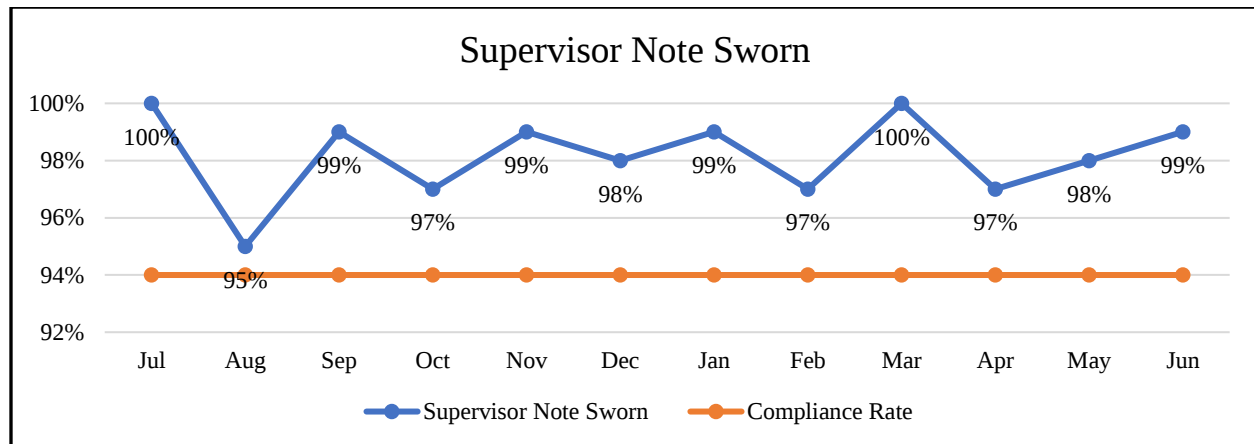
Complaint Intake Testing Inspection

The Complaint Intake Testing Inspection is conducted to ensure consistency with Policy GH-4, BIO, AIU Operations Manual, and with Paragraphs 254-260 of the Court's Order. This testing program is designed to assess whether MCSO employees are providing civilians appropriate and accurate information about the complaint process and whether MCSO employees are notifying PSB upon the receipt of a civilian complaint. The first Complaint Intake Testing Inspection was conducted in December 2018. There were no Complaint Intake Tests conducted during the month of January 2019.



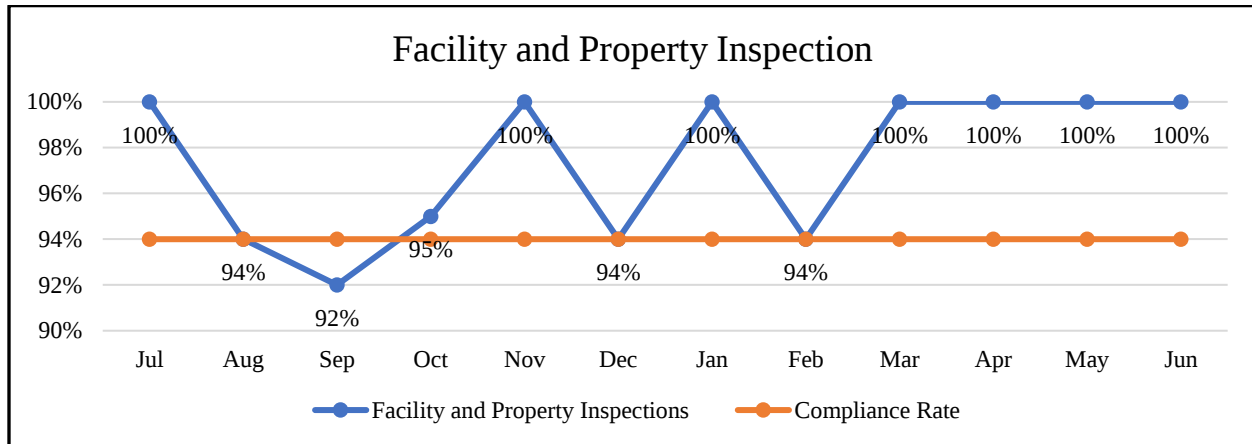
Supervisory Notes Inspection

The Supervisory Notes Inspection is conducted on sworn, detention, and civilian personnel to ensure that Supervisory Note entries in the Blue Team application are compliant with Office Policy and the Court's Order. This inspection is conducted by uniformly inspecting the Supervisor Note entries within the IAPro database for the random employees, utilizing the matrix developed by AIU in accordance with policies CP-8, EA-11, EB-1, and EB-2, GB-2, and GJ-35.



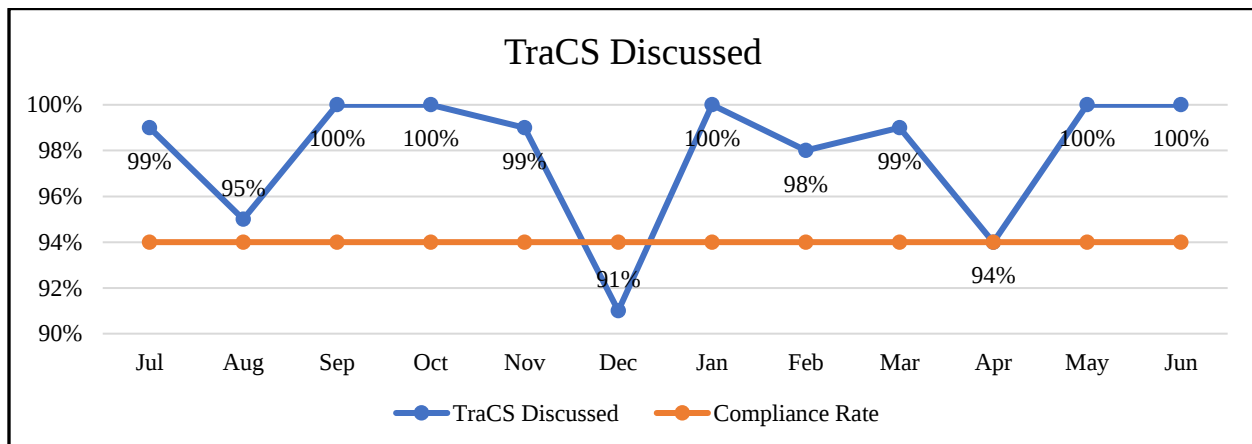
Facility and Property Inspection

The Facility and Property Inspections are conducted to ensure that all MCSO Sworn and Detention facilities are operating within Office Policy and that property and evidence are being properly secured and stored at the respective facility. They additionally ensure that facilities are not being used in any way that discriminates against or denigrates anyone. The Facility and Property Inspection alternates monthly between Sworn and Detention facilities (July-Detention, August -Sworn, etc.)



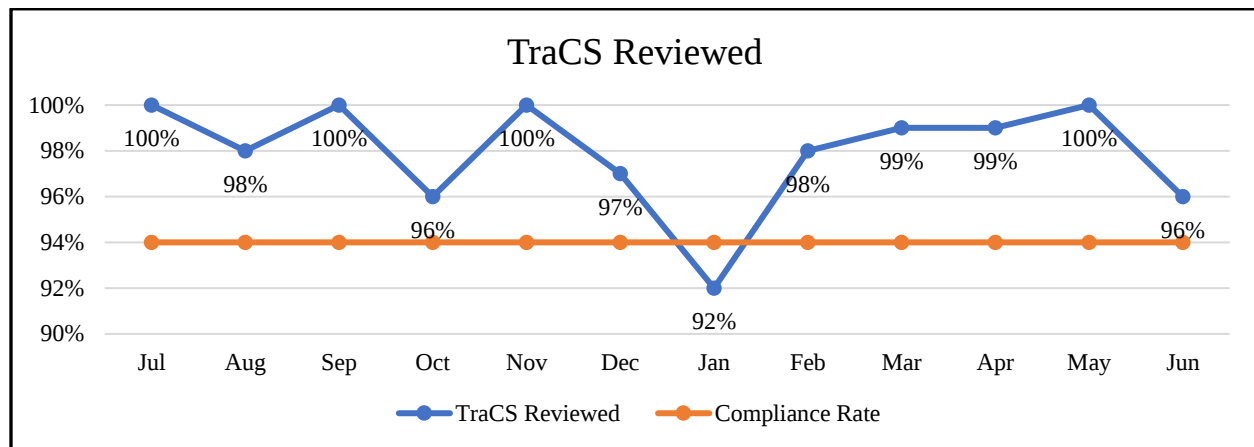
TraCS Discussed Inspection

The TraCS Discussed Inspection is completed to determine supervisory compliance with Office Policy and the Court's Order, as well as to promote proper supervision. This inspection is conducted using the TraCS System to review a sample of randomly selected employee traffic stops from each district, selected by the Monitor. The inspector uniformly inspects the information utilizing the AIU matrix, in accordance with the procedures outlined in Policies EA-11, EB-1 and GB-2.



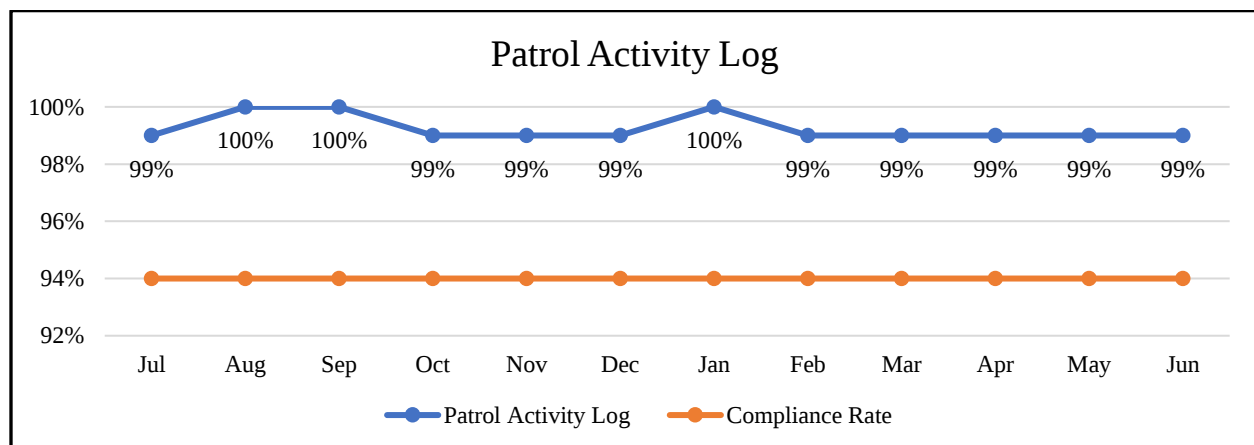
TraCS Reviewed Inspection

The TraCS Reviewed Inspection is completed to determine supervisory compliance with Office Policy and the Court's Order, as well as to promote proper supervision. This inspection is conducted using the TraCS System to review a sample of randomly selected employee traffic stops from each district, selected by the Monitor. The inspector uniformly inspects the information utilizing the AIU matrix, in accordance with the procedures outlined in Policies EA-11, EB-1 and MCSO Administrative Broadcast Number 16-56.



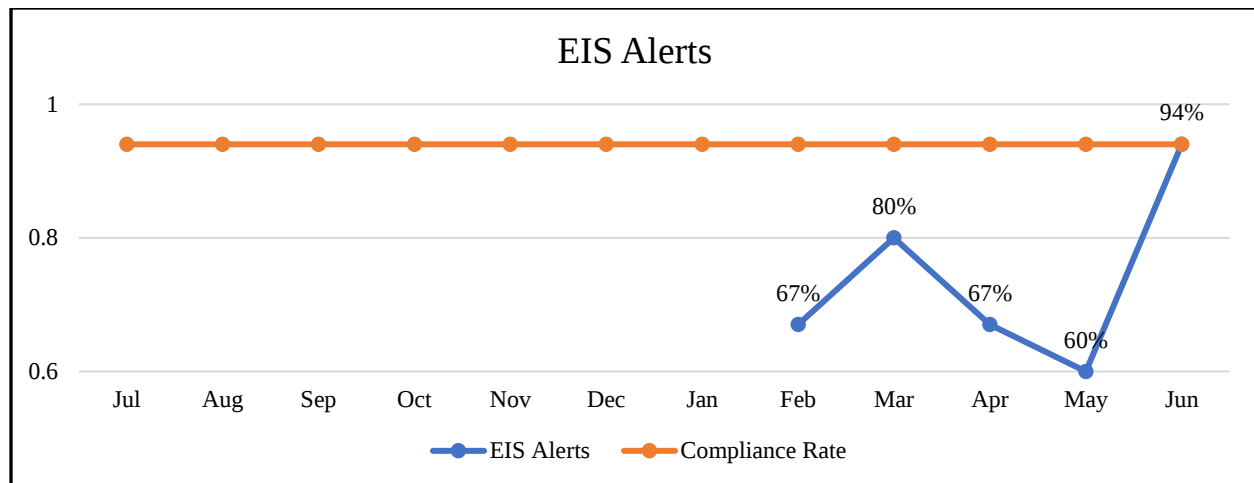
Patrol Activity Log Inspection

The Patrol Activity Log Inspection is conducted to ensure compliance with Office Policy and the Court's Order, as well as to promote proper supervision. Patrol Activity Logs are uniformly inspected utilizing the AIU matrix, in accordance with procedures outlined in MCSO Administrative Broadcast Numbers 16-53, 16-100, and 17-48.



