

MARICOPA COUNTY SHERIFF'S OFFICE
PAUL PENZONE, SHERIFF

COURT IMPLEMENTATION DIVISION



2020 ANNUAL COMPLIANCE REPORT

JULY 1, 2019 – JUNE 30, 2020

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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, 2019 through June 30, 2020. This Annual Report is submitted to comply with, Paragraphs 12 and 13 of the Court's Order.

In order to promote compliance efforts with the Court's Order MCSO maintains a Court Implementation Division (CID), established policies, procedures, and directives, along with the Bureau of Internal Oversight (BIO) which conducts internal inspections and audits to further ensure compliance measures are met. In addition, within the Compliance Bureau is our Training Division which is responsible for addressing all court related mandatory training for the Office along with all other training for Office employees.

MCSO continues to promulgate all Office Policies and Procedures related to Patrol Operations and complete the comprehensive instruction required in each of these substantive areas.

Through retirements and existing vacancies Sheriff Penzone has made changes in the command structure of the Office, while maintaining efforts to move the Office into compliance. Listed are other significant events related to MCSO efforts in obtaining compliance with the Court's Order:

- December 2019, Deputy Chief Edward "Pat" Lopez retired as the Deputy Chief over the Support Services Bureau.
- May 2020, Captain Dave Letourneau was promoted from Captain to Deputy Chief over the Support Services Bureau, which includes several divisions: Court Security, Judicial Enforcement, Property & Evidence, Records & AFIS, and the Communications Division
- Also in May 2020, Captain Frank McWilliams 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, and the Extraditions Unit
- A new Monthly Incident Report Inspection began in September 2019 and replaces the County Attorney Turndown Inspection. As agreed, minor procedural policy violations that do not affect the arrest will not be a factor in determining compliance with supervisory and command reviews. MCSO believes that this is a more accurate method of assessment and the results thus far have been positive.
- A procedure was developed, with the coordination of the Human Resource Division and the Training Division, which provides the opportunity for newly hired personnel to complete required training within a limited period of time. The development and institution of this procedure allowed MCSO to achieve Phase 2 compliance with Paragraph 181, which requires all MCSO employees to be trained to properly handle civilian complaints.
- MCSO continues the process of developing a new Employee Performance Appraisal (EPA). Through the development of this process a Sworn Performance Management Guide was created, this identifies core competencies and expectations of performance dimensions. The prototype EPA has been piloted in Districts 2 and 3. MCSO has submitted and revised draft proposals. There has been much input from the Monitor and Parties during this review process in development of policies, lesson plans, and refining the

appraisal itself. MCSO will continue to address the concerns expressed with all aspects of the EPA process until compliance is met.

- MCSO created a new unit, the Research and Reporting Unit (RRU), to work with the Traffic Stop Analysis Unit (TSAU) within the Bureau of Internal Oversight (BIO). The TSAU is responsible for implementation, support, and maintenance of the Traffic Stop Analysis program. The unit conducts data analysis specific to traffic stop data, data input, and review of activities exceeding thresholds in relation to traffic stop data to address potentially problematic conduct or operating procedures. The RRU assists with the analysis and review of the traffic stops and traffic stop data and with the research and development of the traffic stop annual reports, traffic stop monthly reports, and traffic stop quarterly reports. The unit also meets the research needs for the rest of the Office. Collectively, EIU continues work on these threshold projects with assistance from our vendor CNA, along with input from the monitor team and parties. The objectives of these projects are to develop policy and procedure for determining EIS thresholds, routine review of thresholds, and implementation of new thresholds with a project goal date of calendar year 2020.
- MCSO Training focused great efforts in the development of the Court Order Related Training (CORT) courses with the intent to receive approval for the curriculums as quickly as possible and provide timely training to employees. An unavoidable obstacle to this goal was the COVID-19 pandemic and the impact that it has had on these training projects. MCSO has been developing solutions to provide the required CORT Training to Office employees in addition to meeting all other training requirements.
- 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.*). As a result of the Corona Virus Pandemic only two meetings were held this fiscal year, October and January, the April and July meetings were canceled. The meetings held in October and January were attended by Sheriff Penzone, various MCSO representatives, MCAO, CAB members, the monitor team, parties, and members of the community. During the January meeting Sheriff Penzone addressed the community members regarding the "Traffic Stop Annual Report," (TSAR) and identified the efforts being made through the Constitutional Policing Plan (CPP) to promote the goal of ethical policing and compliance of the Court's Order.
- MCSO continues to collaborate with several community advisory boards to include the court-ordered CAB. A single point of contact is maintained from the executive command has been appointed to facilitate and organize meetings, providing document review, and soliciting feedback from CAB members to MCSO, assisting with efforts to move forward with compliance. MCSO is sensitive to request from CAB members and makes an effort to address these in a timely fashion.
- MCSO has been forced to adapt to the global pandemic quickly and unexpectedly, changing almost every aspect of daily life. The virus has forced individuals and industries, including MCSO, to nimbly adapt to evolving challenges, Sheriff Penzone has been proactive in implementing changes internally and externally to minimize exposure to our communities, employees, and volunteers through several measures:

- Assign employees to work from home, depending on assignment
- Implementing alternating work schedules
- Minimize or eliminate in person interviews, when possible and where appropriate, related to complaints or investigations
- Ensuring adequate supplies to minimize exposure for our employees
- Implementing new required procedures for traffic stops or contacts to minimize exposure to community members and employees
- Promoting free testing for all MCSO employees and volunteers, along with daily updates on infections internally and within the jail system

In excess of 280 MCSO employees have been infected with virus as July 2020, which is reflective of the spread of the virus in the community at large. This has been and continues to be a challenge; however, MCSO has continued with efforts to push forward towards gaining compliance and working with the monitor team and parties in achieving this goal.

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; due to the pandemic this is however limited to emails, phone calls, and sharing of documents. This Liaison Program continues to extend to several other divisions within the Compliance Bureau, under the same parameters, to include BIO and the Professional Standards Bureau (PSB). The effects of this program continue to be positive and MCSO plans to develop and expand these practices with the expectation that it will help future gains in compliance.

MCSO's Traffic Stop Collection System (TraCS) continues to be an ongoing development for our Technology Management Bureau in improving efficiency for our employees. 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.

The Training Division revised MCSO Training Polices, GG-1 and GG-2. The newest version of GG-1 and GG-2 were approved by the Monitor and published in August 2019. MCSO updated the Training Operations Manual which was approved by the Monitor in March 2020. The operations manual encompassed several subjects

suggested by the Monitor which included the “Train the Trainer,” (TTT) protocol and standardization process to check for instructor misconduct.

MCSO training has also made progress on the development of the documentary style video related to the CPP on the subject “The History of Discrimination in Maricopa County.” This has involved seeking input from the CAB as well as hiring a media professional with expertise in producing videos. MCSO looks forward to showcasing the final project and will continue our efforts in working with the Monitor, Parties, and CAB on this project.

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 Twenty-fourth 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 Twenty-fourth 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 2019 – 2020. The Monitor’s Twenty-fifth Quarterly Report is not due until October 9th; therefore, the Court’s Order Compliance Chart does not include data from the 2nd quarter of 2020.

During this annual review period significant compliance progress has been made as demonstrated by the below tables taken from the Monitor’s Twenty-fourth 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	Report 21	Report 22	Report 23	Report 24
10/2013 “First Order”	Phase 1	79%	88%	85%	85%	85%	85%	97%	97%	97%	96%	96%	96%	96%
	Phase 2	57%	67%	62%	65%	64%	66%	77%	75%	78%	76%	77%	79%	82%
7/2016 “Second Order”	Phase 1	12%	72%	75%	77%	77%	78%	78%	99%	99%	100%	100%	100%	100%
	Phase 2	60%	63%	66%	72%	75%	80%	81%	90%	89%	91%	90%	92%	93%

Per the Monitor’s Twenty-fourth Quarterly Report, MCSO is in “Full and Effective Compliance,” with 34 Paragraphs of the Court’s Order, of the 213 paragraphs MCSO is rated on.

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 most ethical 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.

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. CID and BIO continue to push towards 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 250,000 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 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. The BIO inspections and audits allow MCSO to assess personnel are in compliance with the Court's Order and MCSO Policy.

The BIO includes two MCSO units; the Audits and Inspections Unit (AIU) and the Early Intervention Unit (EIU). Within the EIU are two additional units, the Research and Reporting Unit (RRU) and the Traffic Stop Analysis Unit (TSAU). The BIO team is comprised of a combination of sworn, detention and civilian Sheriff's Office staff.

The AIU's primary function is to conduct audit and non-audit services for the Sheriff's Office. The 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.

The 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.

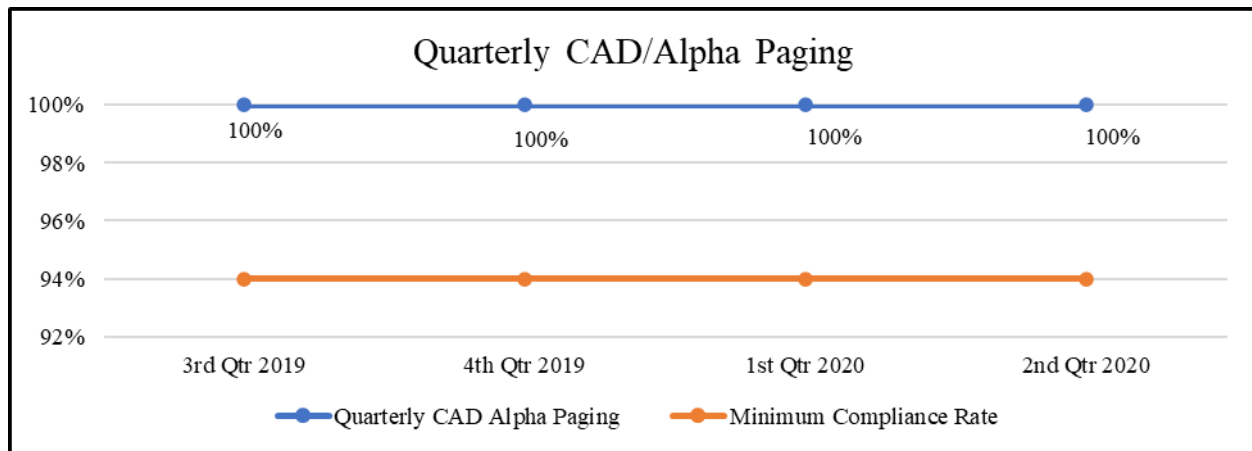
The TSAU is responsible for implementation, support, and maintenance of the Traffic Stop Analysis program. The unit conducts data analysis specific to traffic stop data. The unit conducts data analysis, data input, and review of activities exceeding thresholds in relation to traffic stop data to address potentially problematic conduct or operating procedures.

The RRU assists with the analysis and review of the traffic stops and traffic stop data. They assist in the research and development of the traffic stop annual reports, traffic stop monthly reports, and traffic stop quarterly reports. The unit also meets the research needs of the rest of the Office.

One of the most important functions of the BIO is that it enables MCSO to audit and inspect MCSO and MCSO personnel to assure compliance with the Court's Order. 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 used to conduct a CAD Messaging/Alpha Paging Inspection monthly by selecting a random sample of all CAD messages and Alpha Paging messages. During the October 2019 Monitor Team Site Visit, it was agreed that a CAD Messaging/Alpha Paging Inspection would be changed from monthly to quarterly. The first quarterly inspection covered October, November, and December 2019. The data and is listed under 4th Qtr 2019 report.

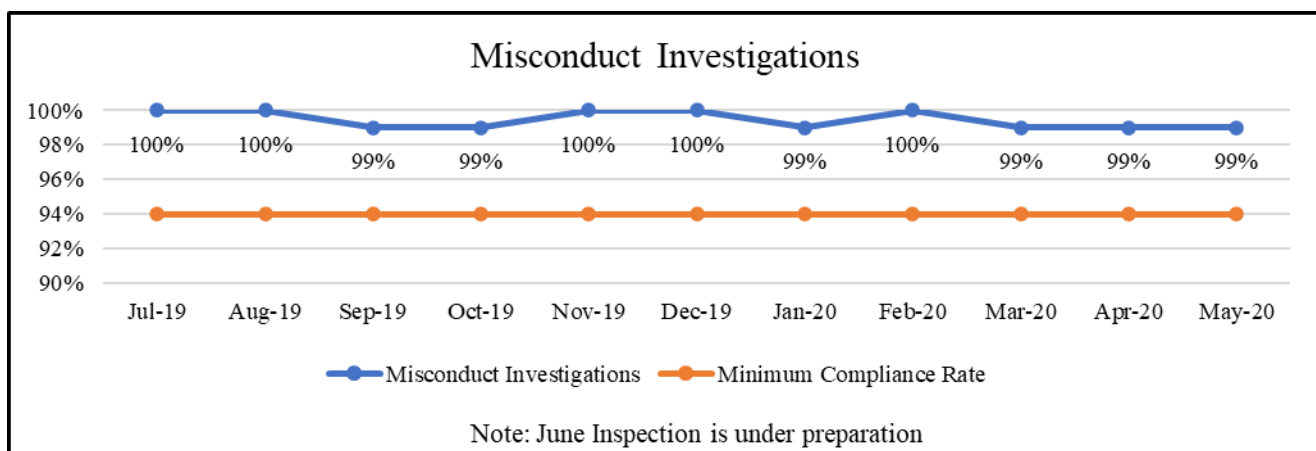


Note: For purposes of the graph the monthly inspections of July (100%), August (100%) and September (100%) 2019 was averaged and listed as the 3rd quarter.