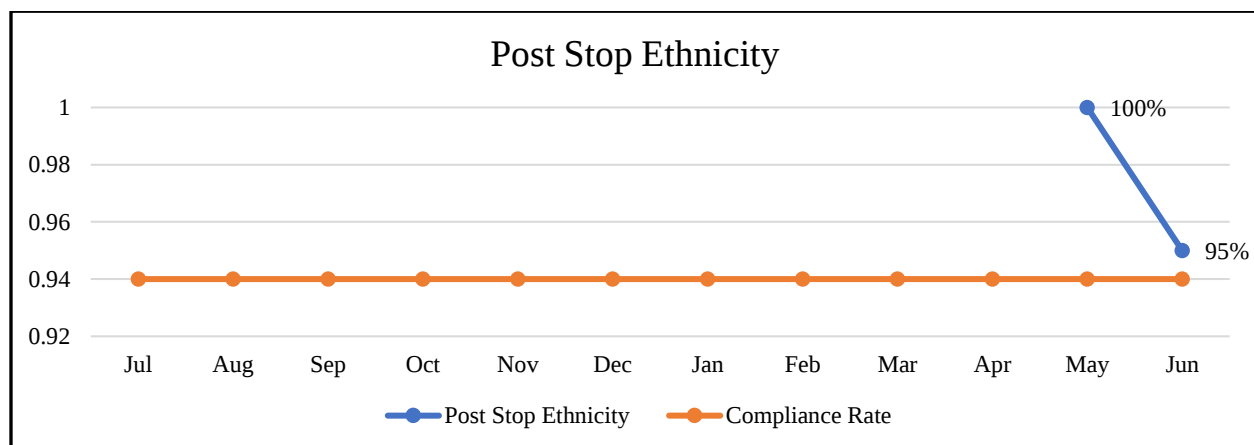
EIS Alerts Inspection

The EIS Alerts Inspection is conducted to ensure consistency with Policies GB-2 and GH-5 and to promote proper supervision. AIU will conduct inspections of the EIS Alerts on a monthly basis. This inspection is designed to access whether MCSO supervisors utilize the IAPro Early Identification case management system by submitting the completed EIS Alerts thru the chain of command via Blue Team to the EIU in the required timeframe (30 days). The first EIS Alerts Inspection was conducted in February 2019.



Post Stop Ethnicity Inspection

The Post Stop Ethnicity Inspection is conducted to ensure that sworn personnel accurately record pre-stop and post-stop ethnicity selections during traffic stops on the Vehicle Stop Contact Forms (VSCFs) and are adhering to Policies EB-1, EB-2, GJ-35, CP-2, CP-5, CP-8. To achieve accurate inspection results, the inspector will utilize data obtained from the TraCS system, Body-Worn Camera video (www.Evidence.com), and a list of Hispanic surnames created by the Criminal Intelligence Division. These entries will be uniformly inspected utilizing a matrix developed by BIO. The first Post Stop Ethnicity Inspection was conducted in May 2019.



Quarterly Bias-Free Reinforcement Inspection

The Quarterly Bias-Free Reinforcement Inspection was conducted to ensure that detention and sworn supervisors unequivocally reinforced to their subordinates that discriminatory policing is unacceptable through documentation in Blue Team Supervisor Note entries or Briefing Note entries in accordance with Office Policy and the Court's Order. However, due to a change in policy in September 2018, this inspection will be conducted on a semiannual basis going forward. The semi-annual inspection report covering January 1, 2019 – June 30, 2019 was being finalized at the time the annual compliance report was drafted.

In an effort to adequately provide the public with current information about the audits and compliance inspections conducted by MCSO, updates are made to the BIO website on a routine basis to meet the requirements of the

Court's Order. All audits and compliance inspections, the current MCSO BIO Policy; GH-4, the organizational chart, and BIO contact information can be found on the BIO website: <http://www.mcsobio.org>.

MCSO is dedicated to achieving full and effective compliance with the Court's Order. Compliance is a top priority for Sheriff Penzone and the leadership he has in place. All believe gaining full and effective compliance with the Court's Order is also the fastest way to ensure MCSO is deploying and following the current best police practices. The work BIO and AIU completes assists in that endeavor.

Annual Policy Assessment

The Policy Development Section of MCSO is comprised of 10 employees, who are responsible for reviewing and revising Office Policies. The ASD Director Tiffani Shaw oversees the Policy Development Section which consists of (1) section commander, (1) detention sergeant, (1) sworn sergeant, (1) detention officer, and (6) management analysts.

All MCSO Policies go through a six-stage process during the review and revision period. These stages consist of review, staff, advance, approval, publication, and electronic distribution. The policy database, Office Policy files, and MCSO publications are reviewed for inclusion, if necessary, within the policy. In addition, input is received from subject matter experts in the affected areas of MCSO, to include command personnel. Each Office Policy is reviewed for proper grammar, sentence structure, and formatting. Office Policies related to the Court's Order are subjected to additional review and approval by the Monitor. Since the amendment of the Second Order, CAB has also played a part in the review of policies to provide recommendations that will increase community trust. Once the Office Policy has been finalized, approval is needed from the Policy Development Section chain of command, the Chief of Staff and the Chief Deputy.

Upon receipt of the Court's Order, and consistent with Paragraph 18 requirements that MCSO deliver police services consistent with the Constitution, and the laws of the United States and Arizona, MCSO continually reviews its Office Policies and Procedures. In fulfillment of its duties and obligations under Federal and Arizona law, MCSO is committed to ensuring equal protection under the law and bias-free policing. To ensure compliance with the Court's Order, MCSO continues to comprehensively review all Office patrol operations policies and procedures, consistent with Paragraph 19 of the Court's Order.

Consistent with the Court's Order, Paragraph 31 requirements regarding MCSO personnel's receipt and comprehension of the Office Policies and Procedures, the Training Division utilizes TheHUB system to distribute and require attestation of all *Briefing Boards* and published Office Policies. TheHUB system memorializes and tracks employee compliance with MCSO Office Policy and Procedures, employees acknowledge they understand and shall abide by the requirements of Office Policies and Procedures. MCSO provides the Critical, Detention, Enforcement, and General Policies through TheHUB as a resource for all MCSO personnel.

During this annual period, the Policy Development Section reviewed, revised, and published 33 Office Policies relative to the Court's Order. These Office Policies were reviewed and approved by the Monitor. (See Table #2):

TABLE 2: DISSEMINATION OF COURT ORDER RELATED POLICIES FOR 2018/2019

Dissemination of Court Order Related Policies		
Policy No.	Policy Name	Published Date
CP-2	Code of Conduct	03/15/2019
CP-3	Workplace Professionalism: Discrimination and Harassment	01/24/2019
CP-5	Truthfulness	04/18/2019

CP-8	Preventing Racial and Other Bias-Based Profiling	09/26/2018
CP-11	Anti-Retaliation	12/13/2018
EA-2	Patrol Vehicles	02/20/2019
EA-3	Non-Traffic Contact	06/28/2019
EA-11	Arrest Procedures	06/18/2019
EB-2	Traffic Stop Data Collection	05/01/2019
EB-7	Traffic Control and Services	03/29/2019
ED-2	Covert Operations	04/04/2019
GA-1	Development of Written Orders	03/28/2019
GB-2	Command Responsibility	06/28/2019
GC-11	Employee Probationary Periods	03/28/2019
GC-12	Hiring and Promotional Procedures	06/14/2019
GC-13	Awards	01/24/2019
GC-16	Employee Grievance Procedures	04/02/2019
GC-17	Employee Disciplinary Procedures	06/27/2019
GD-9	Litigation Initiation, Document Preservation, and Document Production Notices	05/03/2019
GE-4	Use, Assignment, and Operation of Vehicles	06/27/2019
GF-1	Criminal Justice Data Systems	02/20/2019
GF-3	Criminal History Record Information and Public Records	04/03/2019
GH-2	Internal Investigations	06/28/2019
GH-4	BIO Audits and Inspections	2018/2019 SOAR sent to the Monitor Team
GH-5	EIS	2018/2019 SOAR sent to the Monitor Team
GI-1	Radio and Enforcement Communications Procedures	04/03/2019
GI-5	Voiance Language Services	01/04/2019
GI-7	Processing of Bias-Free Tips	06/14/2019
GJ-24	Community Relations and Youth Services	2018/2019 SOAR sent to the Monitor Team
GJ-26	Sheriff's Reserve Deputy Program	06/28/2019
GJ-33	Significant Operations	04/02/19
GJ-36	Use of Digital Recording Devices (Non Body-Worn Cameras)	2018/2019 SOAR sent to the Monitor Team
GM-1	Electronic Communications, Data and Voice Mail	03/07/2019

During this annual period, the Policy Development Section has continued to review and revise the following Office Policies (See Table #3):

TABLE 3: ORDER RELATED POLICIES UNDER REVIEW/REVISION FOR 2018/2019

Order Related Policies Under Review/Revision		
Policy No.	Policy Name	Date Opened
CP-2	<i>Code of Conduct</i>	06/25/2018
CP-3	<i>Workplace Professionalism: Discrimination and Harassment</i>	07/03/2018
CP-5	<i>Truthfulness</i>	06/28/2018
CP-8	<i>Preventing Racial and Other Bias-Based Profiling</i>	06/12/2018
CP-11	<i>Anti-Retaliation</i>	06/12/2018
EA-2	<i>Patrol Vehicles</i>	06/28/2018
EA-3	<i>Non-Traffic Contact</i>	06/27/2018
EA-11	<i>Arrest Procedures</i>	06/27/2018
EB-1	<i>Traffic Enforcement, Violator Contacts, and Citation Issuance</i>	03/08/2018
EB-2	<i>Traffic Stop Data Collection</i>	06/28/2018
EB-4	<i>Traffic Records</i>	01/06/2016
EB-7	<i>Traffic Control and Services</i>	07/05/2018
ED-2	<i>Covert Operations</i>	06/28/2018
ED-3	<i>Review of Cases Declined for Prosecution</i>	06/30/2016
GA-1	<i>Development of Written Orders</i>	08/24/2018
GB-2	<i>Command Responsibility</i>	07/02/2018
GC-4	<i>Employee Performance Appraisals</i>	07/19/2018
GC-7	<i>Transfer of Personnel</i>	07/20/2017
GC-11	<i>Employee Probationary Periods</i>	06/28/2018
GC-12	<i>Hiring and Promotional Procedures</i>	07/19/2018
GC-13	<i>Awards</i>	06/05/2018
GC-16	<i>Employee Grievance Procedures</i>	07/02/2018
GC-17	<i>Employee Disciplinary Procedures</i>	07/02/2018
GD-9	<i>Litigation Initiation, Document Preservation, and Document Production Notices</i>	07/02/2018
GE-3	<i>Property Management and Evidence Control</i>	12/27/2017
GE-4	<i>Use, Assignment, and Operation of Vehicles</i>	03/26/2018
GF-1	<i>Criminal Justice Data Systems</i>	06/28/2018
GF-3	<i>Criminal History Record Information and Public Records</i>	07/02/2018
GF-5	<i>Incident Report Guidelines</i>	08/23/2017
GG-1	<i>Peace Officer Training Administration</i>	07/02/2018
GG-2	<i>Detention/Civilian Training Administration</i>	07/02/2018
GH-2	<i>Internal Investigations</i>	07/16/2018
GH-4	<i>BIO Audits and Inspections</i>	02/15/2017
GH-5	<i>EIS</i>	07/20/2017
GI-1	<i>Radio and Enforcement Communications Procedures</i>	08/29/2018
GI-5	<i>Voiance Language Services</i>	06/06/2018