Misconduct Investigations Inspection

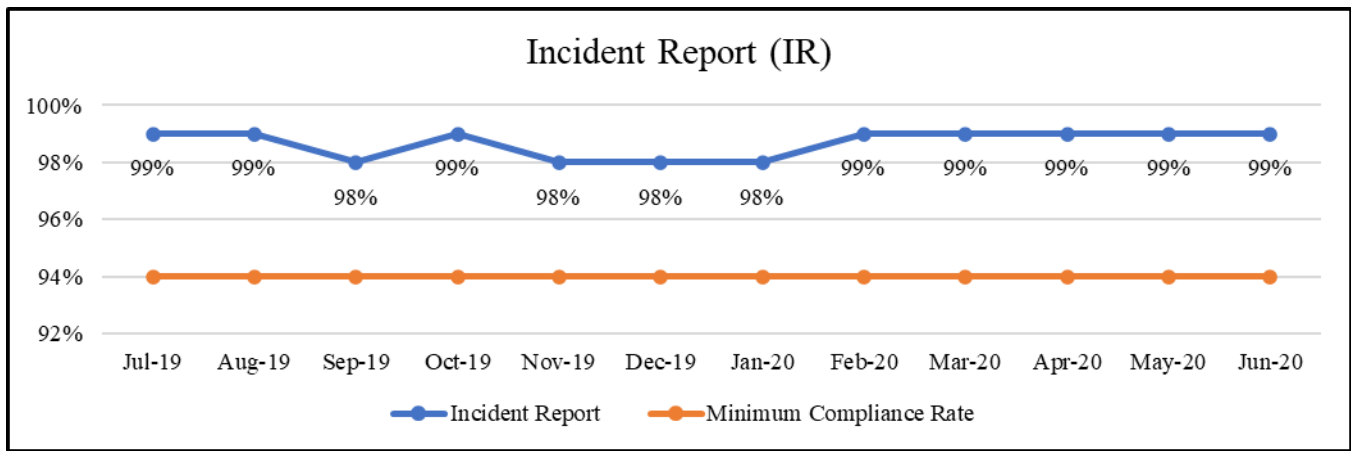
The purpose of this inspection is to determine if the selected administrative investigation cases were conducted in compliance with Office policy and in support of the *Melendres* Order (Paragraphs 33, 102, and 104). This inspection is completed monthly and all cases closed during a month period are inspected. If more than 25 cases are closed in the calendar month, a random sample of 25 closed cases are selected by the monitors for inspection.

During the January 2019 site visit, it was determined cases selected for inspection, would be cases closed two calendar months prior to the month the inspection is conducted.



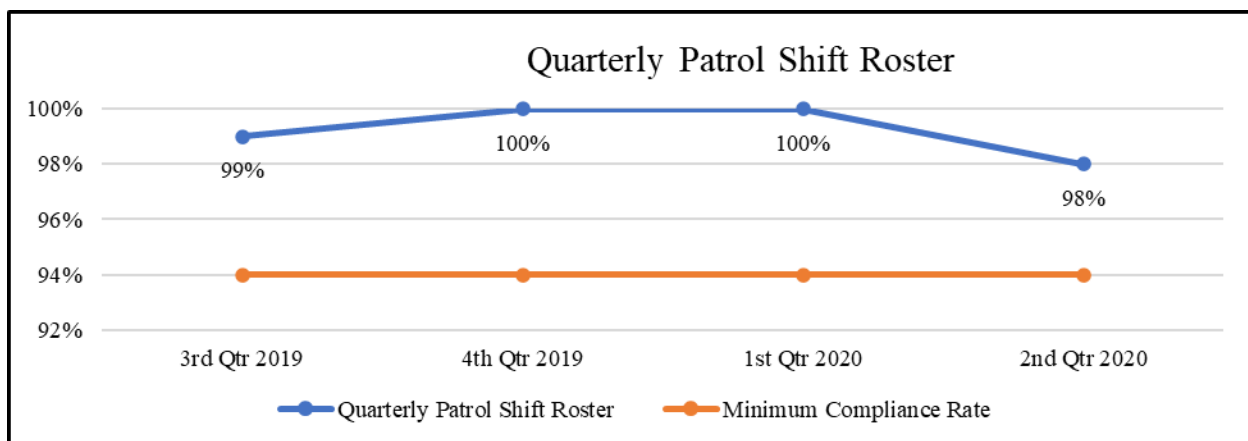
Incident Report (IR) Inspection

The Incident Report Inspection seeks to ensure that incident reports adhere to Office policy, federal and state laws, promotes proper supervision, and supports compliance with the Court's Order Paragraphs 75, 93, 94, and 96. The current methodology for the IR inspection was approved 6/6/2019. The Monitors randomly select up to 20 IRs turned down by the County Attorney for no "PC", 20 in-custody reports and 20 criminal citations. Each inspection is reviewed using a 27-point inspection matrix. Compliance ratings are given for each inspection point (total deficiencies divided by total reports inspected) and all deficiencies found divided by total inspection points of combined tests. This methodology typically has 1080 total inspection points each month.



Patrol Shift Roster Inspection

The Patrol Shift Roster inspection is conducted to ensure consistency with MCSO Policy GB-2, *Command Responsibility*, and with Paragraphs 82, 84, and 86 of the Court's Order. This inspection was conducted by reviewing all Patrol Shift Rosters for the month inspected. During the October 2019 Monitor Team Site Visit, it was agreed that a Patrol Shift Roster Inspection would be changed from a monthly inspection to a quarterly inspection. The first Quarterly Inspection started the 4th quarter of 2019. The quarterly inspection consists of a random selection of 12 calendar days per month, in which the shift rosters completed in those calendar days are inspected. Each roster is inspected using an inspection matrix with 4 compliance inspection points. Additional non-compliance related areas are inspected such as the accurate input of information in the roster. Currently, MCSO Technology has a project to transition the shift roster into Praxis and away from an excel spread sheet-based roster. The aim is to increase the accuracy of the rosters as it corresponds to CAD data. This transition will allow the inspection to focus solely on the 4-point compliance matrix, as the accuracy of the roster data will be ensured by the Praxis program. The program will pull all the roster information from CAD, eliminating human inputting errors in an Excel document.

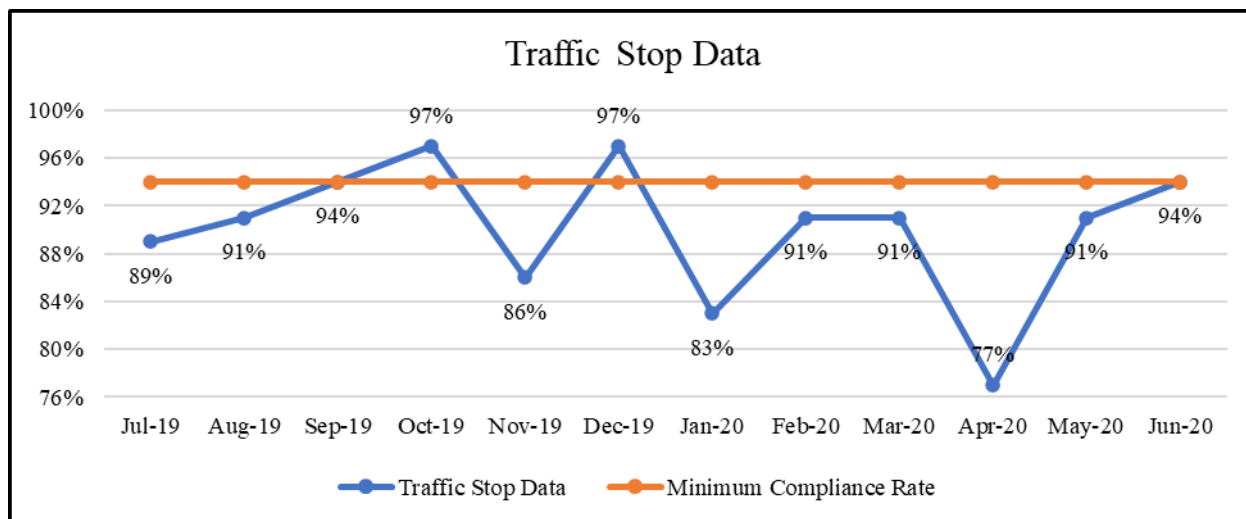


Note: For purposes of the graph the monthly inspections of July (99%), August (98%) and September (99%) 2019 was averaged and listed as the 3rd quarter.

Traffic Stop Data Collection Inspection

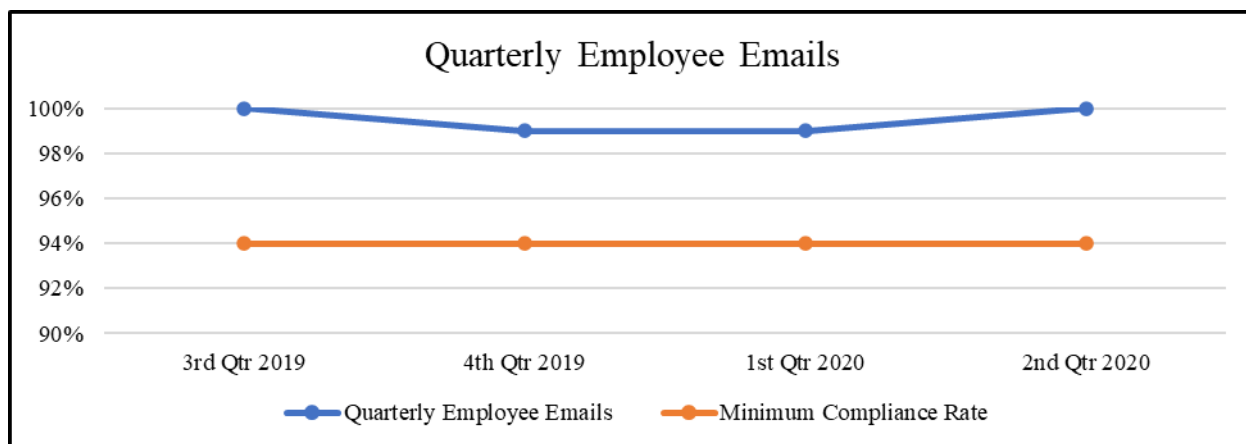
The Traffic Stop Data Collection Inspection occurs monthly and reviews traffic stop data to ensure compliance with Office Policy and Paragraphs 54-57 of the Court's Order. The inspection reviews traffic stop data of 35 traffic stops randomly selected by the Monitor Team. The body worn camera footage for 10 of the 35 stops are

also reviewed. Each stop is reviewed using a standardized inspection matrix that consists of 32 inspection points. There are an additional 5 inspection points for the body worn camera footage. AIU measures the “compliance rate” of this inspection as follows: a single deficiency found of 32(37 for BWC) inspection points results in a deficient stop. Total stops without deficiencies is divided by the total stops inspected, to determine the compliance rate. AIU submitted a revised methodology to the Monitor Team for review, proposing a change to the methodology that included a revised compliance calculation formula (each inspection point would get a compliance score), to be more in line with the court order, which covers traffic stop data in subparagraphs.



Employee Email Inspection

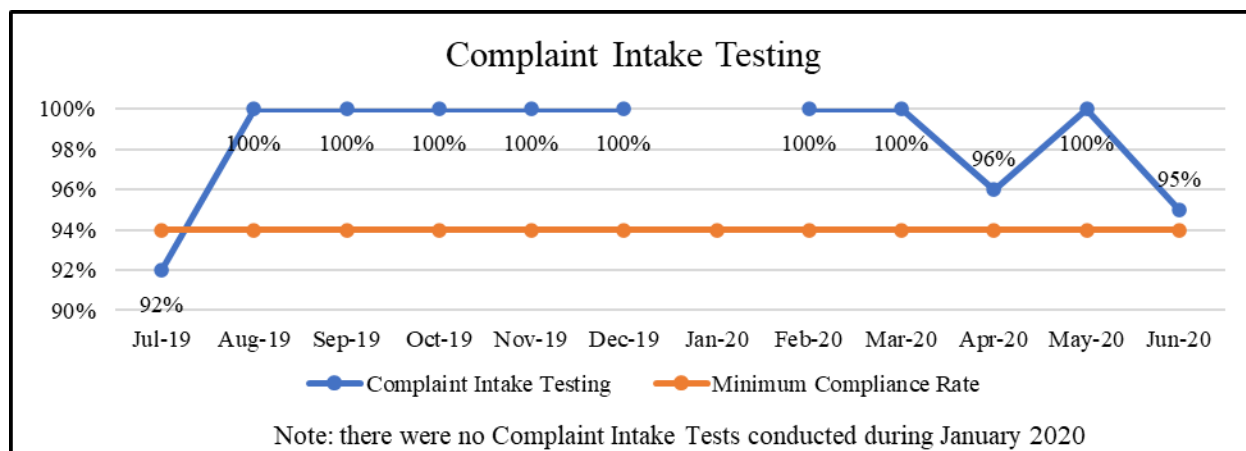
The Employee Email Inspection is conducted to ensure that employee email accounts are utilized in compliance with Office policy and the Court’s Order. During the October 2019 Monitor Team Site Visit, it was agreed the inspection would be changed from a monthly to quarterly inspection. The first quarterly inspection began in the 4th quarter of 2019. A total 50 employee’s emails were randomly selected each quarter (17 employees for two months and 16 for the third month) for inspection.



Note: For purposes of the graph the monthly inspections of July (100%), August (100%) and September (100%) 2019 was averaged and listed as the 3rd quarter.

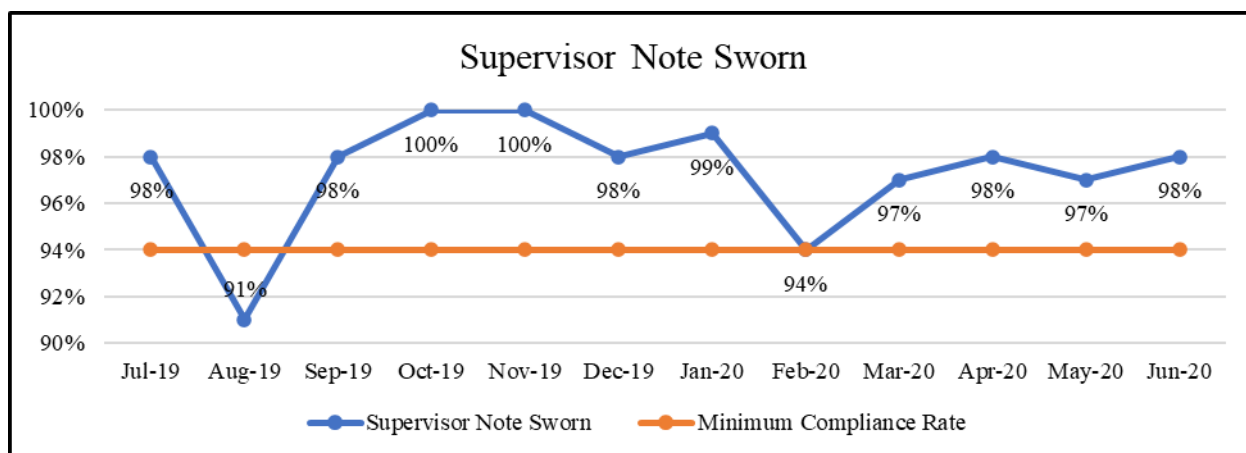
Complaint Intake Testing Inspection

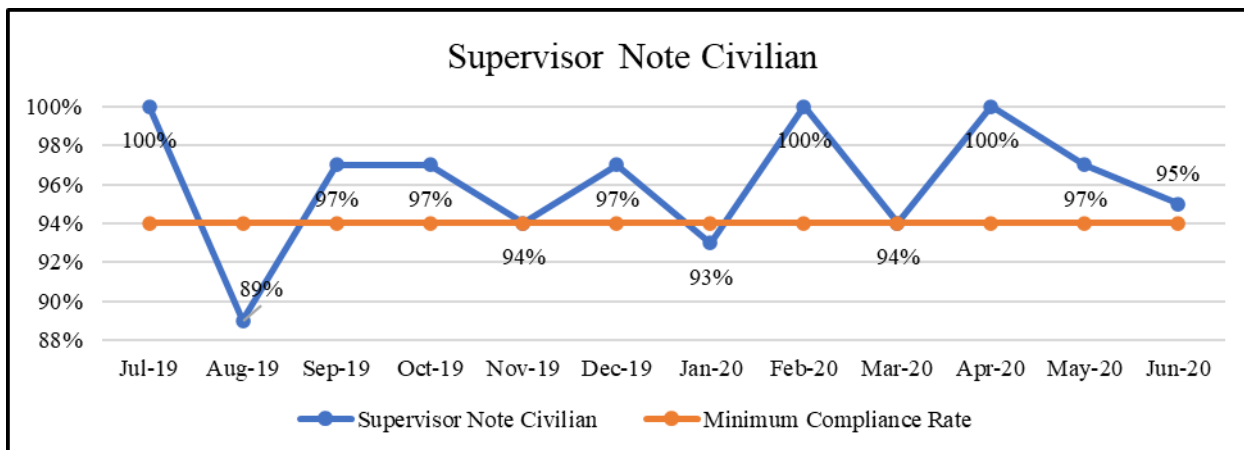
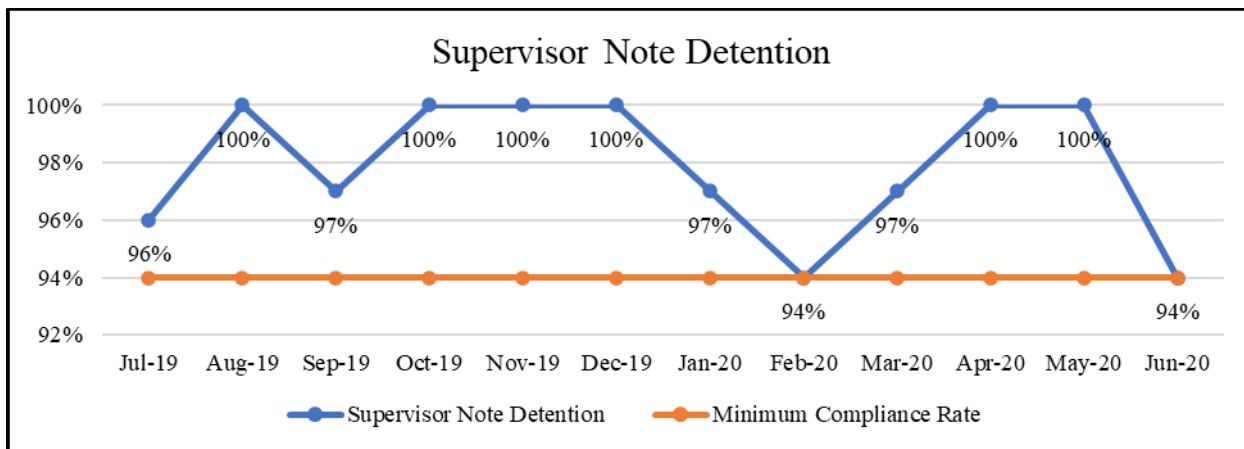
Complaint Intake Testing: Complaint Intake Testing inspection is conducted to ensure consistency with MCSO Policy GH-4, Bureau of Internal Oversight, AIU Operations Manual, and with Paragraphs 254-260 of the Court's Order. This testing program is designed to assess whether MCSO employees are providing 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 January 2020. The Complaint Intake Testing Annual Report methodology was approved in March 2020 and will be published for July 2019 through June 2020 prior to September 15, 2020.



Supervisory Notes Inspection

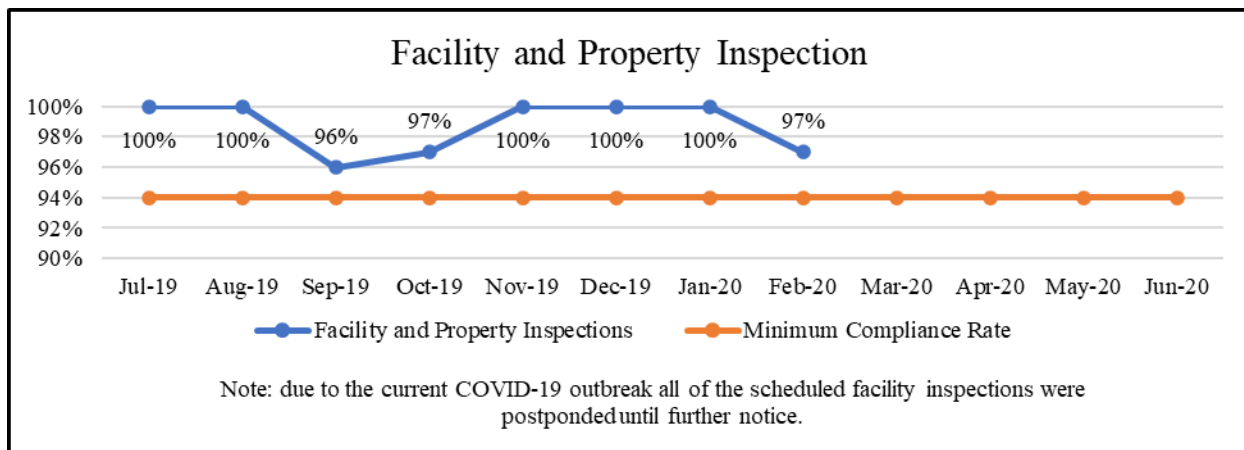
The Supervisory Notes Inspection is conducted on sworn, detention, and civilian personnel to ensure that Supervisory Note entries in the Blue Team application are compliant with Office Policy and the Court's Order. This inspection is conducted by uniformly inspecting the Supervisor Note entries within 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.





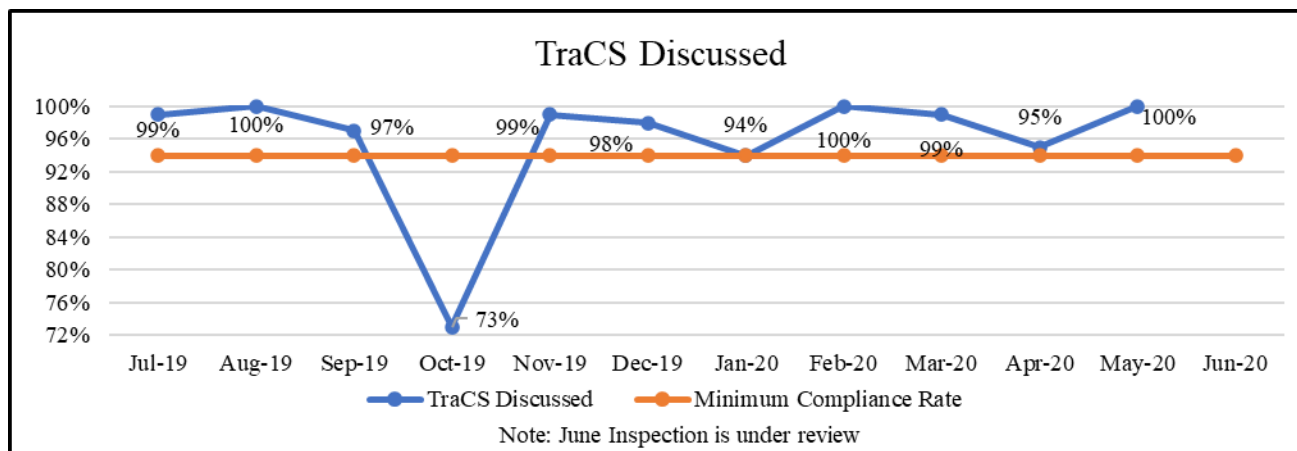
Facility and Property Inspection

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 is 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.). The Audits and Inspections Unit of the Bureau of Internal Oversight did not conduct any inspections during the months of March 1, 2020 - present. All of the scheduled facility inspections, both sworn and detention, are temporarily postponed due to COVID-19.



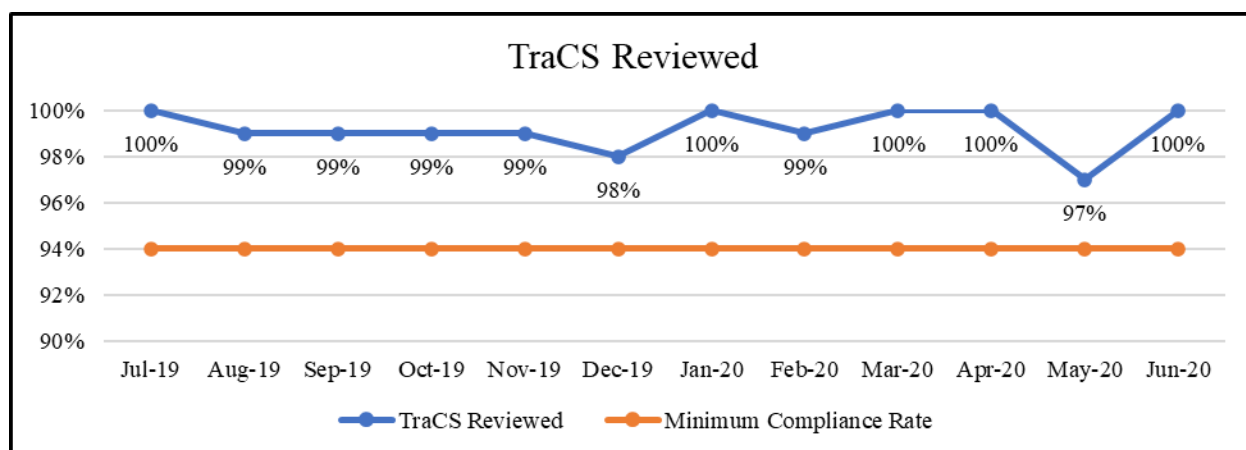
TraCS Discussed Inspection

The TraCS Discussed Inspection is completed to determine supervisory compliance with Office Policy and the Paragraphs 69, 81, 85 of the Court's Order, as well as to promote proper supervision. This inspection is conducted using the TraCS System. A random sample of traffic stops selected by the Monitor Team is uniformly inspected utilizing the AIU matrix, in accordance with the procedures outlined in Policies EA-11, EB-1 and GB-2. The goal is to determine if a supervisor discussed the traffic stop with the deputy, within 30 days of the stop being made.



TraCS Reviewed Inspection

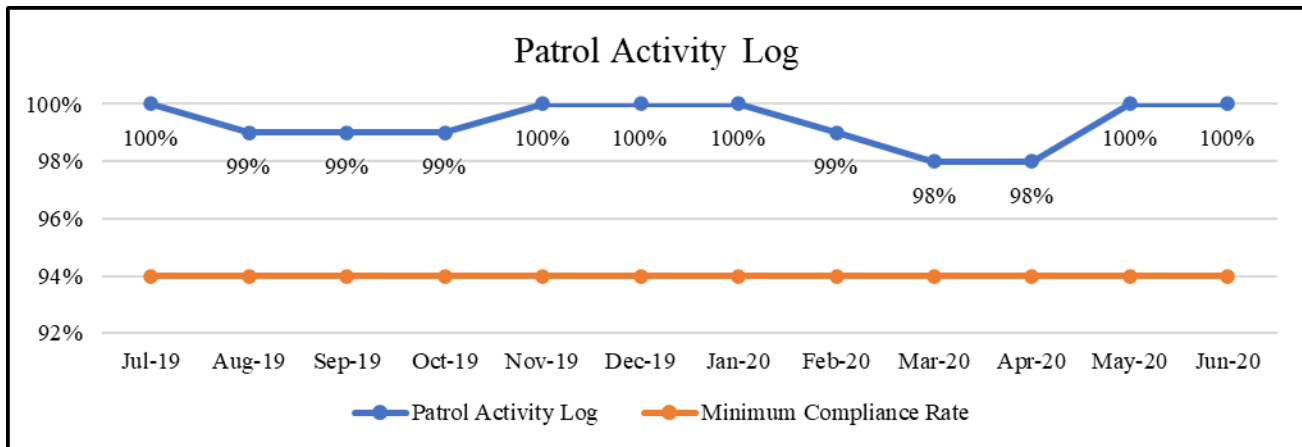
The TraCS Reviewed Inspection is completed to determine supervisory compliance with Office Policy and Paragraphs 69, 81, 85 of the Court's Order, as well as to promote proper supervision. This inspection is conducted using the TraCS System. A random sample of traffic stops selected by the Monitor Team is uniformly inspected utilizing the AIU matrix, in accordance with the procedures outlined in Policies EA-11, EB-1 and MCSO Administrative Broadcast Number 16-56. The goal is to determine if a supervisor reviewed a traffic stop conducted by a deputy within 72 hours.