GI-7	<i>Processing of Bias Free Tips</i>	06/06/2018
GJ-2	<i>Critical Incident Investigations</i>	08/24/2015
GJ-3	<i>Search and Seizure</i>	07/20/2018
GJ-5	<i>Crime Scene Management</i>	08/17/2016
GJ-24	<i>Community Relations and Youth Programs</i>	10/10/2017
GJ-26	<i>Sheriff's Reserve Deputy Program</i>	07/05/2018
GJ-27	<i>Sheriff's Posse Program</i>	10/07/2014
GJ-33	<i>Significant Operations</i>	07/11/2018
GJ-35	<i>Body-Worn Cameras</i>	07/20/2017
GJ-36	<i>Use of Digital Recording Devices (Non Body-Worn Cameras)</i>	09/21/2015
GM-1	<i>Electronic Communications, Data and Voicemail</i>	06/28/2018

During this annual period, the Policy Development Section submitted the following Office Policies to CAB for input/recommendations (See Table #4):

TABLE 4: POLICIES SENT TO CAB FOR INPUT/RECOMMENDATIONS FOR 2018/2019

Policies sent to CAB for input/recommendations		
Policy No.	Policy Name	Date Submitted to CAB
CP-2	<i>Code of Conduct</i>	06/25/2018
CP-8	<i>Preventing Racial and Other Bias-Based Profiling</i>	06/25/2018
CP-11	<i>Anti-Retaliation</i>	06/25/2018
EA-3	<i>Non-Traffic Contact</i>	07/09/2018
EA-11	<i>Arrest Procedures</i>	07/09/2018
EB-1	<i>Traffic Enforcement, Violator Contacts, and Citation Issuance</i>	07/09/2018
GC-13	<i>Awards</i>	06/11/2018
GH-2	<i>Internal Investigations</i>	08/23/2018
GI-5	<i>Voiance Language Services</i>	06/11/2018
GI-7	<i>Processing of Bias-Free Tips</i>	06/11/2018
GJ-24	<i>Community Relations and Youth Programs</i>	02/08/2018

The *Briefing Board* is an official informational publication used by MCSO to announce revised, time-sensitive changes to MCSO Office Policy. The *Briefing Board* has the same force and effect as written Office Policy. In addition, MCSO utilizes the *Administrative Broadcast* publications to announce non-policy related information. During this time period, the Policy Development Section published nine Court's Order related *Briefing Boards*.

The following *Briefing Boards* were published during this reporting period (See Table #4):

TABLE 4: MCSO BRIEFING BOARDS FOR 2018/2019

MCSO Briefing Boards		
BB No.	Subject	Date Issued
BB 18-31	Immediate Policy Change GH-2, <i>Internal Investigations</i>	08/14/18
BB 18-41	Immediate Policy Change GB-2, <i>Command Responsibility</i>	10/29/18
BB 18-42	Immediate Policy Change GE-3, <i>Property Management and Evidence Control</i> , GJ-5, <i>Crime Scene Management</i>	10/31/18
BB 18-47	Immediate Policy Change GB-2, <i>Command Responsibility</i>	12/04/18
BB 18-49	Immediate Policy Change EB-1, <i>Traffic Enforcement, Violator Contacts, and Citation Issuance</i>	12/13/18
BB 18-50	Special Briefing Board – Information Every Employee Needs to Know	12/13/18
BB 19-09	Immediate Policy Change EB-1, <i>Traffic Enforcement, Violator Contacts, and Citation Issuance</i>	03/12/19
BB 19-17	Immediate Policy Change GE-4, <i>Use, Assignment, and Operation of Vehicles</i>	04/05/19
BB 19-29	Immediate Policy Change CP-2, <i>Code of Conduct</i>	06/26/19

Further explanation of the Briefing Boards published during this reporting period:

- MCSO Briefing Board 18-31, published August 14, 2018 announced an immediate policy change to Office Policy GH-2, *Internal Investigations* providing updated procedures to Administrative Investigation Interview Guidelines and Employee Rights to an Observer.
- MCSO Briefing Board 18-41, published October 29, 2018 announced an immediate policy change to Office Policy GB-2, *Command Responsibility* providing updated procedures to the BIO Action Form and Procedures, and Audits and Inspections Unit.
- MCSO Briefing Board 18-42, published October 31, 2018 announced an immediate policy change to Office Policy GE-3, *Property Management and Evidence Control*, and GJ-5, *Crime Scene Management*, providing updates for proper packaging, labeling, impounding, and evidence request procedures of latent prints.
- MCSO Briefing Board 18-47, published December 04, 2018 announced an immediate policy change to Office Policy GB-2, *Command Responsibility* providing updates to the span of control for first-line patrol supervisors.
- MCSO Briefing Board 18-49, published December 13, 2018 announced an immediate policy change to Office Policy EB-1, *Traffic Enforcement, Violator Contacts, and Citation Issuance* providing updates regarding contact with vehicle occupants.
- MCSO Briefing Board 18-50, published December 13, 2018 announced information every employee needs to know. This is an annual announcement to remind all Office employees of their obligations with respect to Office Policies and to reinforce the Office's commitment to ensure full compliance.
- MCSO Briefing Board 19-09, published March 12, 2019 announced an immediate policy change to Office Policy EB-1, *Traffic Enforcement, Violator Contacts, and Citation Issuance* providing updated procedures for submitting Incident Reports under the 910MI radio code.
- MCSO Briefing Board 19-17, published April 05, 2019 announced an immediate policy change to Office Policy GE-4, *Use, Assignment, and Operation of Vehicles* providing updated procedures for routing vehicle accident reporting in Blue Team.

- MCSO Briefing Board 19-29, published June 26, 2019 announced an immediate policy change to Office Policy CP-2, *Code of Conduct* providing updates to prohibited items in secured areas of jail facilities.

During this reporting period, the Policy Development Section has taken major steps toward compliance with the Court's Order by:

- Promulgating CP-8, *Preventing Racial and Other Bias-Based Profiling*, to clearly prohibit discriminatory policing, pursuant to Paragraph 21 of the Court's Order. The Monitor conducted a review of the current Office Policy in effect for October 24, 2017. On September 18, 2018, the Monitor approved the Policy. It was published on September 26, 2018.
- Reviewing and revising policy related to traffic enforcement (EB-2, *Traffic Stop Data Collection*, GH-5, *Early Intervention System*), to prohibit racial profiling in the enforcement of traffic laws, pursuant to Paragraph 25 of the Court's Order.
- Reviewing and revising policies related to detentions and arrests, EA-11, *Arrest Procedures*, to ensure that race or ethnicity is not a factor in establishing reasonable suspicion or probable cause, pursuant to Paragraph 26 of the Court's Order.
- Reviewing and revising policies for pre-planned operations, GJ-33, *Significant Operations* pursuant to Section VI; GB-2, *Command Responsibility* pursuant to Paragraph 83; and GA-1, *Development of Written Orders* pursuant to Paragraph 31 of the Court's Order.
- Reviewing and revising policies and procedures as necessary upon notice of a policy deficiency during audits or reviews, pursuant to Paragraph 34 of the Court's Order.

The Policy Development Section will continue to review all patrol operations policies and procedures and make appropriate amendments as needed to ensure they reflect the Court's Order and remain current with professional standards and the laws of the state of Arizona and the United States Constitution.

During this annual period, the Policy Development Section reviewed approximately 142 MCSO Office Policies in preparation for revision, continued with its annual review of all Critical Policies, and published 54 Briefing Boards and 121 Administrative Broadcasts.

This includes 33 MCSO Office Policies and 9 Briefing Boards that were directly related to the Court's Order. There were no Administrative Broadcasts published that were related to the Court's Order.

Pre-Planned Operations

The Court's Order, Paragraph 36 requires that MCSO develop a written protocol including a statement of operational motivations and objectives, parameters for supporting documentation, operational plans, and instructions for supervisors, deputies, and posse members. To comply with Paragraph 36, MCSO developed and disseminated Office Policy, GJ-33, *Significant Operations*. GJ-33 includes protocol templates and instructions for Significant Operations and Patrols as the Court's Order, Section VI directs. MCSO completed training for this policy on December 31, 2014.

MCSO did not conduct any significant operations during this annual reporting period.

MCSO has been in Phase 1 and Phase 2 compliance with Section V (Pre-Planned Operations) of the First Order which, is delineated in Paragraphs 35-40, since December 31, 2014.

Training

The MCSO Training Division delivered several Court's Order-related courses critical to the overall success of MCSO. MCSO recognizes the importance of Training and how not only will it assist in obtaining Full and Effective compliance, but it is key to ensuring the continued delivery of constitutionally sound policing.

To accomplish the goals towards compliance, the Training Division has continued to evolve and to deliver quality and impactful training. The First Order requires MCSO to develop three types of training: 1) Bias-Free Policing consistent with Paragraphs 48 and 49; 2) Detentions, Arrests, and Immigration-Related Laws consistent with Paragraphs 50 and 51; and 3) Supervisor and Command Level Training consistent with Paragraphs 52 and 53. The Second Order requires MCSO to develop additional misconduct related Training and misconduct investigations training for supervisors consistent with Paragraphs 178-182.

On several occasions during this rating period, members of the Monitor Team have worked with MCSO in a consulting capacity to assist with the development of the training curriculum. These "Technical Assistance meetings" ("TA meetings") are in addition to the quarterly Monitor site visits in which multiple attorneys and representatives of the Plaintiffs and Plaintiff Intervener participate. MCSO found these Monitor/MCSO TA meetings to be extremely fruitful and have a positive effect on the finalization and delivery of training. MCSO has found the collaborative working relationship it has established with the parties extremely helpful towards completing tasks, making reforms, and updating training. However, MCSO does not consider the collaborative spirit we have openly supported to be evidence of a lack of knowledge, ability, or competency on MCSO's behalf. MCSO Training believes this collaborative effort is in the best interest of the reform efforts ordered by the Court.

The Training Division revised MCSO Training Policies, GG-1 and GG-2. The newest version of GG-1 and GG-2 was approved by the Monitor and published in August 2019. MCSO Training is currently working on updating the Operations Manual now that a new policy has been approved. MCSO plans to incorporate many of the Monitor's non-binding suggestions into the operations manual.

The PSB-8 Internal Training course for all investigative personnel assigned to the PSB was approved and delivered on July 18, 2019.

The PSB-8 External Training course for all supervisors who may investigate employee misconduct was submitted to the Monitor and parties in June of 2019. After completing the review process, the curriculum was approved by the Monitor in August of 2019. The Train the Trainer was held on August 22, 2019 and delivery of the training will continue through October 2019.

The 2019 Supervisor Responsibilities: Effective Law Enforcement (SRELE) was sent to the Monitor and parties on or about August 2, 2019. MCSO, the Monitor, and parties are currently working through the training approval process.

The 2019 Annual Combined Training (ACT) is still under development.

The MCSO Training Division heard and considered suggestions that outside vendors be hired to provide Implicit Bias Training. In 2018, MCSO contracted with the Anti-Defamation League (ADL) to provide four hours of the 2018 ACT.

For FY 2018-2019, MCSO Training MCSO delivered a significant amount of Training:

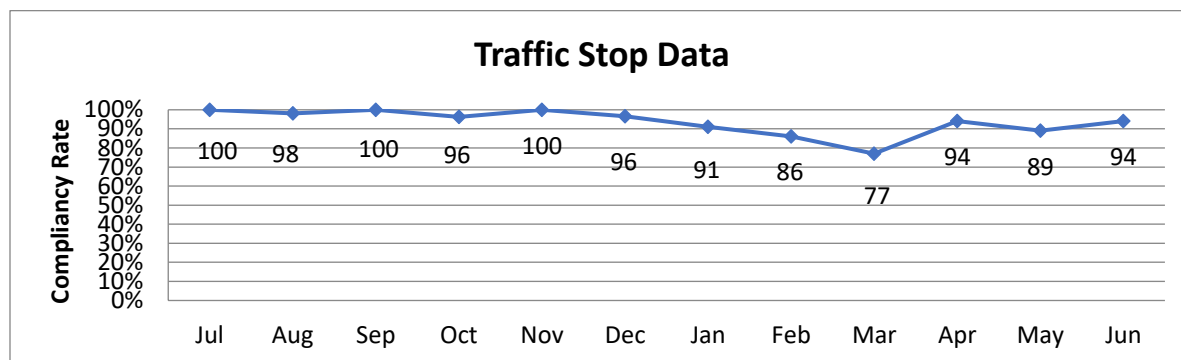
Course Title	Sessions Offered	Students Attended	Hours Completed
Annual Combined Training (18 ACT)	35	1,052	350
Bias Free Policing (12 HR)	3	49	36

Blue Team Entry System	13	183	26
Body Worn Camera	2	41	8
Detention Arrests and Immigration Related Laws (6 HR)	3	50	24
EIS	3	54	30
Internal Investigations Training (PSB40)	2	57	16
Internal Investigations Training (PSB8)	11	185	88
Supervisor Employee Performance Appraisal (EPA)	2	44	18
SRELE	10	144	90
Traffic and Criminal Software TraCS	6	90	36
Traffic and Criminal Software TraCS (Detention)	2	8	10
	92	1,772	732

Traffic Stop Documentation and Data Collection and Review

During this rating period, BIO conducted 12 traffic stop related inspections to comply with the Court's Order, paragraph 64 (See Section III-D). The Monitor chose a random sample of traffic stops for each inspection. The inspections comply with MCSO Policies EB-1, *Traffic Enforcement, Violator Contacts, and Citations Issuance*, and EB-2, *Traffic Stop Data Collection*; and is consistent with the Court's Order, Paragraphs 54 a-m, 55, 56, and 57. Respective division commanders received BIO Action Forms for any deficiencies.

- During the 3rd quarter of 2018, the overall compliance rate for the quarter was 99%. July's compliance rate was 100%, August's compliance rate was 98%, and September's compliance rate was 100%.
- The 4th quarter of 2018 had an overall compliance rate of 97%. The monthly compliance rates were 96% for October, 100% for November, and 96% for December.
- The 1st quarter of 2019 had an overall compliance rate of 84%. The monthly compliance rates were 91% for January, 86% for February and 77% for March.
- The 2nd quarter of 2019 had an overall compliance rate of 92%. The monthly compliance rates were 94% for April, 89% for May and 94% for June.



In addition to the Monthly Traffic Stop Data Inspections completed by BIO, MCSO started a partnership with a new vendor to aid in the analysis and review of Traffic Stops and Traffic Stop Data. CNA was chosen to replace the previous vendor, Arizona State University (ASU), in an effort to continue to improve the analysis and work being done to look at traffic stop behavior and outcomes. CNA is an organization with over 75 years of experience helping federal, state and local law enforcement agencies analyze and improve their organizations in a variety of areas.

MCSO has worked with the Monitor, the parties, and CNA to develop the next TSAR. The methodology for the report was approved by the Monitor in April 2019.¹ The fourth TSAR will be published during the first half of the next fiscal year. The supervisor intervention process will become part of the Traffic Stop Monthly Reports (TSMR) replacing the annual report interventions. This process will allow for more timely interventions. The TSMR is on track to be started during the next fiscal year.

MCSO worked through its response to the ASU traffic stop analysis that was published in June of 2018. This was the third agency-wide comprehensive annual evaluation of traffic stop data. The third TSAR consisted of agency-wide comprehensive analyses of self-initiated traffic stops by deputies for activity from July 1, 2016 through June 30, 2017. MCSO worked collaboratively with the Monitor and parties to establish a supervisory intervention process as an appropriate response to address those identified as statistical outliers in the 3rd TSAR.

¹ As noted above, subsequent to that approval, and after preliminary testing by CNA, CNA and MCSO notified the parties and the Monitor of some adjustments and updates to the approved methodology. MCSO and CNA continue to work with the parties and the Monitor moving forward regarding calibration of the methodology as it is implemented to produce the annual traffic stop report

The Response to the employees identified as statistical outliers in TSAR 3 had a multi-tiered approach to its interventions. Employees who participated in the 3rd TSAR Interventions participated in an Action Plan, a thorough review of traffic stop activity as well as four in person meetings spread over three months with command to discuss the progress and findings.

In an effort to address implicit bias within the agency identified in the TSAR responsive to Paragraph 70, MCSO worked with the Monitor and parties to develop the Plan related to the TSAR Interventions. This involved a series of videos produced by the New York Times that helped with understanding of and ways to manage implicit bias.

MCSO explored the length of stops threshold related to Benchmark 8 (data validation). Initially, there was the two minutes and 600 minutes threshold for the length of stops. A review of the threshold led to the development of a methodology that could help to determine the length of stops threshold. As a result of the methodology, the Monitor approved a quarterly shift in the length of stops threshold, which means the threshold will change every quarter. The change in the quarterly threshold will be determined by result of the length of stops threshold analysis. This analysis was set to provide the upper and the lower bounds for the length of stops threshold. The traffic stops data for the previous quarter will be used in the analysis to determine the length of stops threshold for the following quarter. For example, the traffic stops data for first calendar quarter (January through March) will yield the result for the threshold and the threshold will be applied to the traffic stop validate for the second calendar quarter (April through June). The implication is there will not be any static length of stops threshold for data validation.

During this fiscal year, 80% of BIO's EIU and the Traffic Stop Analysis Unit (TSAU) Operations Manual was approved. There are four sections that will be approved shortly after the new fiscal year. This was a joint effort of BIO working collaboratively with the Monitor and parties. Some of the sections remaining are the definitions section, which will be last to ensure it captures all needed definitions from the entirety of the manual as well as the traffic stop analysis related sections, which are currently in the final stages of development. There are additional sections that are being updated to mirror adjusted procedures and thresholds related to the EIU and TSAU.

EIU Operations Manual:

- Increased completion and approval rate by 43% to 80%; end of fiscal year 2018, approval rate was 37%
- Developed and gained approval of 13 sections:
 - o 301. EIS INCIDENT AND ALLEGATION PROCESS
 - o 302. EIS ALERT PROCESS
 - o 303. EIS INFORMATION DISCLOSURE
 - o 305. TRAFFIC STOP DATA QUALITY CONTROL PROCESS: SOFTWARE CHANGE CONTROL PROCESSES
 - o 307. TRAFFIC STOP WEEKLY ANALYSIS, REPORTING, AND RESPONSES
 - o 310. TRAFFIC STOP ANNUAL ANALYSIS, REPORTING, AND RESPONSES
 - o 311. TRAFFIC STOP ANNUAL REPORT (TSAR) PROCESS
 - o 501. MONITOR DOCUMENT PRODUCTION REQUESTS
 - o 600. TRAINING

Appendix A, C, H, and J

Early Identification System (EIS)

MCSO created EIU on January 20, 2014 to assist in the identification of employees who may exhibit problematic behaviors that, if addressed and corrected, may assist employees in continuing to function in an efficient and productive manner. In addition, EIU supports the effective supervision and management of employees, including the identification of and response to potentially problematic behaviors, including racial profiling and unlawful detentions and arrests, consistent with Paragraph 72 of the Court's Order.

On March 24, 2017, MCSO published the Monitor-approved policy GH-5, Early Identification System (EIS), which provides procedures for an EIS which is designed to identify Office operating procedures that may need reevaluation and to assist supervisors with consistently evaluating employees, conducting performance evaluations, identifying outstanding employee performance, identifying those whose performance warrants further review, intervention, and when appropriate, a referral to PSB for alleged misconduct. It is the policy of the Office to use data from EIS to support effective supervision, evaluation, and management of employees in order to promote lawful, ethical, and professional police practices; to identify behavior that represents a risk to the employee, community or the Office; and to evaluate Office operating procedures.

EIU command regularly works with CID, Training, Human Resources, MCSO Technology Bureau and Policy sections to achieve our shared goals related EIS. Additional assistance is provided by the Monitor, the parties, CNA and CI Technologies.

During this reporting period, the IA Pro system triggered 506 alerts:

- EIU forwarded 238 alerts to supervisors for further review.
- EIU processed and quality-assured the following:
 - Academy Notes – 350
 - Award Recipient – 230
 - Briefing Notes – 2236
 - Coaching - 192
 - Commendations – 1031
 - Critical Incident – 19
 - Data Validation - 52
 - EIS Action - 174
 - EIS Alert - 238
 - Employee Reported Activity - 703
 - Firearms Discharge – 16
 - Forced Entry – 15
 - Higher Award Nomination – 105
 - IR Memorialization – 22
 - Line Level Inspection – 3790
 - MCAO Further Notice - 328
 - MCAO Turndown Notice - 622
 - Minor Award Nomination - 82
 - Performance Assessment Measure – 481
 - Probationary Release- 11
 - Supervisor Notes – 58,085
 - Training Referral- 18
 - Use of Force – 487
 - Vehicle Accident – 179

○ Vehicle Pursuits - 17

During this reporting period, EIU has continued efforts to maintain the day to day basic functions of EIS and utilizes the system to its full potential while continually working to improve EIS through enhancement and modification. Aside from the day-to-day maintenance of EIS, there are numerous ongoing projects that further the EIU goal to improve efficiency and support effective supervision.

Completed efforts this year include improved vetting procedures for alerts generated by EIS and approved procedures for evaluating alert effectiveness. Both efforts will improve the alert process and assist EIU in compliance efforts. The vetting process was developed to ensure that only accurate and appropriate alerts are sent to the field for review. This process both increases the credibility of the alert process while reducing the workload of supervisors in the field. Evaluating alert effectiveness procedures have been approved during this reporting period with plans to develop policies and training in the following year.

Additional ongoing improvements/projects include revision of the EIS supervisor training course, evaluation of current alert thresholds, and addition of resources to the HUB that will assist supervisors in completing alert reviews.

To further improve communication and compliance, EIU and TSAU staff continue to work to implement a liaison program to regularly assist supervisors with alerts and other EIS-related tasks. This program allows supervisors and employees the opportunity to ask questions and provide feedback and will help to improve communication between employees and EIU. This in conjunction with the Alert Review Group will allow EIS to support the effective supervision and management of MCSO employees.

Supervision and Evaluations of Deputy Performance

The Court's Order requires increased deputy supervision and evaluation. The Patrol Bureau Chiefs continue to hold monthly meetings with District Commanders to discuss progress and future measures to further compliance efforts with the Court's Order.

MCSO remains committed to promoting and maintaining a staffing level that ensures compliance with MCSO policy GB-2, *Command Responsibilities* and Paragraph 266 of the Court's Order and every deputy is assigned to a clearly identified Supervisor as required by Paragraph 84. MCSO complies with the requirements of these Paragraphs and is guided in doing so by Policy GB-2, *Command Responsibility*, which states, "First-line Patrol supervisors shall be assigned as primary supervisor to no more persons than it is possible to effectively supervise. First-line Patrol supervisors shall be assigned to supervise no more than eight deputies, but in no event, should a patrol supervisor be responsible for more than ten deputies. If circumstances warrant an increase or decrease in the level of supervision for any unit, squad, or shift, the reason shall be documented in a memorandum."

On September 5, 2017, MCSO published an administrative broadcast launching the Chain of Command program which delineates the reporting structure for every employee in the Office. The program is used to align every employee with their current supervisor so that necessary and/or required documentation is routed/captured by the systems that currently link into the program and is required training for new supervisors:

- Employee Performance Appraisal (EPA)
- EIU alerts
- Transfer Evaluations (EPA)
- Training (HUB) approvals
- BIO Action Form
- EI Pro
- Blue Team entries/reviews

MCSO is optimistic supervisors will utilize the skills and information they gleaned from these courses to promote effective and efficient supervision of subordinates to include the appropriate completion of EPAs.

At the end of the 1st quarter in 2019, MCSO established a work group to explore the current EPA with the goal of streamlining the process, improving its effectiveness in evaluating performance, and gaining compliance with applicable Court's Order Paragraphs. Prior to the formation of the workgroup, the adequate completion of EPAs had been and continues to be points of discussion with Commanders during monthly meetings. While progress has been made regarding the thoroughness of EPAs, the formation of the workgroup was acknowledgement that work must continue.

The workgroup, consisting of several captains, lieutenants, and personnel from Human Resources, met consistently over several months to discuss performance management and develop recommendations to improve the EPA process. Topics evaluated by the workgroup included but were not limited to:

- encouraging a performance management attitude that includes goal setting and performance planning at the beginning of the performance cycle;
- adopting a philosophy of managing to employee competencies and definitions as a replacement to rating dimensions;
- updating the performance management evaluation scale which is currently limited to either "meet standards" or "does not meet standards;"

- assessing the EPA template sections that supervisors are expected to complete to ensure an appropriate number of sections are available to document information necessary to achieving compliance; and
- programming the EPA electronic tool so evaluators experience an efficient and streamlined process that includes ready access to supervisor notes housed in the Blue Team application.

As part of its evaluative process, the workgroup attended a demonstration of the performance management tool currently utilized by other Maricopa County departments to gain insight into potential process and/or system functionality to consider in improving MCSO overall process as well as the tool used to create the current electronic EPA. Further, a subcommittee consisting of sworn supervisors from the EPA workgroup met over the course of multiple weeks for intensive working sessions to develop a writing assistant tool to replace the question format contained within the rating dimensions of the current EPA. The result of the foregoing efforts is a new EPA template and competency level setting tool.