Patrol Activity Log Inspection

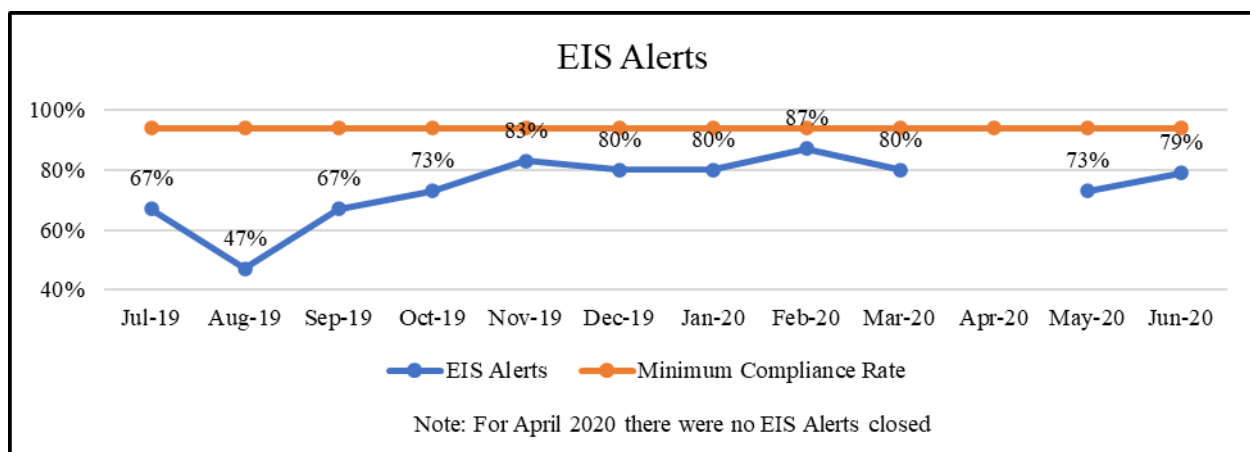
The Patrol Activity Log Inspection is conducted to ensure compliance with Office Policy and the Court's Order, as well as promoting proper supervision. Patrol Activity Logs are uniformly inspected utilizing the AIU matrix,

in accordance with procedures outlined in MCSO Administrative Broadcast Numbers 16-53, 16-100, and 17-48 The Monitor team provides a sample of 35 deputies each month from all Patrol Districts/Divisions. All the patrol activity logs generated by each deputy during the month are inspected using the AIU matrix.



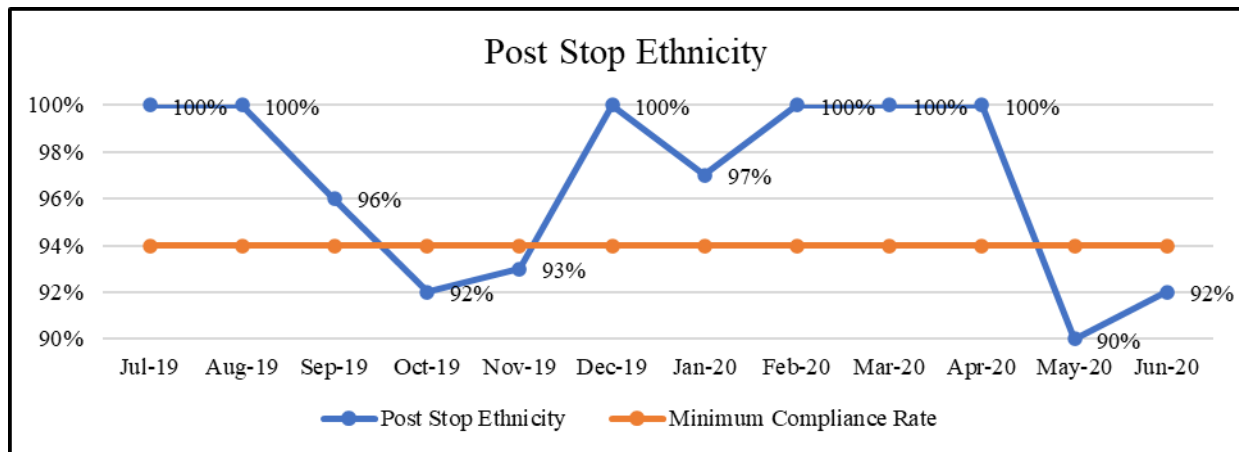
EIS Alerts Inspection

EIS Alerts Inspection: EIS Alerts inspection is conducted to ensure consistency with MCSO Policy GB-2 and GH-5 and to promote proper supervision. The Bureau of Internal Oversight (BIO), Audits and Inspections Unit (AIU) conducts inspections of the Early Identification System (EIS) Alerts monthly. The Monitor Team provides a random sample of closed EIS Alerts for inspection. AIU uses the EIS Alerts Inspection Matrix to ensure that the selected EIS Alerts are returned to the Early Intervention Unit (EIU) in the required timeframe. The first EIS Alerts Inspection was conducted in February 2019. For April 2020 there were no EIS Alerts closed and no data to be examined. Starting in May 2020, BIO began to track all new EIS alerts using project management software to assist Divisions in submitting the alerts in the timeframes required by MCSO Policy. In addition to the system generated reminders, BIO utilizes liaisons to offer assistance to divisions. BIO Commanders also will contact the Division as the due dates approach to offer assistance. The expectation is as alerts opened prior to May 2020 are closed, and only alerts generated after May 2020 are being inspected, compliance numbers should improve greatly.



Post Stop Ethnicity Inspection

Post Stop Ethnicity inspection is conducted to ensure that sworn personnel accurately record pre-stop and post-stop ethnicity selections during traffic stop on the Vehicle Stop Contact Forms and are adhering to MCSO 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 the Bureau of Internal Oversight. The first Post Stop Ethnicity Inspection was conducted in May 2019.



Semi Annual Bias-Free Reinforcement Inspection

The Semi Annual 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. The semi-annual inspection report covering January 1st, 2020-July 30th, 2020 is currently in the inspection process.

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 Bureau of Internal Oversight 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 in working towards compliance goals.

Annual Policy Assessment

The Policy Development Section of the Maricopa County Sheriff's Office (MCSO) is comprised of 10 employees, who are responsible for reviewing and revising Office Policies. The Administrative Services Division 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 the 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, the 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, Executive Chiefs, and the Chief Deputy or designee.

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 39 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 2019/2020

Dissemination of Court Order Related Policies		
Policy No.	Policy Name	Published Date
CP-8	<i>Preventing Racial and Other Bias-Based Profiling</i>	12/19/2019
EA-2	<i>Patrol Vehicles</i>	06/30/2020
EA-11	<i>Arrest Procedures</i>	05/13/2020
EB-1	<i>Traffic Enforcement, Violator Contacts, and Citation Issuance</i>	10/25/2019
EB-1	<i>Traffic Enforcement, Violator Contacts, and Citation Issuance</i>	05/28/2020
EB-2	<i>Traffic Stop Data Collection</i>	01/07/2020
EB-7	<i>Traffic Control and Services</i>	02/28/2020
ED-2	<i>Covert Operations</i>	06/04/2020
ED-3	<i>Review of Cases Declined for Prosecution</i>	09/25/2019

GA-1	<i>Development of Written Orders</i>	02/19/2020
GC-4	<i>Employee Performance Appraisals</i>	07/25/2019
GC-7	<i>Transfer of Personnel</i>	12/04/2019
GC-11	<i>Employee Probationary Periods</i>	04/22/2020
GC-16	<i>Employee Grievance Procedures</i>	04/07/2020
GC-17	<i>Employee Disciplinary Procedures</i>	06/25/2020
GE-3	<i>Property Management and Evidence Control</i>	04/07/2020
GE-4	<i>Use, Assignment, and Operation of Vehicles</i>	06/25/2020
GF-1	<i>Criminal Justice Data Systems</i>	02/27/2019
GF-5	<i>Incident Report Guidelines</i>	07/25/2019
GF-5	<i>Incident Report Guidelines</i>	04/30/2020
GG-1	<i>Peace Officer Training Administration</i>	08/14/2019
GG-1	<i>Peace Officer Training Administration</i>	02/26/2020
GG-2	<i>Detention/Civilian Training Administration</i>	08/14/2019
GG-2	<i>Detention/Civilian Training Administration</i>	02/26/2020
GH-2	<i>Internal Investigations</i>	06/25/2020
GH-4	<i>Bureau of Internal Oversight Audits and Inspections</i>	04/30/2020
GH-5	<i>Early Identification System</i>	05/05/2020
GI-1	<i>Radio and Enforcement Communications Procedures</i>	02/05/2020
GJ-2	<i>Critical Incident Response</i>	08/02/2019
GJ-3	<i>Search and Seizure</i>	07/25/2019
GJ-3	<i>Search and Seizure</i>	05/22/2020
GJ-5	<i>Crime Scene Management</i>	07/25/2019
GJ-5	<i>Crime Scene Management</i>	06/12/2020
GJ-24	<i>Community Relations and Youth Services</i>	11/15/2019
GJ-26	<i>Sheriff's Reserve Deputy Program</i>	06/05/2020
GJ-27	<i>Sheriff's Posse Program</i>	06/19/2020
GJ-35	<i>Body-Worn Cameras</i>	12/31/2019
GJ-36	<i>Use of Digital Recording Devices (Non Body-Worn Cameras)</i>	02/25/2020
GM-1	<i>Electronic Communications, Data and Voice Mail</i>	02/27/2020

During this annual period, the Policy Development Section completed a Statement of Annual Review (SOAR) for the following Office Policies requiring no changes during the reporting period. The following SOAR Office Policies were acknowledged and approved by the Monitor Team. (See Table #3)

TABLE 3: SOAR POLICES FOR 2019/2020

SOAR Policies		
Policy No.	Policy Name	Approval Date
CP-3	<i>Workplace Professionalism: Discrimination and Harassment</i>	12/19/2019
CP-5	<i>Truthfulness</i>	11/26/2019
CP-8	<i>Preventing Racial and Other Bias-Based Profiling</i>	08/28/2019

CP-11	<i>Anti-Retaliation</i>	11/12/2019
ED-3	<i>Review of Cases Declined for Prosecution</i>	01/23/2020
GC-4	<i>Employee Performance Appraisals</i>	06/11/2020
GC-7	<i>Transfer of Personnel</i>	03/17/2020
GE-3	<i>Property Management and Evidence Control</i>	04/13/2020
GF-3	<i>Criminal History Record Information and Public Records</i>	10/21/2019
GI-5	<i>Voiance Language Services</i>	08/05/2019
GI-7	<i>Processing of Bias-Free Tips</i>	12/09/2019
GJ-2	<i>Critical Incident Response</i>	02/28/2020
GJ-33	<i>Significant Operations</i>	08/05/2019
GJ-35	<i>Body-Worn Cameras</i>	03/19/2020

During this annual period, the Policy Development Section has continued to review and revise the following Office Policies (See Table #4):

TABLE 4: ORDER RELATED POLICIES UNDER REVIEW/REVISION FOR 2019/2020

Order Related Policies Under Review/Revision		
Policy No.	Policy Name	Date Opened
CP-2	<i>Code of Conduct</i>	06/13/2019
CP-3	<i>Workplace Professionalism: Discrimination and Harassment</i>	06/19/2019
CP-5	<i>Truthfulness</i>	06/19/2019
CP-8	<i>Preventing Racial and Other Bias-Based Profiling</i>	06/13/2019
CP-11	<i>Anti-Retaliation</i>	06/13/2019
EA-2	<i>Patrol Vehicles</i>	06/19/2019
EA-3	<i>Non-Traffic Contact</i>	07/15/2019
EA-11	<i>Arrest Procedures</i>	06/19/2019
EB-1	<i>Traffic Enforcement, Violator Contacts, and Citation Issuance</i>	02/11/2020
EB-2	<i>Traffic Stop Data Collection</i>	06/19/2019
EB-4	<i>Traffic Records</i>	01/06/2016
EB-7	<i>Traffic Control and Services</i>	06/19/2019
ED-2	<i>Covert Operations</i>	06/19/2019
ED-3	<i>Review of Cases Declined for Prosecution</i>	12/30/2019
GA-1	<i>Development of Written Orders</i>	06/19/2019
GB-2	<i>Command Responsibility</i>	07/02/2019
GC-4	<i>Employee Performance Appraisals</i>	10/02/2019
GC-4 (S)	<i>Employee Performance Management</i>	10/02/2019
GC-7	<i>Transfer of Personnel</i>	02/24/2020
GC-11	<i>Employee Probationary Periods</i>	06/19/2019
GC-12	<i>Hiring and Promotional Procedures</i>	06/19/2019
GC-13	<i>Awards</i>	06/19/2019

GC-16	<i>Employee Grievance Procedures</i>	06/19/2019
GC-17	<i>Employee Disciplinary Procedures</i>	07/02/2019
GD-9	<i>Litigation Initiation, Document Preservation, and Document Production Notices</i>	06/19/2019
GE-3	<i>Property Management and Evidence Control</i>	04/07/2020
GE-4	<i>Use, Assignment, and Operation of Vehicles</i>	07/15/2019
GF-1	<i>Criminal Justice Data Systems</i>	06/19/2019
GF-3	<i>Criminal History Record Information and Public Records</i>	06/19/2019
GF-5	<i>Incident Report Guidelines</i>	10/02/2019
GG-1	<i>Peace Officer Training Administration</i>	10/01/2019
GG-2	<i>Detention/Civilian Training Administration</i>	10/01/2019
GH-2	<i>Internal Investigations</i>	07/02/2019
GH-4	<i>Bureau of Internal Oversight Audits and Inspections</i>	06/19/2019
GH-5	<i>Early Identification System</i>	06/19/2019
GI-1	<i>Radio and Enforcement Communications Procedures</i>	06/19/2019
GI-5	<i>Voiance Language Services</i>	06/19/2019
GI-7	<i>Processing of Bias Free Tips</i>	06/19/2019
GJ-2	<i>Critical Incident Investigations</i>	02/11/2020
GJ-3	<i>Search and Seizure</i>	07/31/2019
GJ-5	<i>Crime Scene Management</i>	03/16/2020
GJ-24	<i>Community Relations and Youth Programs</i>	06/19/2019
GJ-26	<i>Sheriff's Reserve Deputy Program</i>	07/15/2019
GJ-27	<i>Sheriff's Posse Program</i>	10/07/2014
GJ-33	<i>Significant Operations</i>	06/19/2019
GJ-35	<i>Body-Worn Cameras</i>	01/30/2020
GJ-36	<i>Use of Digital Recording Devices (Non Body-Worn Cameras)</i>	06/19/2019
GM-1	<i>Electronic Communications, Data and Voicemail</i>	06/19/2019

The Community Advisory Board (CAB) had access to the Office Policies below on the Maricopa County Sheriff's Office Website for input/recommendations throughout this Annual period. The Office Policies were separated by each quarter for input/and recommendations. (See Table #5):

TABLE 5: POLICIES FOR CAB INPUT/RECOMMENDATIONS FOR 2019/2020

Policies for CAB input/recommendations		
Policy No.	Policy Name	CAB Quarterly Review
CP-2	<i>Code of Conduct</i>	07/01/2019
CP-8	<i>Preventing Racial and Other Bias-Based Profiling</i>	07/01/2019
CP-11	<i>Anti-Retaliation</i>	07/01/2019
EA-3	<i>Non-Traffic Contact</i>	10/01/2019
EA-11	<i>Arrest Procedures</i>	10/01/2019

EB-1	<i>Traffic Enforcement, Violator Contacts, and Citation Issuance</i>	10/01/2019
GC-13	<i>Awards</i>	01/01/2020
GH-2	<i>Internal Investigations</i>	01/01/2020
GI-5	<i>Voiance Language Services</i>	01/01/2020
GI-7	<i>Processing of Bias-Free Tips</i>	04/01/2020
GJ-24	<i>Community Relations and Youth Programs</i>	04/01/2020

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 reporting period, the Policy Development Section published 10 Court Order related *Briefing Boards*.