Next steps for MCSO include piloting the new EPA template with a small group of sworn supervisors to see the workgroup recommendations in action and obtain feedback from participants before further work on the process continues. Such future steps are likely to include re-programming the electronic EPA tool to conform to the pilot tested template; updating GC-4, *Employee Performance Appraisals*, to revise guidance to supervisors in the fair, impartial and accurate performance management of all employees, and bringing up-to-date corresponding training curricula to ensure supervisors have the necessary tools and information to successfully manage employee performance.

In addition, during this rating period MCSO, through consultation with the Monitor, sought out any deficient EPAs identified to use as training tools for those responsible for authoring or reviewing. The specific categories utilized by the Monitor to assess compliance with EPAs was discussed and these same categories shared with all commanders to reinforce and encourage structure for developing and reviewing EPAs in the future in order to move toward compliance in these areas.

MCSO continues to improve and expand the capabilities of the TraCS system in order to ensure accountability and consistency agency wide. Some of these enhancements this past year to assist supervisors in effectively and appropriately supervising their subordinates include:

- Upgrades to the TraCS system to provide consistent capabilities for supervisors and deputies including a number of auto population features to ensure procedures are completed and evaluated.
- Development of a case management application to be integrated in FY 2019-2020 to provide supervisors better tools to manage the cases assigned to deputies.

MCSO updated and published Policy GB-2, Command Responsibility, on July 2, 2018. The Policy Development Section provided several updates to this policy over the year to address BIO Action Forms and audits as well as span of control for supervisors. The purpose of this policy is to establish the order of command authority in the absence of the Sheriff, clear lines of authority through unity of command, guidelines for effective span of control, and other elements of command responsibility. It is the policy of the Office to ensure that supervisors, at all levels, provide proper direction, coordination and control of subordinates. Additionally, supervisors shall direct their efforts toward the intelligent and efficient performance of the functions of the Office and shall require their subordinates to do the same.

MCSO is committed to cultivating a professional law enforcement agency and enhancing its enforcement and detention services for our communities and citizens. As MCSO moves forward during this transition, AIU is committed to providing the tools necessary in the improvement of supervision, Policy compliance, and compliance with the Court's Order; with the goal of achieving accountability and maintaining a level of professionalism our employees are held to. It is vital for all leaders to embrace these opportunities to improve and move our agency forward. Employees of AIU recognize the hard work and challenges that lie ahead, and their efforts will be crucial to future successes and the accomplishment of fulfilling the Office mission.

The efforts in the area of Supervision and Evaluation of Performance are recognized as critical to the overall effectiveness of MCSO's efforts to gain compliance. Providing supervisors with the training, tools, and skill sets to ensure proper supervision and evaluation is a priority.

Misconduct and Complaints Annual Report

PSB worked with DOJ to identify a subject matter expert to provide specialized misconduct training to investigators assigned to PSB; and contracted an outside vendor to develop the annual eight-hour continuing training. The PSB-Internal annual training in conducting investigations involving victims of domestic violence, assault, and sexual assault; and the annual eight-hour refresher training for supervisors outside of PSB who conduct misconduct investigations, were completed.

Consistent with the Court's Order, Paragraph 251c, PSB continued to develop a survey in order to collect demographic information from its complainants to ensure that complainants are treated fairly and without bias.

During this reporting period, PSB again experienced an influx of complaints, resulting in a significant backlog of investigations and division case review. PSB attempted to alleviate the workload by implementing the following:

- Complaints alleging inadequate level of service due to manpower or resources, or statutory authority required of MCSO; or a complaint that is not an allegation of employee misconduct, were processed as a service complaint, which requires less investigative action than an administrative investigation.
- Creation of Service Complaint short form-Revision to expedite the process for handling service complaints in which it can immediately be identified that the complaint does not involve an MCSO employee.
- Increased utilization of the PSB Commander's discretion to determine that internal complaints alleging minor policy violations can be addressed without formal investigation if certain criteria exist.
- Implemented a protocol for situations in which witness interviews may not need to be conducted (for example, when there is clear and convincing evidence, without the need to interview some potential witnesses, that misconduct did nor did not occur).
- Implemented a protocol for offering an in-person interview of external complainants, witnesses, and investigative leads, and, when appropriate, conducting interviews over the phone to expedite information gathering.
- PSB engaged supervisors from the Administrative Support Division to assist with the initial case reviews of district investigations; and researching a partnership with Maricopa County Human Resources to initially vet employee relations complaints to determine whether a policy violation occurred.
- Increase in budgeted positions in FY 2018/2019 and 2019/2020 for both sworn, detention and civilian investigators; and administrative support staff.

PSB completed and published its Operations Manual in December 2018. Also, PSB continued to publish on its website the Semi-Annual Public Report of Misconduct (Paragraph 251) and monthly website summaries of completed investigations (Paragraph 252).

To assure that MCSO's actions comply with the Court's Order and the high standards the Office expects, MCSO continued with a multi-step approach to address misconduct and complaints.

- First, PSB continues to review all division level investigations and provide written feedback to division level investigators and their chains of command in order to improve the thoroughness of the investigations, obtain structure and consistency in format, ensure the inclusion of proper forms, and provide assistance with future investigations. The intent of the feedback is to evaluate, educate, assist and provide suggestions for future division level investigations. The PSB also provides feedback regarding the efficiency and thoroughness with which the divisions undertake and complete administrative investigations. PSB reviews division cases for quality control prior to final submission to the appointing authority for final findings.
- A sworn lieutenant and two sworn sergeants are permanently assigned to PSB to act as liaisons with the other divisions. They are tasked with the primary responsibility of reviewing all division level cases for thoroughness and accuracy; providing investigative feedback to the investigator and his chain of command; and documenting and tracking investigative deficiencies, pursuant to the Second Order, Paragraph 211. PSB continues to monitor and track investigative deficiencies that occur at the division level.
- Second, although MCSO revised, disseminated, and delivered the Court's Order-related training (4th quarter 2014), Policy GH-2, Internal Investigations, the PSB worked with the Policy Section to revise Office Policy GH-2, to include additional compliance elements listed in the Second Order. GH-2, Internal Investigations revisions were published in June 2019.

In addition to GH-2, PSB worked with the Policy Section to revise Office Policy GC-17, Employee Disciplinary Procedure, to include revised discipline matrices; and protocols for coaching as a non-disciplinary action between a supervisor and employee that supports an individual in achieving personal and professional goals by providing training, advice and guidance in response to a specific situation. GC-17, Employee Disciplinary Procedure revisions were published June 2019.

Pursuant to Paragraph 275 of the Second Order, the Monitor is vested with the authority to supervise and direct all administrative investigations pertaining to Class Remedial Matters (CRMs). PSB continued to meet with the Monitor to determine and establish protocols on how to proceed with the reporting, investigation, and review of CRM investigations (Paragraph 278). The PSB commander continues to meet weekly with the Monitor to review and discuss CRM investigations and subsequent discipline in sustained investigations.

Consistent with the Court's Order, Paragraph 102, MCSO mandated that any internal or external misconduct allegations must be reported to PSB. Whenever misconduct is alleged, PSB must assign an IA case number. During this reporting period, PSB assigned 629 IA case numbers and completed and closed 371 IA cases. PSB assigned 29 CIA (criminal) cases and closed 32 CIA cases.

Consistent with the Court's Order, Paragraph 102, requiring all personnel to report without delay alleged or apparent misconduct by other MCSO personnel, during this reporting period, PSB received 272 internal complaints, demonstrating compliance with the Court's Order. Of those, 258 were administrative investigations and 14 were criminal investigations. Additionally, PSB received 436 service complaints (Paragraph 188).

Consistent with the Court's Order, Paragraph 32, requiring that all patrol operations personnel report violations of policy; during this reporting period, PSB received 238 complaints from patrol personnel.

Consistent with Court's Order, Paragraph 33, requiring personnel engaging in discriminatory policing to be subject to administrative investigation and discipline; during this reporting period PSB received 25 complaints and completed nine investigations alleging discriminatory policing.

Consistent with the Court's Order, Paragraphs 90, 91, and 249, requiring that PSB track as a separate category, allegations of unlawful stops, searches and seizures, or arrests; during this reporting period PSB received seven complaints and completed one investigation alleging unlawful stops, searches, seizures or arrests.

Consistent with the Court's Order, Paragraph 24, requiring a response to hotline complaints, during this reporting period the PSB received six complaints via the PSB hotline.

Community Engagement

Community Engagement is an area MCSO strives to promote with all employees. Deputies in the field are encouraged to develop positive relationships with community members and local businesses. In furtherance of activities within the communities MCSO serves, the Office created a team specific to promoting and participating in events and activities focused on this type of interaction, this Community Outreach Division (CO_{RD}) is dedicated to this specific area as this is not only a requirement of the Court's Order but in line with Sheriff Penzone's direction to improve and build relationships with in the community in a non-law enforcement environment.

MCSO's quarterly register records community policing activities performed by MCSO Patrol Deputies across the County. During this annual assessment period, the Sheriff's Office registered several hundred events, where combined public attendance exceeded hundreds of thousands. During this same period, MCSO recorded numerous occasions of community policing utilizing the Computer Aided Dispatch System; those engagements totaled over thousands of staff hours and are primarily attributed to the community policing activities of Patrol Deputies.

In all of its endeavors, MCSO puts forth the effort to build sustainable outreach programs, many of which are listed on the MCSO webpage. MCSO also utilizes social media to communicate and share information to the public, including but not limited to events taking place within the community, and information about employees, public safety announcements and recruitments.

There are many programs that benefit community members that are rarely spoken about, such as MCSO's liaison program with the Central American Consulates. This program has facilitated unprecedented access for the Consulate's staff to perform official duties and outreach within the jail system. The collaborative relationship with the Central American Consulates expanded to include their donation of Spanish language books for distribution to Mexican National inmates within the jail system, promoting literacy.

Several community advisory boards have been created at the direction of Sheriff Penzone, in addition to the Court-ordered CAB. These community advisory boards advise the Sheriff on important matters that affect the community as well as being a voice to and for the communities they represent.

There is also a Hispanic Advisory Board that is made up of Dreamers, businesspeople, activists, educators and community leaders. The Sheriff has also formed an African American Advisory Board and an LGBTQ Advisory Board.

As of June 2019, the quarterly community meetings held by MCSO, with the Monitor and Plaintiffs present, were turned back over to the Monitor to oversee (pursuant Order at Doc. 2431). Both MCSO and the Plaintiffs, agreed that the Monitor should oversee the community meetings at this point in time.

These meetings are meant to "inform the community members of the policy changes or other significant actions that the MCSO has taken to implement the provisions of this Order" (Doc. 2431). In addition, these meetings are intended to "rebuild public confidence and trust in the MCSO and in the reform process," and to "improve community relationships and engage constructively with the community" (*Id.*). At the meetings, MCSO will address concerns from the community in reference to the Court's Order, or non-order related questions at the discretion of the Sheriff. MCSO will either provide a venue for the meetings that is acceptable to the Monitor or reimburse the Monitor for expenses incurred. MCSO is eager to continue moving forward with community engagement and share the efforts and accomplishments made towards compliance with the Court's Order.

Some of the highlighted events MCSO has participated in during this rating period include:

During the Month of July 2018, MCSO CO_{RD} partnered with MCAO and Phoenix Police Department for a Coffee with a COP Event in the South Phoenix Community. This event was sponsored by Target/Starbucks. It was well received and several people from the community attended. Command Staff and Officers from each agency attended to answer any questions or concerns from the community.

CORd worked with Mayor Molina of the City of Guadalupe in distributing Silent Witness Brochures to the residents and answered all questions about Silent Witness and MCSO. The Office was able to set up an informational booth and distributed MCSO Brochures, stickers and junior badges. MCSO stayed for three church services and addressed over 250 people.

CORd has partnered with two of the valley's vocational institutions East Valley Institute of Technology and Franklin Police & Fire High School—. Through this united effort, MCSO enjoys interactive physical training opportunities and providing correctional curriculum, which has been adopted by the schools and utilized for instructional purposes to the students. Also, MCSO partnered with Franklin Police & Fire High School to host Arizonians for Children, a non-profit organization for foster children. The event consisted of a classroom activity, which MCSO provided information to the attendee on "Character Counts," and a field day opportunity that involved dividing the youth into group and having a friendly competition of exercises. The participants were rewarded with a BBQ lunch and medals for the winners. All involved in the event considered the event to be a tremendous success and requested that the collaboration be at minimum an annual event. The event had 100 participants.

CORd coordinated a tour and presentations for Moon Valley high school/Police Science class. This presentation started at the MCSO Training Facility. Over 50 students attended this tour. CORd was able to develop an agenda that included a tour of the Jail, Pre-Employment, Video Conference with inmate, Property and Evidence and a tour of the Food Factory. The staff and students said that this was one of their best field trips and they learned a lot about a career in Law Enforcement and life's choices.

CORd participated in three listening sessions that took place in District 1, District 2 and the Training Center. The role of CORd was to primarily listen to the concerns of the attendees and document any action items. As a result of the listening sessions, CORd was able to provide some feedback to the concerns of community leaders. All three of the listening session opportunities drew approximately 12 community leaders per session.

On September 8, 2018, CORd attended the 14th Annual Teddy Bear Day. Historic Glendale & Catlin Court came together to celebrate National Teddy Bear Day, by putting together a fun-filled day of make-and-take arts & crafts and shopping. Bears and More among other shops collected money for the purchase of 12 teddy bears that will be distributed to local trauma teddy bear programs, first responders and emergency rooms, where teddy bears will find a home in the arms of children affected by trauma.

CORd participated in the Franklin PT and Education on September 14, 2018. This was a monthly session with Franklin Police and Fire High School. CORd hosted a PT session that allowed the student to run through the same training provided at a police academy. After the PT session, CORd taught the students "Character Counts". Character Counts is a PowerPoint to teach young adults about the importance of having good character. There were about 120 students and 15 adults in attendance.

CORd Deputy Liaison provided a Domestic Violence Presentation for the Mexico Consulate Office on September 17, 2018

CORd was asked by the staff from the Mexican consulate to give a Domestic Violence Presentation from a Law Enforcement Perspective to women who were in a woman's shelter in Phoenix. This was such an influential and interactive presentation and MCSO received many compliments about the information that was taught. There were approximately 30 people at this event.

CORd conducted an English Community Academy during the month of October. CORd had one of its largest attendances for this class. Almost 30 community members attended the three-day academy. Everyone in attendance stated they had a great time and they learned a lot about the responsibilities of MCSO.

On October 23, 2018 CORd attended a law enforcement community forum at Hamilton School in Chandler, which brought Spanish speaking officers from the following agencies, in addition to MSCO: Phoenix Police Department, Chandler Police Department, Mesa Police Department, Tempe Police Department, Arizona Attorney General's Office. This forum occurs quarterly in different cities across Maricopa County. The forum is facilitated by Jose

Guzman, the founder of the non-profit organization Padres y Parientes de Hijos Asesinados. Mr. Guzman has a substantial following of Spanish speaking community members. The forum was a success with over 200 community members in attendance. It was also mentioned that MCSO does not enforce immigration laws.

On October 30, 2018, COrD and the Public Information Office participated in a live segment of “Contacto Total.” This radio program is broadcast completely in Spanish and is the number one rated Spanish talk show in the metropolitan Phoenix area. Sergeant Vanegas and Officer Caro of MCSO answered questions taken from callers via social media, to include text messages, from the Spanish speaking community. Both representatives provided listeners with requested information and briefly explained some of the day-to-day operations of the Office. It was also mentioned that MCSO does not enforce immigration laws.

On December 8, 2018, COrD participated with Arizona Law Enforcement Officers & Support in a “Shop with a Cop” event. This event created a unique experience for children from ages six to twelve by shopping with uniformed first responders. Prior to shopping at Wal-Mart, children had the opportunity to socialize with the first responder they were partnered with. Several valley agencies participated in the festivities, which included a sit-down breakfast and holiday themed pleasures. MCSO accompanied 12 children, which were selected by patrol officer, children from the Town of Guadalupe and some referrals by the Mexican Consulate.

On December 11, 2018, COrD organized a “Coffee with the Sheriff” that sought out Latina mothers. The event was launched as an opportunity for Latina mothers to share questions and concerns that impact families directly to Sheriff Penzone. The event was well intentioned and attended however a group of activists also attended the event and shared their concerns regarding Immigration and Customs Enforcement in the 4th Avenue Jail. The event was overshadowed by the activists, yet it was a genuine demonstration of community members in attendance utilizing an atmosphere, which was uninhibited, to share their experiences about MCSO to Sheriff Penzone.

On December 13, 2018, Officer Caro of MCSO was invited to participate in a group discussion regarding the topic of domestic violence. The discussion was hosted by Chicanos Por La Causa, a non-profit organization. The attendees were Spanish speaking domestic violence survivors. This forum provided the survivors and opportunity to talk openly about their encounters and ask varying questions, which made for candid conversation and provided the survivors with a sense of security and allowed for comfortable conversation with Officer Caro. It was also mentioned that MCSO does not enforce immigration laws.

On November 5, 2018, MCSO was awarded a National Police Athletic/Activities League Grant for the Guadalupe Boxing Gym. The grant was a partial grant due to the closing of the yearly budget. This approval however allows for the opportunity to apply for the 2019 fiscal year, which is currently being submitted. The funds received in 2018 allowed the Office to enter into an agreement with the Guadalupe Boxing Gym to provide mentorship training to MCSO personnel and offer mentorship to the youth of the Guadalupe Boxing Gym.

On November 3, 2018, the COrD hosted the MCSO Spanish Community Academy to 28 attendees. The attendees are presented with information detailing the many different functions of MCSO, to include Aviation Services Division, Civil Process Services, BIO, CID, Cyber-Crimes Investigations and Enforcement Support Division. COrD also provided a thorough explanation of the annual training Deputies and Detention Officers receive regarding the 4th & 14th amendment. Additionally, there were classroom tours of the Food Factory, Lower Buckeye Jail, and an interactive experience at the MCSO firearms range. This was the largest Spanish speaking academy to date.

In January 2019, the COrD began discussions with the Boys and Girls Club of Arizona Guadalupe Branch along with Tempe Police Department. The conversations were centered around creating a soccer league between the three organizations. By the end of January, a plan was in place and the league commenced and will culminate in May 2019 with a tournament taking place in the Town of Guadalupe. The Boys and Girls Club has three locations that have a team participating with a team being coached by law enforcement officers. The Guadalupe team receives its coaching by two MCSO Deputies.

On January 12, 2019 COrD participated in planting a Little Library at the Arizonan's for Children Foster Center in Phoenix. The concept of the little library is for children in the community to "take a book, leave a book." This program helps children see law enforcement in a positive perspective and engage with foster children that may have had a negative experience in the past. The Office also donated approximately 500 children's books to Arizonan's for Children during this event to ensure children in attendance would have an opportunity to take a book home.

Sergeant Gunn-Roman of MCSO assisted with coordinating the initial Neighborhood watch program for Districts 1, 2, 3 and 6. District 6 partnered with local community members for their Neighborhood Watch Program. MCSO deputies enlisted the help from residents in a cooperative effort to reduce crime in their communities by developing strong neighborhoods, through encouraging communication.

On April 2, 2019, Liaison Gomez of MCSO participated in a meeting with Guadalupe Mayor Valerie Molina. In the meeting several items of discussion were shared regarding the town and services the Office can assist in implementing. A few of those concerns were juvenile curfew, abandoned cars, illegal dumping campaign, and a service clean-up day. Captain Letourneau of MCSO was also in attendance at the meeting and assisted with providing direction the Office will take in addressing the above-mentioned items. COrD will assist in developing the service clean-up day and hopes to partner with the United Way in this endeavor. At the conclusion of the meeting a future meeting date was set to allow for follow-up on the action items.

On April 24, 2019, COrD and Joe Genovese from Sleep in Heavenly Peace delivered two bunk beds to Tashell Johnson's family. MCSO, along with community volunteers, had previously come together to build the bunkbeds a few weeks prior. Tashell endlessly thanked everyone involved to ensure that no child in our community is sleeping on the floor.

On May 8, 2019 COrD conducted an interview with Univision 10pm News. The interview was done during a segment meant for members of the community. MCSO talked about Lake safety due to the summer and the amount of people visiting the lakes and rivers covered by MCSO. Water safety tips and precautions were given to viewers all over the state of Arizona.

On May 14, 2019 COrD collaborated with District 3 personnel to host a community meeting in Aguila. The meeting was open to the public and consisted of mainly Spanish-speaking residents. COrD Deputy Martinez and Officer Caro facilitated the translation for this meeting. Approximately 40 community members in attendance had an opportunity to ask questions to patrol staff and command staff assigned to that area. Members in attendance had great questions that were addressed by all personnel on site. Approximately 24 hours after the conclusion of the meeting, Aguila Branch Library Manager William Dudley emailed District 3 Commander Captain Frank Williams thanking MCSO for hosting the meeting and stated that it boosted morale within the community.

June 3-6, 2019, COrD hosted the Camp Franklin Program. This was the inaugural year for the program. The concept of the program was introduced by Franklin Police & Fire High School Principal Mr. Cabrera. He requested MCSO host a weeklong interaction with the incoming Freshman male students. He requested we discuss topics related to decision making, accountability, responsibility and character. COrD presented lessons to the students discussing topics of knowing their rights, detention, lakes patrol, and interacting with the students on an individual level by showing them the many different aspects to policing.

June 10-27, 2019, COrD participated in the Pathways to Justice Careers Program. This is COrD's second year with the program. COrD team members are accordingly versed in the presentations and the requirements to complete a successful program. COrD again interacted with the students on an individual level and shared the many different aspects of policing.

On June 19, 2019, an example of building sustainable relationships with community members and local Law Enforcement agencies was put on full display. MCSO showed unilateral support with the Phoenix Police Department and community members by attending a Town Hall Meeting at Pilgrim Rest Church. This meeting

was called to address community concerns involving allegations of racial bias, police misconduct, and ways to create change. While attending this community meeting of approximately 2000-3,000 people, several members from MCSO's African American Advisory Board stood up and offered ideas and suggestions for change. It was apparent that these ideas for change were based on the members' experience gained by being on the MCSO Board.

On June 27, 2019, COrD conducted an interview with Jose Guzman who is the Founder of Stop the Violence victims of crimes. The interview was viewed live on Facebook/Radio and their YouTube channel. The interview was about getting to know the Sheriff's Office, reporting crime and trusting the Office. Mr. Guzman asked COrD to conduct a monthly interview with him to discuss various topics for the next several months.

On June 29, 2019, MCSO attended Pastor Magdalena Schwartz's Spanish speaking chaplaincy school. Pastor Schwartz is the Director of the East Valley Christian leadership alliance and requested MCSO to speak to her class of approximately 45 students. Chaplaincy students received the presentation regarding the positive changes and reforms within the Office. During the presentation, 25 students enlisted in the Spanish Speaking Community Academy to expand their knowledge of MCSO's day-to-day operations. Lastly, a tour of the 4th Avenue Jail was scheduled for Saturday, July 13, 2019 to provide students insight on how they may participate in providing volunteer religious services to the Spanish-speaking inmates in our custody.

Appendix A: MCSO Melendres Court Order Compliance Chart

Reporting Dates:		07/01/2018-09/30/2018		10/1/2018-12/31/2018		01/01/2019-03/31/2019		04/1/2019-06/30/2019		
Publish Date:		February 20, 2019		May 14, 2019		July 29, 2019		Pending Monitor's Report		
Paragraph No.	Requirement	18th Report		19th Report		20th Report		21st Report		Date of Full Compliance
		Phase 1	Phase 2	Phase 1	Phase 2	Phase 1	Phase 2	Phase 1	Phase 2	
Section III. MCSO Implementation Unit and Internal Agency-wide Assessment										
9	Form a Court Order Implementation Unit	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2015
10	Collection and Maintenance of All Data and Records	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2015
11	MCSO Quarterly Report	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2015
12	MCSO Annual Internal Assessment - Information	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2015
13	MCSO Annual Internal Assessment - Dates/Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2015
Section IV. Policies and Procedures										
19	Conduct Comprehensive Review of All Patrol Policies and Procedures	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2018
21	Create and Disseminate Policy Regarding Biased-Free Policing	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	Pending	Pending	12/31/2016
22	Reinforce Discriminatory Policing is Unacceptable	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
23	Modify Code of Conduct Policy (CP-2): Prohibited Use of County Property	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2015
24	Ensure Operations are Not Motivated, Initiated, or Based on Race or Ethnicity	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2017
25	Revise Policies to Ensure Bias-Free Traffic Enforcement	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2017
26	Revise Policies to Ensure Bias-Free Investigatory Detentions and Arrests	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2015
27	Remove LEAR Policy from Policies and Procedures	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2014
28	Revise Policies Regarding Immigration- Related Law	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2014
29	All Policies and Procedures shall Define Terms Clearly, Comply with Applicable Law and Order Requirements, and Use Professional Standards	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	12/31/2014
30	Submit All Policies to Monitor within 90 Days of Effective Date; and Have Approval by Monitor Prior to Implementation	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	12/31/2014