The following *Briefing Boards* were published during this reporting period (See Table #6):

TABLE 6: MCSO BRIEFING BOARDS FOR 2019/2020

MCSO Briefing Boards		
BB No.	Subject	Date Issued
BB 19-32	Immediate Policy Change GC-13, <i>Awards</i>	07/18/2019
BB 19-39	Immediate Policy Change GF-5, <i>Incident Report Guidelines</i>	08/28/2019
BB 19-40	Immediate Policy Change GJ-27, <i>Sheriff's Posse Program</i>	08/29/2019
BB 19-44	Immediate Policy Change GI-1, <i>Radio and Enforcement Communications Procedures</i>	10/04/2019
BB 19-47	Policy Acknowledgement CP-8, <i>Preventing Racial and Other Bias-Based Profiling</i>	11/05/2019
BB 19-48	Immediate Policy Change EB-1, <i>Traffic Enforcement, Violator Contacts, and Citation Issuance</i>	11/07/2019
BB 19-54	Special Briefing Board – Information Every Employee Needs to Know	12/18/2019
BB 19-55	Immediate Policy Change GF-5, <i>Incident Report Guidelines</i> , EA-11, <i>Arrest Procedures</i> , EB-1, <i>Traffic Enforcement, Violator Contacts, and Citation Issuance</i>	12/19/2019
BB 20-08	Immediate Policy Change GE-3, <i>Property Management and Evidence Control</i>	02/24/2020
BB 20-16	Immediate Policy Change GJ-5, <i>Crime Scene Management</i>	04/06/2020

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

- MCSO Briefing Board 19-32, published July 18, 2019 announced an immediate policy change to Office Policy GC-13, *Awards* providing information for the new Chief's Award for Excellence.
- MCSO Briefing Board 19-39, published August 28, 2019 announced an immediate policy change to Office Policy GF-5, *Incident Report Guidelines* providing an update to the requirements for IRs.

- MCSO Briefing Board 19-40, published August 29, 2019 announced an immediate policy change to Office Policy GJ-27, *Sheriff's Posse Program* providing updated procedures for personally owned, Posse branch owned, and county-owned vehicles or equipment.
- MCSO Briefing Board 19-44, published October 4, 2019 announced an immediate policy change to Office Policy GI-1, *Radio and Enforcement Communications Procedures* providing updated procedures for emergency traffic and assistance.
- MCSO Briefing Board 19-47, published November 5, 2019 announced a Policy acknowledgement to Office Policy CP-8, *Preventing Racial and Other Bias-Based Profiling* requiring employees to log into to TheHUB to view the Sheriff's video, answer associated test question, and acknowledge the viewing of the video and Office Policy CP-8, *Preventing Racial and Other Bias-Based Profiling*.
- MCSO Briefing Board 19-48, published November 7, 2019 announced an immediate policy change to Office Policy EB-1, *Traffic Enforcement, Violator Contacts, and Citation Issuance* providing an update for supervisors documenting on an *Incident Report Memorialization Form*.
- MCSO Briefing Board 19-54, published December 18, 2019 announced an annual reminder to all MCSO employees to ensure they familiarize themselves with Office Policies identified in the Briefing Board announcement as being critical to the operations of the Office and conduct of each employee.
- MCSO Briefing Board 19-55, published December 19, 2019 announced an immediate policy change to Office Policies GF-5, *Incident Report Guidelines*, EA-11, *Arrest Procedures*, EB-1, *Traffic Enforcement, Violator Contacts, and Citation Issuance* providing updated procedures for DUI Task Force.
- MCSO Briefing Board 20-08, published February 24, 2020 announced an immediate policy change to Office Policy GE-3, *Property Management and Evidence Control* providing updated procedures for processing digital photos and body-worn cameras recordings.
- MCSO Briefing Board 20-16, published April 06, 2020 announced an immediate policy change to Office Policy GJ-5, *Crime Scene Management* providing updated procedures for processing digital photos and body-worn cameras recordings.

MCSO Administrative Broadcast is an official Office informational publication used by MCSO for Office-wide announcements to include, but not limited to, written directives, critical information, procedural clarifications, and updates. During this reporting period, the Policy Development Section published 8 Court Order related MCSO Administrative Broadcast.

The following MCSO Administrative Broadcast were published during this reporting period (See Table #7):

TABLE 7: MCSO ADMINISTRATIVE BROADCAST FOR 2019/2020

MCSO Administrative Broadcast		
AB No.	Subject	Date Issued
AB 19-75	New Supervisor Note and Data Validation Allegations Added into Blue Team	07/18/2019

AB 19-76	Announcing New Minor Award Chief's Award for Excellence	07/18/2019
AB 19-110	Immediate Change Radio Code 999	10/04/2019
AB 19-129	Reminder- Review and Acknowledgement Requirements for Office Policy CP-8, Preventing Racial and Other Bias-Based Profiling	12/04/2019
AB 20-20	Consent to Search - 'Refuse' and 'Revoke' Office Policy GJ-3, <i>Search and Seizure</i>	03/10/2020
AB 20-29	New Procedures for Monthly Documentation of CPP Briefing	04/01/2020
AB 20-39	Office Policy CP-8 Required Video Viewing and Supervisor Documented Discussions or Briefing	04/20/2020
AB 20-51	Posse Functions and New Uniform Requirements	06/18/2020

Further explanation of the MCSO Administrative Broadcasts published during this reporting period:

- MCSO Administrative Broadcast 19-75, published July 18, 2019 announcing new allegations have been added into the Early Intervention System Blue Team.
- MCSO Administrative Broadcast 19-76, published July 18, 2019 announcing the new Minor Award The Chief's Award for Excellence.
- MCSO Administrative Broadcast 19-110, published October 04, 2019, announced further clarification to the immediate policy change regarding radio code 999 announced in *Briefing Board 19-44*
- MCSO Administrative Broadcast 19-129, published December 04, 2019, announced a reminder to all Office employees to review and acknowledge the requirements for Office Policy CP-8, Preventing Racial and Other Bias-Based Profiling, announced in *Briefing Board 19-47*.
- MCSO Administrative Broadcast 20-20, published March 10, 2020 clarifying information for the 2019 Annual Combined Training on the Fourth and Fourteenth Amendment, deputies watched a video on common searches performed during a traffic stop, including a consent to search.
- MCSO Administrative Broadcast 20-29, published April 1, 2020 advising a new procedure for sworn supervisors to document their monthly Constitutional Policing Plan (CPP) Briefing Note in Blue Team. Sworn supervisors are now directed to document their CPP briefing in Blue Team using the allegation Note-CPP Briefing.
- MCSO Administrative Broadcast 20-39, published April 20, 2020 advising supervisors shall unequivocally and consistently reinforce to subordinates that racial and bias-based profiling and/or discriminatory policing are unacceptable. Such direction shall occur, at a minimum, once in the first half of the calendar year and once in the second half of the calendar year.
- MCSO Administrative Broadcast 20-51, published June 18, 2020 advising the publication of Office Policy GJ-27, *Sheriff's Posse Program* policy containing necessary updates regarding the Sheriff's Posse Program and the new Sheriff's Posse uniform requirements.

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. On November 5, 2019 Briefing Board 19-47 was published to require all employee to log into to TheHUB to view the sheriff's video,

answer associated test question, and acknowledge the viewing of the video and Office Policy CP-8, *Preventing Racial and Other Bias-Based Profiling*. The publication of MCSO Administrative Broadcast 20-39, published April 20, 2020 advising supervisors shall unequivocally and consistently reinforce to subordinates that racial and bias-based profiling and/or discriminatory policing are unacceptable. Such direction shall occur, at a minimum, once in the first half of the calendar year and once in the second half of the calendar year.

- To further reinforce the requirements of Office Policy GJ-3, *Search and Seizure*, and the requirements for the use of the *Consent to Search* form, MCSO issued Administrative Broadcast 20-20. This reinforces that a deputy must affirmatively inform the person who is subject to the search of their right to both refuse and to revoke consent at any time.
- Reviewing and revising policy related to traffic enforcement (EB-1, *Traffic Enforcement, Violator Contacts, and Citation issuance*, 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 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 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 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 permanent injunction and 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 151 MCSO Office Policies in preparation for revision, continued with its annual review of all Critical Policies, and published 68 Briefing Boards and 120 Administrative Broadcasts.

This includes 39 MCSO Office Policies and 10 Briefing Boards, and 8 MCSO Administrative Broadcasts that were directly 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 deliverance 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.

MCSO has worked towards making changes to meet industry standards as well as incorporate Monitor and Party recommendations including non-binding recommendations when possible.

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 updated the Training Operations Manual which was approved by the Monitor in March 2020. The operations manual included several subjects provided by the Monitor including the "Train the Trainer," (TTT) protocol and standardization process to check for instructor misconduct.

MCSO training has been making progress on the development of the documentary style video related to the CPP on the subject of the History of Discrimination in Maricopa County. This has involved asking for and receiving feedback from the CAB as well as hiring a media professional with expertise in producing videos. MCSO looks forward to being able to showcase the final project and continues to work with the Monitor, Parties, and CAB on this project.

In December 2019, MCSO Training staff members attended a course along with two members of the CAB. The Training was hosted by AZ POST and taught by instructors from the DOJ's COPS Office. The training was titled, "Diversity and Inclusion for Law Enforcement: Enhancing Cultural Responsiveness". This training course was well-developed and delivered to those in attendance. The CORT Training Commander found this training course meaningful and some information from this course is incorporated into the 2020 ACT.

The PSB-8 Internal Training course for all investigative personnel assigned to the Professional Standards Bureau was delivered on July 18, 2019. The 2020 PSB-8 Internal is scheduled for October 16, 2020.

The 2019 PSB-8 External Training course for all supervisors who may investigate employee misconduct began with the TTT on August 22, 2019 and continued with classes through October 2019. It should be noted as part of this Training, MCSO had the students complete a misconduct investigation from beginning to end. This included several original videos that MCSO produced. MCSO will build on this in the future, continuing to improve compliance deficiencies found by the Monitor Team in District PSB cases.

The 2019 Supervisor Responsibilities: Effective Law Enforcement (SRELE) began with TTT on October 22, 2019 and continued with classes through December 2019. The 2020 SRELE curriculum was not delivered during this fiscal year and will be reported on in the next report.

The 2019 Annual Combined Training began with TTT on November 5, 2019 and continued with 25 more classes through January 2020.

TraCS was updated during July 2019, with updates to the Administrative Broadcasts, scenarios and evaluation forms. The most notable change in the material is to the scenarios and evaluation forms pursuant to change in Arizona State Law regarding suspended licenses. This updated training was first delivered in August 2019.

MCSO Training developed a new TraCS course specifically for supervisors.

EIU worked with the Monitor team on developing EIS Alert reference material. With the assistance of EIU, MCSO Training incorporated this material into an EIS Alert reference material that is available to all supervisors on the HUB. It has received positive feedback thus far.