31	Ensure Personnel Receive, Read, and Understand Policy	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2016
32	All Personnel shall Report Violations of Policy; and Employees shall be Held Accountable for Policy Violations	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
33	Personnel Who Engage in Discriminatory Policing shall be Subject to Discipline	In Compliance	Not in Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2017
34	On Annual Basis, Review Policy and Document It in Writing	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2015
Section V. Pre-Planned Operations										
35	Monitor shall Regularly Review Documents of any Specialized Units Enforcing Immigration- Related Laws to Ensure Accordance with Law and Court Order	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	09/30/2015
36	Ensure Significant Ops or Patrols are Race- Neutral in Fashion; Written Protocol shall be Provided to Monitor in Advance of any Significant Op or Patrol	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2014
37	Have Standard Template for Op Plans and Standard Instructions for Supervisors, Deputies, and Posse Members	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2014
38	Create and Provide Monitor with Approved Documentation of Significant Op within 10 Days After Op	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2014
40	Notify Monitor and Plaintiffs within 24 hrs. of any Immigration Related Traffic Enforcement Activity or Significant Op Arrest of 5 or More People	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2014
Section VI. Training										
42	Selection and Hiring of Instructors for Supervisor Specific Training	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2018
43	Training at Least 60% Live Training, 40% On- line Training, and Testing to Ensure Comprehension	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
44	Training Schedule, Keeping Attendance, and Training Records	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
45	Training may Incorporate Role-Playing Scenarios, Interactive Exercises, and Lectures	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	6/30/2016
46	Curriculum, Training Materials, and Proposed Instructors	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	6/30/2016

47	Regularly Update Training (from Feedback and Changes in Law)	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
48	Bias-Free Policing Training Requirements (12 hrs. Initially, then 6 hrs. Annually)	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	12/31/2014
49	Bias-Free Policing Training Shall Incorporate Current Developments in Federal and State Law and MCSO Policy	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	12/31/2014
50	Fourth Amendment Training (6 hrs. Initially, then 4 hrs. Annually)	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	12/31/2014
51	Fourth Amendment Training Shall Incorporate Current Developments in Federal and State Laws and MCSO Policy	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	12/31/2014
52	Supervisor Responsibilities Training (6 hrs. Initially, then 4 hrs. Annually)	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	9/30/2016
53	Supervisor Responsibilities Training Curriculum	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	9/30/2016
Section VII. Traffic Stop Documentation and Data Collection and Review										
54	Collection of Traffic Stop Data	In Compliance	Deferred	In Compliance	Deferred	In Compliance	Deferred	Pending	Pending	
55	Assign Unique ID for Each Incident/Stop, So Other Documentation Can Link to Stop	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	09/30/2014
56	Maintaining Integrity and Accuracy of Traffic Stop Data	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Pending	Pending	
57	Ensure Recording of Stop Length Time and Providing Signed Receipt for Each Stop	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
58	Ensure all Databases Containing Individual-Specific Data Comply with Federal and State Privacy Standards; Develop Process to Restrict Database Access	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2016
59	Providing Monitors and Plaintiffs' Representative Full Access to Collected Data	Not Applicable	In Compliance	Not Applicable	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2014
60	Develop System for Electronic Data Entry by Deputies	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2015
61	Installing Functional Video and Audio Recording Equipment (Body-Cameras)	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2016
62	Activation and Use of Recording Equipment (Body-Cameras)	In Compliance	Not in Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018
63	Retaining Traffic Stop Written Data and Camera Recordings	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2016

64	Protocol for Periodic Analysis of Traffic Stop Data and Data Gathered for Significant Ops	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Pending	Pending	
65	Designate Group to Analyze Collected Data	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
66	Conduct Annual, Agency-Wide Comprehensive Analysis of Data	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
67	Warning Signs or Indicia of Possible Racial Profiling or Other Misconduct	In Compliance	Deferred	In Compliance	Deferred	In Compliance	Deferred	Pending	Pending	
68	Criteria for Analysis of Collected Patrol Data (Significant Ops)	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2014
69	Supervisor Review of Collected Data for Deputies under Their Command	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
70	Response to/Interventions for Deputies or Units Involved in Misconduct	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
71	Providing Monitor and Plaintiffs' Representative Full Access to Supervisory and Agency Level Reviews of Collected Data	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	06/30/2014
Section IX. Early Identification System (EIS)										
72	Develop, implement, and maintain a computerized EIS	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
73	Create Unit or Expand Role of MCSO IT to Develop, Implement, and Maintain EIS	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2017
74	Develop and Implement Protocol for Capturing and Inputting Data	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
75	EIS shall Include a Computerized Relational Database	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	In Compliance	Pending	Pending	
76	EIS shall Include Appropriate ID Info for Each Deputy	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
77	Maintaining Computer Hardware and Software, All Personnel Have Ready and Secure Access	Not Applicable	In Compliance	Not in Compliance	In Compliance	Not Applicable	In Compliance	Pending	Pending	12/31/2014
78	Maintaining All Personally Identifiable Information	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2017
79	EIS Computer Program and Hardware will be Operational, Fully Implemented, and Use in Accordance with Policies and Protocol	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
80	EIS Education and Training for all Employees	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2017
81	Develop and Implement Protocol for Using EIS and Information Obtained from It	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	

Section X. Supervision and Evaluation of Officer Performance										
83	Provide Effective Supervision of Deputies	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2017
84	Adequate Number of Supervisors (1 Field Supervisor to 12 Deputies)	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2016
85	Supervisors Discuss and Document Traffic Stops with Deputies	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2017
86	Availability of On-Duty Field Supervisors	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2017
87	Quality and Effectiveness of Commanders and Supervisors	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
88	Supervisors in Specialized Units (Those Enforcing Immigration-Related Laws) Directly Supervise LE Activities of New Members	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2015
89	Deputies Notify a Supervisor Before Initiating any Immigration Status Investigation and/or Arrest	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2016
90	Deputies Submit Documentation of All Stops and Investigatory Detentions Conducted to Their Supervisor By End of Shift	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2017
91	Supervisors Document any Investigatory Stops and Detentions that Appear Unsupported by Reasonable Suspicion or Violate Policy	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
92	Supervisors Use EIS to Track Subordinate's Violations or Deficiencies in Investigatory Stops and Detentions	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
93	Deputies Complete All Incident Reports Before End of Shift. Field Supervisors Review Incident Reports and Memorialize Their Review within 72 hrs. of an Arrest	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2016
94	Supervisor Documentation of Any Arrests that are Unsupported by Probable Cause or Violate Policy	In Compliance	In Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
95	Supervisor Use EIS to Track Subordinate's Violations or Deficiencies in Arrests and the Corrective Actions Taken	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
96	Command Review of All Supervisory Review Related to Arrests that are Unsupported by Probable Cause or Violate Policy	In Compliance	In Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
97	Commander and Supervisor Review of EIS Reports	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	

98	System for Regular Employee Performance Evaluations	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
99	Review of All Compliant Investigations, Complaints, Discipline, Commendations, Awards, Civil and Admin. Claims and Lawsuits, Training History, Assignment and Rank History, and Past Supervisory Actions	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	In Compliance	Pending	Pending	3/30/2019
100	Quality of Supervisory Reviews Taken into Account in Supervisor's Own Performance Evaluation	In Compliance	In Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
101	Eligibility Criteria for Assignment to Specialized Units	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2015
Section XI. Misconduct and Complaints										
102	Reporting Alleged or Apparent Misconduct	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
103	Audit Check Plan to Detect Deputy Misconduct	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Pending	Pending	
104	Deputy Cooperation with Administrative Investigations	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2016
105	Investigator Access to Collected Data, Records, Complaints, and Evaluations	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2017
106	Disclosure of Records of Complaints and Investigations	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	12/31/2015
Section XII. Community Engagement										
109	As part of its Community Outreach and Public Information program, the MCSO shall hold at least one public meeting per quarter to coincide with the quarterly site visits by the Monitor in a location convenient to the Plaintiffs class (supervision returned to the Monitor pursuant to Court order dated June 3, 2019 (Doc. 2341).	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2018
110	Monitor to address community members' concerns at community meetings per Court order dated June 3, 2019 (Doc. 2341). MCSO may respond to non Melendres questions at meetings at Sheriff's sole discretion. (<i>Id.</i>)	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2018
111	English and Spanish-speaking Monitor Personnel shall attend these meetings and be available to answer questions from the public about the Monitor's publicly available reports concerning MCSO's implementation of the Court's Order. (<i>Id.</i>)	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2018

112	At least ten days before such meetings, the Monitor shall widely publicize the meetings in English and Spanish after consulting with Plaintiffs' representatives and CAB regarding advertising methods. (<i>Id.</i>)	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2018
113	MCSO shall select or hire a Community Liaison who is fluent in English and Spanish. The hours and contact information of the MCSO Community Outreach Division (COD) shall be made available to the public including on the MCSO website.	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2018
114	COD shall coordinate the district community meetings and provide administrative support for, coordinate and attend meetings of the Community Advisory Board and compile any complaints, concerns and suggestions submitted to the COD. Communicate concerns received from the community with the Monitor and MCSO leadership.	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2018
115	MCSO and Plaintiffs' representatives shall work with community representatives CAB to facilitate regular dialogue between MCSO and the community.	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2018
116	CAB members must be selected by MCSO and Plaintiffs' representatives.	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2018
117	The Monitor shall coordinate the meeting as dictated by the CAB members and provide administrative support for the CAB (<i>Id.</i>).	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2018
118	CAB members will relay or gather community concerns about MCSO practices that may violate the Order and transmit them to the Monitor and MCSO for investigation and/or action (<i>Id.</i>)	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2018
SECOND ORDER Section XV. Misconduct Investigations, Discipline and Grievances										
165	Conduct comprehensive review of all policies, procedures, manuals and written directives related to misconduct investigations, employee discipline and grievances	Not Applicable	Deferred	Not Applicable	Deferred	Not Applicable	Deferred	Pending	Pending	
167	Ensure provision of policies pertaining to any and all reports of misconduct	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
168	All forms of alleged reprisal, discouragement, intimidation, coercion or adverse action against any person reporting or attempting to report	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017

	misconduct is strictly prohibited									
169	Ensure policies identify no retaliation to an employee for reporting misconduct	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
170	Ensures completed investigations of all complaints including third-party and anonymous complaints and allegations	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
171	Ensures administrative investigations are not terminated due to withdrawal, unavailability or unwillingness of complainant	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
172	Provide instruction to employees that all relevant evidence and information for investigations be submitted and intentional withholding shall result in discipline	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
173	Ensure disciplinary checks are conducted by PSB prior to any promotion process	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2018
174	Ensure disciplinary history is considered and documented prior to hiring, promotion and transfers	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2017
175	Ensure Commanders review disciplinary history who are transferred to their command in timely fashion	In Compliance	Not in Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/30/2018
176	Quality of IA investigations and Supervisors review of investigations be taken into account in performance evaluations	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
177	Removal of name-clearing hearings and referenced as pre-determination hearings	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
178	Provide 40 hours of comprehensive training to all Supervisors and PSB staff for conducting employee misconduct investigations	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	12/31/2017
179	Provide 8 hours annually of in-service to all Supervisors and PSB staff for conducting misconduct investigations	Not in Compliance	Deferred	Not in Compliance	Deferred	In Compliance	In Compliance	Pending	Pending	3/30/2019
180	Provide training to all employees on MCSO's new or revised policies related to misconduct investigation, discipline and grievances	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2017
181	Provide adequate training to all employees to properly handle civilian complaint intake and providing information	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2017

182	Provide adequate training to all Supervisors as their obligations to properly handle civilian complaints	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2017
184	Standards will be clearly delineated in policies, training and procedures. Samples must be included	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2017
185	Any allegation of misconduct must be reported to PSB upon receipt	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
186	PSB must maintain a centralized electronic numbering and tracking system for all allegations of misconduct	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2017
187	PSB must maintain a complete file of all documents relating to any investigations, disciplinary proceedings, pre-determination hearings, grievance proceeding and appeals to the Law Enforcement Merit System Council or a state court	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
188	PSB will promptly assign IA investigator after initial determination of the category of alleged offense	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
189	PSB shall investigate misconduct allegation of a serious nature, or that result in suspension, demotion, termination or indication of apparent criminal conduct by employee	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
190	Allegations of employee misconduct that are of a minor nature may be administratively investigated by a trained and qualified Supervisor in the employee's District	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2018
191	Trained Supervisor must immediately contact PSB if it is believed the principal may have committed misconduct of a serious or criminal nature	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
192	PSB shall review investigations outside of the Bureau at least semi-annually	Not in Compliance	Deferred	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018
193	The most serious policy violation shall be used for determination of category of offense when multiple separate policy violations are present in a single act of alleged misconduct	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
194	PSB Commander ensures investigations comply with MCSO policy, requirement of this Order including those related to training, investigators disciplinary backgrounds and conflicts of interest	Not in Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	

195	PSB shall include sufficient trained personnel to fulfill requirements of Order within six months	Not in Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
196	Commander of PSB or the Chief Deputy may refer misconduct investigations to another law enforcement agency or retain qualified outside investigator to conduct the investigation	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
197	PSB will be headed by qualified Commander. If designation is declined by Sheriff, the Court will designate a qualified candidate	Not in Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018
198	PSB shall be physically located in separate facility of MCSO facilities and must be accessible to public and present a non- intimidating atmosphere to file complaints	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	6/30/2018
199	Ensure qualifications for an internal affairs investigator are clearly defined and candidates are eligible to conduct investigations	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
200	Investigations shall be conducted in a rigorous and impartial manner without prejudging the facts, and completed in a through manner	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2017
201	No preference shall be given for an employee's statement over a non-employee statement, nor disregard a witness's statement solely because the witness has connection to the complainant or the employee or due to a criminal history of either party	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
202	Investigate any evidence of potential misconduct uncovered during the course of the investigation regardless of whether the potential misconduct was part of the original allegation	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
203	Despite a person being involved in an encounter with MCSO and pleading guilty or found guilty of offense, IA investigators will not consider that information alone to determine whether MCSO employee engaged in misconduct	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
204	Complete investigations within 85 calendar days of the initiation of the investigation, or 60 calendar days if within a Division	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2018
205	PSB maintain database to track cases which generates alerts when deadlines are not met	Not in Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018

206	At conclusion of each investigation, IA will prepare an investigation report which includes elements from the 11 subsections of this paragraph	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
207	When investigating the incident for policy, training, tactical or equipment concerns, the report must include compliance with standards, use of tactics and indicate need for training and suggestion of policy changes	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
208	Each allegation of misconduct shall explicitly identify and recommend a disposition for each allegation	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2017
209	Investigation forms completed by Supervisors outside of PSB shall be sent through Chain of Command to Division Commander for approval	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
210	Investigation forms completed by PSB shall be sent to the Commander	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
211	Commander shall return report to investigator for correction when inadequacies are noted	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
212	IA investigator shall receive corrective or disciplinary action for a deficient misconduct investigation. Failure to improve is grounds for demotion or removal from PSB	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2018
213	Minor misconduct investigations must be conducted by Supervisor (not by line-level deputies) and file forwarded to PSB	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
214	Misconduct investigation can be assigned or re-assigned at the discretion of the PSB Commander	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
215	Investigations conducted by Supervisors (outside of PSB) shall direct and ensure appropriate discipline and/or corrective action	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
216	PSB Commander shall direct and ensure appropriate discipline and/or corrective action for investigations conducted by PSB	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
217	PSB shall conduct targeted and random reviews of discipline imposed by Commanders for minor misconduct	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	Pending	Pending	6/30/2017
218	Maintain all administrative reports and files for record-keeping in accordance with applicable law	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017

220	Sheriff shall review MCSO disciplinary matrices and ensure consistency discipline	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2017
221	Sheriff shall mandate misconduct allegation is treated as a separate offense for imposing discipline	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
222	Sheriff shall provide that Commander of PSB make preliminary determinations of the discipline and comment in writing	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
223	MCSO Command staff shall conduct a pre- determination hearing if serious discipline should be imposed based on the preliminary determination	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
224	Pre-determination hearings will be audio and video recorded in their entirety, and the recording shall be maintained with the administrative investigation file	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
225	Pre-determination hearings will be suspended and returned to investigator if employee provides new or additional evidence	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
226	If designated member of MCSO command staff conducting the pre-determination hearing does not uphold charges and/or discipline recommended by PSB a written justification by that member is required	In Compliance	Not in Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018
227	MCSO shall issue policy providing the designated member conducting the pre-determination hearing with instructions to apply the disciplinary matrix and set guidelines when deviation is permitted	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
228	Sheriff or designee has authority to rescind, revoke or alter disciplinary decisions	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
229	When an IA investigator or Commander finds evidence of misconduct indicating apparent criminal conduct by employee the PSB Command must be immediately notified, PSB will assume any admin misconduct investigation outside PSB, Commander will provide evidence directly to the appropriate prosecuting authority when necessary	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017

230	PBS must first consult with the criminal investigator and the relevant prosecuting authority if a misconduct allegation is being investigated criminally, prior to a compelled interview pursuant to <i>Garrity v. New Jersey</i> . No admin investigation shall be held in abeyance unless authorized by Commander of PSB. Any deviations must be documented by PSB.	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
231	Sheriff shall ensure investigators conducting a criminal investigation do not have access to any statement by the principal that were compelled pursuant to <i>Garrity</i>	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
232	PBS shall complete admin investigations regardless of the outcome of any criminal investigation. MCSO policies and procedures and the PSB Ops manual shall remind members of PSB that administrative and criminal cases are held to different standards of proof and the investigative processes differ	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
233	Criminal investigations closed without referring it to a prosecuting agency must be documented in writing and provided to PSB	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
234	Criminal investigations referred to a prosecuting agency shall be reviewed by PSB to ensure quality and completeness	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
235	PSB shall request explanation and document any decisions by the prosecuting agency to decline or dismiss the initiation of criminal charges	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
236	Sheriff shall require PSB to maintain all criminal investigation reports and files as applicable by law	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
238	Sheriff shall require MCSO to accept all forms of civilian complaints and document in writing	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
239	Clearly display placards (English and Spanish) describing the complaint process at MCSO headquarters and all district stations	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2017
240	Sheriff shall require all deputies to carry complaint forms in their MCSO vehicles	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2017
241	Sheriff shall ensure that PSB is easily accessible to member of public and available for walk-ins	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	6/30/2018

242	Make complaint forms widely available at locations around the County: website, HQ lobby, Districts, MC offices and public locations	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2017
243	Establish a free 24-hour hotline for reporting complaints	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
244	Ensure complaint form does not contain language that can be construed as to discourage the filing of a complaint	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2016
245	Complaints forms will be made available in English and Spanish	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2016
246	PSB will send periodic written updates to the complainant during the course of investigation	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2018
247	Complainant make contact the PSB at any time to obtain status of their complaint	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
248	PSB will track allegations of biased policing as a separate category of complaints	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
249	PSB will track allegations of unlawful investigatory stops, searches, seizures or arrests as a separate category of complaints	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
250	PSB will conduct regular assessments of complaints to identify potential problematic patterns and trends	Not in Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018
251	PSB shall produce a semi-annual public report on misconduct investigations	Not in Compliance	Deferred	In Compliance	In Compliance	In Compliance	Deferred	Pending	Pending	12/31/2018
252	Make detailed summaries of completed IA investigations readily available to the public	Not in Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018
253	BIO shall produce a semi-annual public audit report regarding misconduct investigations	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018
254	Initiate a testing program designed to assess civilian complaint intake	Not in Compliance	Deferred	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018
255	Testing program for investigation of civilian complaints should not use fictitious complaints	Not in Compliance	Deferred	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018
256	Testing program shall assess complaint intake for complaints made in person, telephonically, by mail, email or website	Not in Compliance	Deferred	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018
257	Testing program shall include sufficient random and targeted testing to assess the complaint intake process	Not in Compliance	Deferred	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018

258	Testing program shall assess if employees promptly notify PSB of citizen complaints with accurate and complete information	Not in Compliance	Deferred	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018
259	Current or former employees cannot serve as testers	Not in Compliance	Deferred	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018
260	Produce annual report on the testing program	Not in Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
SECOND ORDER Section XVI. Community Outreach and Community Advisory Board										
261	CAB may conduct a study to identify barriers to the filing of civilian complaints against MCSO personnel	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	
262	The Boards shall be provided annual funding to support activities	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	
SECOND ORDER Section XIV. Supervision and Staffing										
264	Sheriff to ensure all patrol deputies are assigned to clearly identified first-line supervisor	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2016
265	First-line Supervisors shall be responsible for closely and consistently supervising all deputies under their primary command	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
266	Provide written explanation of deficiencies for number of Deputies assigned to First-line Supervisors (no more than 10 deputies)	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2016
267	Supervisors shall be responsible for close and effective supervision and ensure staff complies with MCSO policy, federal, state and local law, and this Court Order	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
268	Approval by Monitor for any transfers of sworn personnel or Supervisors in or out of PSB, BIO or CID	Deferred	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018
SECOND ORDER Section XVIII. Document Preservation and Production										
269	Promptly communicate any document preservation notices to all personnel who have responsive documents	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Not in Compliance	Pending	Pending	6/30/2018
270	Sheriff shall ensure a request for documents in the course of litigation is promptly communicated to all personnel and that all existing electronic files and data stored on networked drives are sequestered and preserved	Not in Compliance	Deferred	Not in Compliance	Deferred	Not in Compliance	Deferred	Pending	Pending	

	through a centralized process, and that a thorough and adequate search for documents is conducted									
271	Sheriff shall ensure Compliance Division promulgates detailed protocols for the preservation and production of documents requested in litigation	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2018
272	Ensure MCSO policy provides that all employees comply with document preservation and production requirements and may be subject to discipline if violated	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2017
SECOND ORDER Section XIX. Additional Training										
273	Within two months of the entry of this Order, the Sheriff shall ensure that all employees are briefed and presented with the terms of the Order, along with relevant background information about the Court's May 13, 2016 Findings of Fact, (Doc. 1677) upon which this order is based	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	9/30/2016
SECOND ORDER Section XX. Complaints and Misconduct Investigation Relating to Members of the Plaintiff Class										
276	Monitor shall have the authority to direct and/or approve all aspects of the intake and investigation of CRMs and the assignment of these investigations	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	9/30/2016
278	Sheriff shall alert the Monitor in writing to matters that could be considered CRMs and has the authority to independently identify such matters	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	9/30/2016
279	Monitor has complete authority to conduct review, research and investigation deemed necessary to determine if matters qualify as CRMs and MCSO is dealing in a thorough, fair, consistent and unbiased manner	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	9/30/2016
281	Sheriff shall ensure MCSO receives and processes CRMs consistently with the requirements of the orders of the Court, MCSO policies, and the manner in which all other disciplinary matters are handled per policy	Not in Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018
282	Sheriff and/or appointee may exercise the authority given pursuant to this Order to direct and/or resolve such CRMs. The decisions and/or directives may be vacated or overridden by the Monitors	Not in Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018

284	MCSO must expeditiously implement the Monitor's directions, investigations, hearings and disciplinary decisions	Not in Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018
286	Monitor shall instruct PSB to initiate a confidential criminal investigation and oversee the matter or report to the appropriate prosecuting agency	Not in Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018
287	Persons receiving discipline approved by Monitor shall maintain any rights they have under Arizona law or MCSO policy	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
288	Monitor's authority will cease when the elements of the two subsections of this paragraph have been met	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	3/30/2017
289	To make the determination required by subpart (b), the Court extends the scope of the Monitor's authority to inquire and report on all MCSO internal affairs investigations and not those merely that are related to Class Remedial Matters	Not in Compliance	Not in Compliance	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Pending	Pending	
292	Monitor is to be given full access to all MCSO Internal affairs investigation or matters that have been the subject of investigation, Monitor shall comply with rights of principals under investigation	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	9/30/2016
300	Uninvestigated untruthful statements made to the Court under oath by Chief Deputy Sheridan concerning the Montgomery investigation, the existence of the McKessy investigation, the untruthful statements to Lt. Seagraves and other uninvestigated acts of his do not justify an independent investigation	Not Applicable	Deferred	Not Applicable	Deferred	Not Applicable	Deferred	Pending	Pending	
337	When discipline is imposed by the Independent Disciplinary Authority, the employee shall maintain his or her appeal rights following the imposition of administrative discipline as specified by Arizona law and MCSO policy with the following exceptions with the two exceptions documented within the two subparagraphs	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017

Legend
Phase 1 – Development of Policy and Procedures
Phase 2 – Operation Implementation

Appendix B: List of MCSO Acronyms

AIU:	Audits and Inspections Unit
BIO:	Bureau of Internal Oversight
CAD:	Computer Aided Dispatch
CID:	Court Implementation Division
EIS:	Early Identification System
EIU:	Early Intervention Unit
MCAO:	Maricopa County Attorney's Office
PSB:	Professional Standards Bureau
TraCS:	Traffic and Criminal Software
VSCF:	Vehicle Stop Contact Form
NTCF:	Non-Traffic Contact Form
CORd:	Community Outreach Division