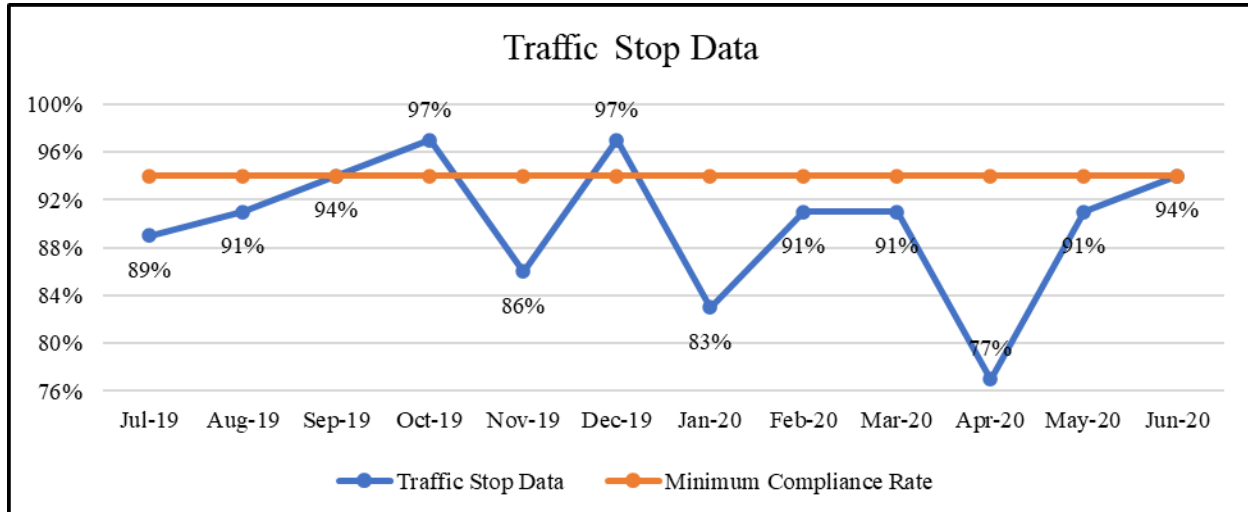
FY 2019-2020, MCSO CORT Training Summary:

Course Title		Students Attended	Hours Completed
Annual Combined Training (19 ACT)	26	875	260
Bias Free Policing (12 HR)	4	70	48
Blue Team Entry System	4	52	8
Body Worn Camera	4	50	16
Detention Arrests and Immigration Related Laws (6 HR)	4	71	24
Early Identification System (EIS)	2	26	20
Internal Investigations Training (PSB40)	1	26	40
Internal Investigations Training (PSB8)	10	257	80
Supervisor Employee Performance Appraisal (EPA)	2	28	20
Supervisor Responsibilities Effective (SRELE)	7	195	49
Traffic and Criminal Software TraCS	5	67	30
TOTAL	69	1717	595

Traffic Stop Documentation and Data Collection and Review

During this rating period, the BIO conducted twelve traffic stop related inspections to comply with the Court's Order, paragraph 64 (*See* Section III-D). The Monitor team 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 third quarter of 2019, the overall compliance rate for the quarter was 91%. July's compliance rate was 89%, August's compliance rate was 91%, and September's compliance rate was 94%.
- The fourth quarter of 2019 had an overall compliance rate of 93%. The monthly compliance rates were 97% for October, 86% for November, and 97% for December.
- The first quarter of 2020 had an overall compliance rate of 88%. The monthly compliance rates were 91% for January, 83% for February, and 91% for March.
- The second quarter of 2020 had an overall compliance rate of 87%. The monthly compliance rates were 77% for April, 91% for May and 94% for June.



In addition to the Monthly Traffic Stop Data Inspections completed by the Bureau of Internal Oversight, MCSO continues their partnership with CNA. The vendor aids in the analysis and review of Traffic Stops and Traffic Stop Data. CNA Analytics and Solutions 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. This year, MCSO BIO also invested in the creation of a Research and Reporting Unit (RRU), comprised of 3 graduate level researchers to assist and eventually assume the responsibilities of the vendor as well as meet other research needs of the office.

The MCSO has worked with the Monitor Team, the Parties, and CNA to develop the Traffic Stop Annual Report (TSAR). The methodology for the report was approved by the Monitor Team in April 2019. The fourth TSAR was published during the 3rd quarter of 2019. The fifth TSAR was published in the first half of 2020. 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 methodology was approved to pilot late in this reporting period. MCSO's TSAU and RRU, in conjunction with the vendor

CNA, have begun analyzing data to establish intervention strategies and thresholds that will accomplish the goals of identifying and intervening with potentially problematic behaviors. In addition to the completion of the TSAR, and progress on the TSMR, MCSO with the assistance of CNA submitted and had approved the first TSQR methodology, which was a qualitative assessment of supervisor traffic stop reviews. This report was completed during this period and slated to be dropped the first month of the next fiscal year. The 2nd TSQR methodology was submitted by the MCSO RRU during this reporting period and approved in August 2020. This TSQR is a survey that seeks feedback from supervisors who had to intervene on previous TSAR interventions and will assess their understanding/thoughts and time needed to conduct a thorough review and intervention on deputies who were flagged as outliers through the statistical analysis in the 3rd TSAR conducted by ASU. Additionally, the monitoring team and parties agreed in principle the topics for several other quarterly reports that will be completed by either MCSO units (TSAU and RRU) CNA as methodologies are approved. They will be analyses of extended stops, special assignments, district performance differences, and time trends in traffic stop activity.

EIU Operations Manual:

- During this reporting period two additional sections of the EIU Operations Manual were submitted and approved with section 306 being approved. 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.
-
- Developed and gained approval of 14 sections:
 - 301. EIS INCIDENT AND ALLEGATION PROCESS
 - 302. EIS ALERT PROCESS
 - 303. EIS INFORMATION DISCLOSURE
 - 305. TRAFFIC STOP DATA QUALITY CONTROL PROCESS: SOFTWARE CHANGE CONTROL PROCESSES
 - 306. TRAFFIC STOP DATA QUALITY CONTROL PROCESS: DATA VERIFICATION
 - 307. TRAFFIC STOP WEEKLY ANALYSIS, REPORTING, AND RESPONSES
 - 310. TRAFFIC STOP ANNUAL ANALYSIS, REPORTING, AND RESPONSES
 - 311. TRAFFIC STOP ANNUAL REPORT (TSAR) PROCESS
 - 501. MONITOR DOCUMENT PRODUCTION REQUESTS
 - 600. TRAINING
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Appendix A, C, H, and J

Early Identification System (EIS)

The EIU was created 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, the 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.

The EIU is responsible for administration of the Early Identification System (EIS) along with development and updates of GH-5 Policy. EIU has continuously worked to update/revise GH-5, develop sections of BIO/EIU Operations Manual, and create training courses which provide procedures and effective resources for the EIS. The EIS is designed 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 the PSB for alleged misconduct. It is the policy of the Office to use data from the 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 to the EIS. Additional assistance is provided by the Monitor team, the Parties, CNA, and CI Technologies.

During this reporting period, the IA Pro system triggered 532 alerts:

- The EIU forwarded 202 alerts to supervisors for further review.
- The EIU processed and quality-assured the following:
 - Academy Notes – 794
 - Award Recipient – 280
 - Briefing Notes – 1746
 - Coaching- 204
 - Commendations – 855
 - Critical Incident – 19
 - Data Validation- 104
 - EIS Action- 227
 - EIS Alert- 206
 - Employee Reported Activity - 611
 - Firearms Discharge - 22
 - Forced Entry - 11
 - Higher Award Nomination - 86
 - IR Memorialization - 21
 - Line Level Inspection - 2936
 - MCAO Further Notice - 171
 - MCAO Turndown Notice - 329
 - Minor Award Nomination - 107
 - Performance Assessment Measure - 554
 - Probationary Release- 24
 - Supervisor Notes – 57,237
 - Use of Force – 504
 - Vehicle Accident – 149
 - Vehicle Pursuits- 9

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

Completed projects for this year include updates to the various EIS courses included the EIS Supervisor Course and Blue Team Academy training courses. In addition to updating training, EIU has created the Alert Refresher Course which is now available on the HUB to assist supervisors with completing alerts. EIU's goal was to offer a resource to supervisors who had not recently completed an alert. EIU has received positive feedback from the field once the resource was made available. EIU will continue to develop and seek out new ways to assist supervisors utilize the EIS for effective supervision.

In addition to updated training and online resources, EIU continues to improve the EIS alert system and develop procedures for evaluating alert effectiveness. This process has yet to be approved and EIU will submit Section 302 for approval which outlines the plan to evaluate alert intervention effectiveness. Once approved, EIU will implement the effectiveness follow up process into the EIS. This new process will provide supervisors additional tools to assess interventions and meet alert effectiveness compliance requirements.

EIU and TSAU staff continue to collaborate on the liaison program where BIO staff regularly assist supervisors with alerts and other EIS related tasks. This program was implemented during this reporting period and has been a success. The program allows supervisors and employees the opportunity to ask questions, provide feedback and will help to improve communication between employees and the EIU. This in conjunction with the Alert Review Group will allow the EIS to continue to support the effective supervision and management of MCSO employees.

EIU continues to work on the EIS Threshold Project. The objectives of this project are to develop policy and procedure for determining EIS thresholds, routine review of thresholds, and implementation of new thresholds. This project has been ongoing throughout the previous year and remains incomplete. EIU has plans to complete this project by the end of the calendar year (2020).

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, the MCSO workgroup was established to explore improvements to the Office's Employee Performance Appraisal (EPA) which continued its efforts during the past year. The key focus areas for the workgroup have been streamlining the performance management process and improving supervisor effectiveness in evaluating employee performance while keeping compliance with applicable paragraphs at the forefront.

Workgroup members, representing a cross section of sworn employees and human resource personnel, have contributed towards a series of recommendations to improve the EPA process. Before further work was undertaken, the recommendations were successfully tested in a pilot process with a small group of sworn supervisors in order to observe the recommendations in action and obtain feedback from participants. Based on the workgroup recommendations and pilot participant feedback, relevant topics, and improvements we are now pending operationalization, via the development of a new performance management policy for sworn personnel. This will replace the current EPA focused policy, as well as the development of corresponding training curriculum. Policy and training topics include but are 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 supervisors managing to consistent employee competencies and role-based performance expectations;
- updating the performance management evaluation scale to utilize ratings that permit recognition of variations in employee performance (i.e., successful, exceptional, improvement needed)

- ensuring appropriate appraisal sections so there is consistency in how supervisors document required performance areas in a manner necessary to achieving compliance; and
- programming an EPA electronic tool so evaluators experience an efficient and streamlined process that includes ready access to supervisor notes.

As part of the workgroup's evaluative and development process, a new performance management policy GC-4(S), *Employee Performance Appraisals* for sworn personnel has been drafted, as has accompanying training curriculum. Each has received at least a first review by the monitor team and parties. Once both the policy and accompanying training materials are finalized, the next step for the MCSO includes deciding on an appropriate training schedule for successful implementation across all levels of sworn personnel. Future steps will also include continued consultation between the HR and IT Bureaus regarding an electronic EPA tool that is consistent with policy changes and ensures supervisors have both the guidance and tools they need to successfully manage employee performance.

MCSO Policy GB-2, Command Responsibility, establishes clear lines of authority through unity of command, guidelines for effective span of control, and other elements of command responsibility. The Policy Development Section continues to review this policy throughout the year in order to address BIO Action Forms and audits as well as span of control for supervisors.

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 and ethical law enforcement agency and enhancing its enforcement and detention services for our communities and citizens. As MCSO moves forward during this transition, BIO is committed to providing the tools necessary in the improvement of supervision, policy compliance, and achieving compliance with the Court's Order, while enhancing accountability and promoting a diverse and professional law enforcement agency.

MCSO has engaged in recruitment and retention efforts consistent with the Constitutional Policing Plan (CPP) goal #9 to recruit a diverse workforce which will emphasize MCSO's commitment in collaborating with the community to define public safety through development and nurturing an inclusive culture that supports the professional growth and retention of employees from diverse backgrounds within the Office, some of these efforts have been made through several of the events the MCSO Community Outreach Division (CoRD) participates in.

As such MCSO, through FY20, continued its advertising campaign and utilization of an outside marketing firm to promote the Office as an employer of choice. This included billboard advertising, radio ads, social media, etc.

The Pre-Employment Services division successfully implemented an enhanced Detention Officer/Deputy Sheriff Orientation Process. Panels were established to allow for small group discussions where applicants could up front ask questions, hear from experienced officers/deputies what the job entailed. During these orientations we began having a member of Pre-Employment speak to the group in a round robin fashion, regarding the background requirements, what a polygraph is, the questions that they would be asked, helping them feel comfortable with the different steps, allowing them to know the order of steps up front, giving estimates to the amount of time at each step.

In collaboration with the Training Division and Custody Command, MCSO successfully implemented a Detention Officer Lateral Program to provide an accelerated training program for those individuals who previously completed a detention/corrections academy and had prior experience working as a detention/corrections officer. The result is that over 170 laterals were hired in calendar year 2019.

The Pre-Employment Services Division enhanced the efficiency of the background investigation process by implementing eSOPH, which is a cloud based, case management system designed for the processing of pre-employment background investigations. In 2019, the HR Bureau was able to obtain funding, conduct an RFP process and implement the system with a pilot group of applicants. Full implementation took place in early 2020. Additionally, the utilization of a 3rd party background vendor to run credit reports, employment verification, education verification, etc. was initiated.

In early 2020, new background tiers were implemented in order to better align pre-employment processes with the needs of the specific position while ensuring integrity and suitability for employment.

- Tier 1 = any position requiring AZ POST certification.
- Tier 2 = Detention Officers and high-risk/significant public trust positions.
- Tier 3 = civilian positions, except for Detention Officers and those positions identified as high-risk/significant public trust by MCSO command (polygraph exam no longer required).

At the same time the new background tiers were established, new hiring standards for marijuana and hard drug use were also implemented for positions under Tiers 2 and 3.

- Must not have used marijuana within the last 18 months (no evaluation done regarding # of times used).
- Must not have used dangerous drugs/narcotics within the last 3 years. For individuals that have used more than 3 years ago, we will inquire about # of uses to consider as part of entire background evaluation; however, there will not be an automatic disqualifier based upon # of uses.

In early 2020, a new Deputy Sheriff exam (based on a recent job analysis) was implemented as well as enhanced pre-employment physical readiness standards (based on a prior validation study). The physical readiness component was moved to the later stages of the hiring process to provide applicants with additional time to prepare for the assessment.

Overall hiring from July 2019 through June 2020 is as follows (New Hires/Rehires only):

- Detention Officers – 377 (146% increase over 153 in FY19)
- Civilians – 155 (5% increase over 148 in FY19)
- Deputy Sheriff/Trainee – 52 (30% increase over 40 in FY19)
- Total = 584 (42% increase over 341 in FY19)

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 in the development of our employees in order to serve our communities in the most efficient, professional, and unbiased manner.

Misconduct and Complaints Annual Report

The PSB worked with the DOJ to identify a subject matter expert to provide specialized misconduct training to investigators assigned to the PSB; and contracted an outside vendor to develop the annual 8-hour continuing training. The PSB-Internal annual training in conducting investigations involving victims of domestic violence, assault, and sexual assault; and the annual 8-hour refresher training for supervisors outside of the PSB who conduct misconduct investigations, were completed.

Consistent with the Court's Order, Paragraph 251c, the PSB completed a survey in order to collect demographic information from its complainants to ensure that complainants are treated fairly and without bias. The survey is available on-line and in print format, sent to the complainants upon closure of the investigation. PSB implemented the survey in January 2020.

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

- Complaints regarding an 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 service complaints, which requires less investigative action than an administrative investigation. Additionally, a short form Service Complaint is used 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.
- Utilized the protocol for situations in which witness interviews may not need to be conducted, for example, when there is convincing evidence without the need to interview some potential witnesses, misconduct did nor did not occur.
- Utilized a protocol of 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 engaged in a partnership with Maricopa County Human Resources to initially vet employee relations complaints to determine whether a policy violation occurred.
- Hired three civilian investigators to assist with investigations.

The PSB updated and published its Operations Manual in December 2019. Also, the 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. The 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. The 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, the 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 Amended Second Supplemental Injunction/Judgement Order, the Monitor is vested with the authority to supervise and direct all administrative investigations pertaining to Class Remedial Matters (CRM). The PSB continued to meet with the Monitor Team 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 members of the Monitor Team to review and discuss CRM investigations and subsequent discipline in sustained investigations.

Consistent with the Court's Order, Paragraph 102, the MCSO mandated that any internal or external misconduct allegations must be reported to the PSB. Whenever misconduct is alleged, the PSB must assign an IA case number. During this reporting period, the PSB assigned 616 IA case numbers and completed and closed 275 IA cases. PSB assigned 21 CIA (criminal) cases and closed 25 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 226 internal complaints during this reporting period, demonstrating compliance with the Court's Order. Of the 226 internal complaints received, 210 were administrative investigations and 16 were criminal investigations. Additionally, PSB received 431 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 233 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 34 complaints and completed 6 investigation 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 10 complaints and completed four investigations 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 12 complaints via the PSB hotline.

Community Engagement

Community Engagement is an area MCSO strives to promote with our Civilian Employees, Detention Officers and Sworn Personnel. Deputies in the field are encouraged to develop positive relationships with community members and the local businesses we serve. In furtherance of the Community activities and meetings we attend, this Community Outreach Division (COd) is dedicated to building relationships and regaining the community Trust. This is not only a requirement of the Courts Order, but this is also consistent with Sheriff Penzone's visions and values on his direction to improve and build relationships within 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 these 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 about events taking place within the community as well as sharing information about employees, public safety announcements, and recruitments are just a few of the areas captured.

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 Courts Ordered Community Advisory Board (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, African American and LGBTQ+ Advisory Board that is made up of Dreamers, businesspeople, activists, educators, and community leaders. Each person was identified by members in the community as strong voices and active members.

On 07/02/2019, the Community Outreach Team hosted a meeting with Sheriff Penzone and Mexican Consulate Jorge Mendoza Yescas, recently assigned to the Phoenix /Northern Arizona region. Consul Mendoza Yescas was previously assigned to Canada therefore not accustomed to the day to day operations of Arizona Law Enforcement operations. Sheriff Penzone and Consul Mendoza Yescas held a powerful conversation on topics involving the Latino community and how we may continue to move forward in our partnership to better serve our community. At the conclusion of the meeting, Community Liaison Ron Gomez and Officer Caro conducted a tour of the Maricopa County Sheriff's Office Headquarters.

On 07/24/2019, the Community Outreach Division coordinated and attended with Sheriff Paul Penzone a community meeting with the town of Aguila (District 3). It is part of the Sheriff's Office responsibility to provide its services to the town of Aguila. Aguila has a small population, many in which are migrant agricultural workers that provide resources. The Outreach division has been working very closely with the town to mend the relationship with the community. The meeting was held to provide an opportunity for community members to ask questions of Sheriff Penzone and identify concerns or issues facing the Aquila Community.

On 7/28/19, the Community Outreach attended "Phresh Start Back-To-School" Bash in Maricopa County, this was an event in which over 100 barbers and hairstylist volunteered their time and provided free haircuts to

children in the community. They also gave away over 1000 backpacks along with school supplies. MCSO's COR'D was in attendance working with many other vendors, agencies and we were well received by the community in attendance. A lot of children who had an interest in a possible law enforcement career path had some awesome questions. Parents were welcoming and engaged in conversation with us and they stayed around to thank us for our participation and for our service.

On July 30, 2019, Community Outreach team attended the Mark's the Spot & AZ100Radio 6th Annual Back to School Drive. The event provided each child with a free haircut, backpack & school supplies. This was a great family-friendly event where MCSO had the opportunity to engage with the community we serve.

On 8/4/19, the Community Outreach team in collaboration with the Aguila Fire Department put together a Back to School Water Event for the town of Aguila. MCSO also provided back to school supplies that benefited about 6 schools which are all located in Gila Bend and Aguila. Aguila is a small mostly immigrant community about 2 hours away from Phoenix and is under our jurisdiction being patrolled by District III. This event provided free haircuts that were given to the whole community. There were about 250 backpacks along with school supplies that were given to the kids to prepare them for school. There was also made available to the community on this hot day, snakes, refreshments and 2 water slides for the kids to have fun in the sun. We were told that this was the first event of its kind in the town and we received a several compliments, and words of appreciation. Over 60 families came out and not only engaged with MCSO but also with Aguila Fire Department. This was truly a community event for all to remember!

On August 7, 2019, Community Outreach team and MCSO employees had a blast at the fall "Cops for Kids" event in Surprise, AZ. This was the first time Maricopa Lodge 5 Fraternal Order of Police selected our school. Each student received approximately \$200 worth of aid and was paired with a cop for back-to-shopping. They received new shoes, several outfits and a backpack filled with school essentials.

On August 13, 2019, Community Outreach Unit introduced its eighth community academy class. Class had 21 students celebrate in the graduation. Each person had a story to tell about their experience. Most importantly they all said that this was the best experience they have ever had. Over the past few weeks, members of the community had the opportunity to learn about our operations, tour the Estrella Jail, Food Factory, and MCSO Firearms Range.

On 08/26/2019, the Community Outreach team attended three different Neighborhood Watch presentations on the same day that included the Pueblo Grande, Sierra Estates and Silver Spur communities. The presentations were about home safety awareness and scams to be aware of. These communities are all located in District 1 patrol area.

On 8/29/2019, the Community Outreach Team was invited to the Gila Bend Career Day hosted by Mrs. Joanne Carpenter. In attendance were Gila Bend Fire Fighters, Paramedics, Air Medic, MCSO and Spanish speaking community members with infant children. The event was for community members present to receive recommendations/safety tips from first responders. Topics covered were, watching children around water, securing toxic cleaning supplies, how to treat minor burns, situational awareness, fraud, what to do when stopped by the police and how to report a crime with silent witness. Once the presentation from each agency was completed, community members in attendance had an opportunity to explore the first responder vehicles present.

On 09/11/2019, the Community Outreach Team participated in a Spanish speaking community forum with Cristina Anguiano, the host of Cafecito's. Cafecito's are an informal presentation for community members to interact with members of MCSO. The presentation is hosted at the Paradise Valley Family Resource Center inside of the Foothills Elementary Campus. Community Liaisons Ron, Sofia, and I spoke to the community

members in attendance about the difference from a municipality to the sheriff's office, what to do when stopped by the police and invited community members to our Spanish Community Academy. Cafecito's presentation concluded with a Q&A session.

On September 12, 2019, Community Outreach team had the opportunity to participate in the 5th Annual Superhero September Spectacular. This event raised money and awareness for children suffering from physical and sexual abuse. The funds raised supported the Glendale Family Advocacy Center and Southwest Family Advocacy Center that support thousands of children, annually.

September (18-21) 2019, MCSO Sofia Murta, Administrative Assistant, was selected to represent MCSO at the LETR Special Olympics National Conference in Denver. Mrs. Murta felt honored to be among so many different law enforcement agencies from around the county and the world. MCSO has been a big partner and supporter of LETR Special Olympics (Law Enforcement Torch Run). Every year MCSO take part in raising funds that will help benefit the AZ Special Olympics Athletes. MCSO has participated in the Tip-A-Cop's, Fuel of Dreams, Over the Edge and many more other fundraising events. These funds allow for the purchase of uniforms, equipment, physicals and much more. These funds also allow any and all special needs individuals to participate in unified sports all while bringing awareness and support to the inclusion revolution movement.

On 09/20/2019 and 09/27/2019 the Community Outreach Division along with the Sheriff's Office, PIO division and the Firearms Training Division helped coordinate and present firearms awareness to a group of Hispanic women. They were all affiliated with a group called the Pink Ladies. Some of the attendees included Radio Host Claudia from La Onda Radio, Reporter Antona Mejia (freelance news reporter) and Prensa Arizona Journalist/Writer and Producer Maritza Felix. They also had a chance to shoot a firearm (some who had never handled a firearm before). After the training, the group was very happy with the presentation.

On October 21, 2019 Community Outreach and MCSO LGBTQ Advisory Board will introduce to the public, a new policy on Transgender and Intersex Interactions. Over the past two years, the Maricopa County Sheriff's Office (MCSO), in collaboration with the MCSO LGBTQ+ Advisory Board has been working on a policy related to Transgender and Intersex Interactions with Sheriff personnel. The purpose of the policy is to offer guidance in the delivery of appropriate, respectful, and unbiased service while interacting with transgender, intersex, or gender-nonconforming individuals. It is the policy of the MCSO to ensure there's no discrimination or harassment of any kind based on an individual's actual or perceived gender. MCSO affirms its commitment to provide fair and impartial treatment to transgender, intersex, or gender-nonconforming individuals. To honor the completion of the written policy, MCSO and the ASU Center for Applied Behavioral Health Policy (CABHP) are hosting a special event to announce the implementation of the MCSO guidelines and to take questions and comments regarding the guidelines' implications. We invite you and your colleagues to attend our reception on Monday, October 21st at 5:00pm at the ASU Collaboratory on Central/Filmore at the Westward Ho for refreshments and a short presentation about the new policy.

On Saturday, October 18th, the Community Outreach Team and MCSO Training Division coordinated with the Town of Guadalupe to assist with cleaning two locations. Detention Basic Training Class 955 participated in the grand opening of the newly remodeled Seewa-Tomtete Community Center. Seewa -Tomtete was scheduled to host the grand opening ceremony on Saturday, October 19th however the outside area still needed to be cleaned up. Detention class 955 assisted with removing debris outside area of the community center and a successful grand opening ceremony was held. At the conclusion of cleaning up the community center, MCSO participated in cleaning the cemetery for the annual Día De Los Muertos community event. MCSO class 955 spent 8 hours serving the Guadalupe Community in cleaning up.

On October 19th 2019, The Community Outreach team did a presentation at the Mexican Consulates Office. The presentation was done in the lobby where there are usually around 100 people. The Outreach team usually does monthly presentations at the Mexican consulate regarding different topics providing information to the community. During this presentation, the topic was about Halloween safety for children. After our presentation, the Community Outreach team stayed and answered all questions community members might have.

On October 20th, the Community Outreach Division participated in a Christmas Toy Drive in the community of Aguila. The division partnered with the Aguila Fire Department to host a softball tournament. The request was for participating teams in the tournament to provide gifts as entry fees. In total three tournament dates were utilized to collect over 100 gifts for the youth of Aguila. It was a successful event that provided both an activity for community members and generated gifts for some of the community youth.

On October 21,2019, the Maricopa County Sheriff's Office and the MCSO LGBTQ Advisory Board along with the ASU Center for Applied Behavioral Health Policy held a special reception for the unveiling of a new policy aimed at bridging the gap between the LGBTQ community and law enforcement. The discussion allowed for members of the community to ask questions regarding the new policy and its implementation. Sheriff Penzone and MCSO leadership were also present to answer questions regarding the policy's guidelines and the steps MCSO has taken to provide unbiased service to the LGBTQ community and all community members.

On October 29, 2019, Our Community Outreach team, MCSO K9 Unit, and Enforcement Support visited Frank Elementary School in the Guadalupe Community for their Red-Ribbon event. The students had a great time watching the K9 demo, learning about the Maricopa County Sheriff Office, and ways to be safe and live #drug-free.

On Saturday November 2, 2019 Community Outreach started its final Community Academy for the year 2019. This was a Spanish speaking academy that had over 25 people in attendance. The attendance alone was considered as very successful. Opportunities like this allow for the general public to learn about various opportunities within MCSO. It also provided individuals from other parts of our community an opportunity to tour some of our locations such as the food factory. Several questions were asked and answered which helped the public have a better understanding of the organization.

On November 2nd, the Community outreach Division partnered with the Guadalupe Boxing Gym to host an afternoon of amateur boxing in the Mercado of Guadalupe. The Maricopa County Sheriff's Office provided food, seating, assisted with the setup and teardown of the ring, security and cooked for the refreshment stand. It was a great event for the Town of Guadalupe, Guadalupe Boxing Gym and the Office as it brought all the collaborators closer together in the efforts to form a better community. Hundreds of people from the community attended this event and showed great support for the youth and Law Enforcement (MCSO).

On November 15th 2019, Deputy MartInez did an interview with La Reyna Internet Radio Station. This interview was in Spanish and was also posted on the Radios Facebook page. This Radio station has viewers and listeners from Arizona and Mexico. Listeners can range up to 12,000. The interviews regarded domestic violence, knowing the laws and what victims can do.

November 19,2019, Community Outreach hosted MCSO and the Tempe Police Department hosted a Cadet/Explorer competition which included 12 teams from local and out of state agencies. Each team competed in 12 different challenges designed to incorporate the many aspects of law enforcement. MCSO units provided drone(s), robots, a bus, Booking Van, Communications Dispatchers, inmate simulation outfits and actors, proving a level of realism to the overall event. From tactical deployment of resources to the ability to act quickly on their feet, Cadet / Explorers were tested and evaluated on their performance in 12 different events.

December 2019 the MCSO Community Outreach team participated in 3 different Shop with The Cop's and AZ LEOS. These dates were December 7th, 8th & 14th. Between the three events, we were able to serve 82 kids in the community, take them shopping and provide each child a budget of \$125. They were given the opportunity to purchase whatever their heart desired. Most of the children purchased clothes, undergarments, shoes, and items they needed for everyday life. Some of the older kids purchased toys for themselves and/or for their younger siblings. Several of the kids selected had not really had a positive interaction with Police Officers so events like this really helped to build relationships between the Law Enforcement Officer and the youth. This was a great experience for both parties involved

On Monday, December 9th, the Community Outreach Team and Property and Evidence (P&E) Division participated in giving bicycles back to our community. Over the next few days, all the unclaimed bicycles which were listed as "donations" were gathered and returned to community leaders. Approximately 70 bicycles were accrued from all 7 Patrol Districts and half were donated to the Town of Guadalupe and the other half were donated to Aguila, AZ.

On December 12th, members of the Community Outreach Division (CORD) hosted a BBQ for the staff of Franklin Police and Fire High School. This event provided members of the Franklin faculty an opportunity to interact with the Community Outreach Division. The intent of this interaction was to thank the staff for allowing the MCSO an opportunity to interact with the students at the school. The CORD has been offering presentation to the students over the course of the past two years. The interaction with the students has proven valuable in countless ways and the staff has been very generous in allowing the MCSO to be present on the campus. A relationship between law enforcement and its youth is priceless.

01/11/2020- Stephanie Castrellon (a superior court employee) reached out to CORD referencing MCSO attending her church for a Spanish speaking presentation to church about MCSO and general safety tips. Shortly after Stephanie reached out, we scheduled a weekend presentation for her church in Maryvale. Deputy Martinez and I were able to connect with approximately 30 community members and their kids. Topics of conversation included but were not limited to: situational awareness, safety tips, knowing your rights and general information about MCSO. Hector and I were well received and completed the presentation with a Q&A session.

On January 11th, the Community Outreach Division partnered with Tres Leches Café for a community forum with Sheriff Penzone. The event was well attended and received by the community members in attendance and Sheriff Penzone who mentioned he liked the interaction and the venue.

On 1/17/20 and 1/23/20 Community Outreach participated in two Spanish Radio interviews. One with Kasa Radio and the other Indiscreta Radio. Both interviews referenced, "what the Sheriff's Office is" and "what the Office is doing to mend relationships with the community". We also talked about the importance of reporting crime and the Office not enforcing Immigration laws. Such an impact was made with the Radio hosts that we were invited to a barbecue specially made for us at Cesar Chavez Park.

On January 20, 2020, Sheriff Penzone and Executive Staff, Community Outreach, and MCSO participated in the East. Valley Dr. Martin Luther King Jr. Parade. This was a great community engagement opportunity.

02/07/2020- Sheriff Penzone, Liaison Gomez and Caro attended an event for terminally ill Corbin who was diagnosed with Leukemia. This assembly involved a variety of community organizations including Augusta Elementary School, Leukemia and Lymphoma Society, Mesa Police Department, Gilbert Police Department, Phoenix Police Department, and the Maricopa County Sheriff's Office. An assembly was dedicated to Corbin and his heroic efforts in battling Leukemia. All children in the school were chanting Corbin's name upon him entering the cafeteria with his immediate family members. During the assembly students were educated on

Leukemia and Sheriff Penzone talked to the students on what it means to be a hero. At the conclusion, Liaison Gomez and Caro handed stickers and high fived all the students for making the assembly successful.

On February 8, 2020, the Community Outreach participated in the annual Laveen BBQ held at Cesar Chavez Park, we mingled and answer many questions the community had especially regarding employment and the process. The event was attended by more than 1,500 community members and well over 100 vendors. Many children approached our booth with excitement and asked many questions regarding being an officer, not only where their questions answered but everyone left the booth with goodies such as coloring books, crayons, lanyards etc.

On February 14, 2020, Sheriff Penzone and Community Outreach attended the African American Legislative Conference and spoke to high school students about law enforcement, building trust in the community. The Communities Outreach team also took time to discuss MCSO job opportunities for the students.

On 2/15/20 the community outreach Division along with the Sheriffs K-9 unit participated in an event at Maryvale Park hosted by Rosa Pastrana. The Outreach Division contacted numerous community members from the Maryvale area and passed out MCSO brochures, stickers, and Junior Deputy badges. All interactions were positive.

On February 21st, the Community Outreach Division attended Franklin Police and Fire High School as part of our quarterly visits and facilitated a class, which was instructed by members of the Special Response Team. The students were very engaged with the officer during the presentation and asked wonderful questions regarding a career with MCSO. In a recent conversation with one of the Law Enforcement instructors at Franklin High School, I was informed it is anticipated 8 graduating seniors will be applying for employment with the Maricopa County Sheriff's Office.

On February 25, 2020, Sheriff Penzone, MCSO Executive Leadership, and the MCSO Community Outreach team were honored to attend the 5th Annual Law Enforcement Recognition Breakfast hosted by the East Valley Christian Leaders Alliance. We work alongside our law enforcement partners, government officials, and community leaders with a mission of building relationships within the community and restoring the trust.

On February 26, 2020, Ageez Barbershop in Phoenix gave us the opportunity for open dialogue with their customers and employees. Sheriff Penzone and Community Outreach team had the opportunity to connect with, understand, and learn from the communities that we serve.

On March 2, 2020, Outreach MCSO/ASU Intern Roy Tatem (President of the NAACP) and Director Collins read to Kindergarten and 1st-grade students from Wilson Primary School in celebration of Dr. Seuss' Birthday.

03/03/2020- The Community Outreach organized the 3rd annual tour of MCSO Headquarters for East Valley Institute of Technology High School students. This tour provided insight on the day to day operations of the MCSO HQ and training division. Junior students had an opportunity to meet employees and have a taser/pepper ball presentation from Officer Halucha.

March 6, 2020 was the Annual MCSO vs Aguila Fire Department Basketball game. This great event is held yearly giving the town of Aguila Elementary school a great interaction with not only MCSO but also their local Fire Department. After a good basketball game, the children enjoyed a speech pertaining to safety and the presence of MCSO. MCSO has a wonderful relationship with the community and is very well received by the parents and children alike, several games and a celebration followed along with hotdogs, chips and cookies, courtesy of MCSO Community Outreach.

Appendix A: MCSO Melendres Court Order Compliance Chart

Paragraph No.	Requirement	07/01/2019-9/30/2019 22nd Report		10/01/2019-12/31/2019 23rd Report		01/01/2020-03/31/2020 24th Report		04/01/2020-06/30/2020 25th Report		Date of 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	06/30/15
10	Collection and Maintenance of All Data and Records	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/15
11	MCSO Quarterly Report	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/15
12	MCSO Annual Internal Assessment - Information	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	09/30/15
13	MCSO Annual Internal Assessment - Dates/Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	09/30/15
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	03/30/18
21	Create and Disseminate Policy Regarding Biased-Free Policing	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	Pending	Pending	12/31/16
22	Reinforce Discriminatory Policing is Unacceptable	In Compliance	Not In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/17
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	09/30/15
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	12/31/17
25	Revise Policies to Ensure Bias-Free Traffic Enforcement	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	09/30/17
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	06/30/15
27	Remove LEAR Policy from Policies and Procedures	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	09/30/14
28	Revise Policies Regarding Immigration-Related Law	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/14
29	All Policies and Procedures shall Define Terms Clearly, Comply with Applicable Law and Order Requirements, and Use Professional Standards	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/14
30	Submit All Policies to	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/14

	Monitor within 90 Days of Effective Date; and Have Approval by Monitor Prior to Implementation									
31	Ensure Personnel Receive, Read, and Understand Policy	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	03/31/16
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	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/17
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	12/31/15
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	09/30/15
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	12/31/14
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	12/31/14
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	12/31/14
39	Hold community outreach meeting within 40 days after any significant operations or patrol in the affected District(s)	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	09/30/17
40	Notify Monitor and Plaintiffs within 24 hrs. of any Immigration Related Traffic Enforcement Activity or Significant Op	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/14

	Arrest of 5 or more People									
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	09/30/18
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	06/30/17
44	Training Schedule, Keeping Attendance, and Training Records	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/17
45	Training may Incorporate Role-Playing Scenarios, Interactive Exercises, and Lectures	Not Applicable	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/16
46	Curriculum, Training Materials, and Proposed Instructors	Not Applicable	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/16
47	Regularly Update Training (from Feedback and Changes in Law)	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/17
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	12/31/14
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	12/31/14
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	12/31/14
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	12/31/14
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	09/30/16
53	Supervisor Responsibilities Training Curriculum	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	09/30/16
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	12/31/14
56	Maintaining Integrity and	Not In Compliance	Not In Compliance	Not In Compliance	Not In Compliance	Not In Compliance	Not In Compliance	Pending	Pending	

	Accuracy of Traffic Stop Data									
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	06/30/17
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	12/31/16
59	Providing Monitors and Plaintiffs' Representative Full Access to Collected Data	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/14
60	Develop System for Electronic Data Entry by Deputies	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	09/30/15
61	Installing Functional Video and Audio Recording Equipment (Body-Cameras)	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/16
62	Activation and Use of Recording Equipment (Body-Cameras)	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/18
63	Retaining Traffic Stop Written Data and Camera Recordings	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/16
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	In Compliance	In Compliance	In Compliance	Pending	Pending	
67	Warning Signs or Indicia of Possible Racial Profiling or Other Misconduct	In Compliance	Deferred	In Compliance	Deferred	In Compliance	Not In Compliance	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	12/31/14
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	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/14

	Reviews of Collected Data									
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	03/31/17
74	Develop and Implement Protocol for Capturing and Inputting Data	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	
75	EIS shall Include a Computerized Relational Database	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	
76	The EIS shall include appropriate identifying information for each involved Deputy (i.e., name, badge number, shift and Supervisor) and civilian (e.g., race and/or ethnicity).	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/17
77	Maintaining Computer Hardware and Software, All Personnel Have Ready and Secure Access	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/14
78	Maintaining All Personally Identifiable Information	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	09/30/17
79	The EIS computer program and computer hardware will be operational, fully implemented, and be used in accordance with policies and protocols	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	12/31/17
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	03/31/17
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	03/31/16
85	Supervisors Discuss and Document Traffic Stops with Deputies	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	03/31/17
86	Availability of On-Duty Field Supervisors	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	03/31/17
87	Quality and Effectiveness of	In Compliance	Not In Compliance	In Compliance	Not In Compliance	In Compliance	Not In Compliance	Pending	Pending	

	Commanders and Supervisors									
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	09/30/15
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	06/30/16
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	09/30/17
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	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	09/30/16
94	Supervisor Documentation of Any Arrests that are Unsupported by Probable Cause or Violate Policy	In Compliance	Not In Compliance	In Compliance	Not In Compliance	In Compliance	Not In Compliance	Pending	Pending	
95	Supervisors 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	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	Not In Compliance	In Compliance	Not In Compliance	In Compliance	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	In Compliance	Not In Compliance	In Compliance	Not In Compliance	In Compliance	Not In Compliance	Pending	Pending	

	Employee Performance Evaluations									
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	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	
100	The quality of Supervisory reviews shall be taken into account in the Supervisor's own performance evaluations	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2018
101	MCSO shall develop and implement eligibility criteria for assignment to Specialized Units enforcing Immigration-Related Laws.	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	09/30/15
Section XI. Misconduct and Complaints										
102	MCSO shall require all personnel to report without delay alleged or apparent misconduct by other MCSO Personnel to a Supervisor or directly to IA	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/17
103	MCSO shall develop a plan for conducting regular, targeted, and random integrity audit checks to identify and investigate Deputies possibly engaging in improper behavior	Not In Compliance	Not In Compliance	Not In Compliance	Not In Compliance	Not In Compliance	Not In Compliance	Pending	Pending	
104	MCSO shall require Deputies to cooperate with administrative investigations	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	09/30/16
105	Investigator Access to Collected Data, Records, Complaints, and Evaluations	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	03/31/17
106	Disclosure of Records of Complaints and Investigations	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/15
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	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	9/30/18

	coincide with the quarterly site visits by the Monitor in a location convenient to the Plaintiffs class.									
110	At public meetings MCSO representatives are to listen to community members' experiences and concerns about MCSO practices implementing this order including the impact on public trust. MCSO representatives shall make reasonable effort to address such concerns during the meetings and afterward as well as explain to attendees how to file a comment or complaint.	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Pending	Pending	9/30/18
111	English and Spanish-speaking MCSO Personnel shall attend these meetings and be available to answer questions from the public.	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Pending	Pending	9/30/18
112	At least ten days before such meetings, the MCSO shall widely publicize the meetings in English and Spanish after consulting with Plaintiffs' representatives and Community Advisory Board regarding advertising methods.	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Pending	Pending	9/30/18
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	9/30/18
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	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/18

	complaints, concerns and suggestions submitted to the COD. Communicate concerns received from the community with the Monitor and MCSO leadership.									
115	MCSO and Plaintiffs' representatives shall work with community representatives to create a Community Advisory Board (CAB) to facilitate regular dialogue between MCSO and the community.	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/18
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	9/30/18
117	MCSO shall coordinate the meeting as dictated by the CAB members and provide administrative support for the CAB.	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Pending	Pending	9/30/18
118	CAB members will relay or gather community concerns about MCSO practices that may violate the Order and transmit them to the COD for investigation and/or action.	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Pending	Pending	9/30/18
SECOND ORDER Section XV. Misconduct Investigations, Discipline and Grievances										
165	Conduct comprehensive review 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	06/30/17
168	All forms of alleged reprisal, discouragement, intimidation, coercion or adverse action against any person reporting or attempting to report misconduct is strictly prohibited.	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/17
169	Ensure policies identify no	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/17

	retaliation to an employee for reporting misconduct									
170	Ensures completed investigations of all complaints including third-party	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/17
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	06/30/17
172	Provide instruction to employees that all relevant evidence and information for investigations be submitted and intention withholding shall result in discipline	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/17
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	03/31/18
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	03/31/17
175	Ensure Commanders review disciplinary history who are transferred to their command in timely fashion	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/18
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	06/30/17
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	12/31/17
179	Provide 8 hours annually of in-service to all Supervisors and PSB staff for conducting misconduct investigations	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	
180	Provide training to all employees	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	09/30/17

	on MCSO's new or revised policies related to misconduct investigation, discipline and grievances									
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	
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	09/30/17
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	12/31/17
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	06/30/17
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	06/30/17
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	06/30/17
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	06/30/17
189	PSB shall investigate misconduct allegation of a serious nature, or that result in suspension, demotion, termination or indication apparent criminal conduct by employee	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/17
190	Allegations of employee misconduct that are of a minor nature may be administratively investigated by a	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	03/31/18

	trained and qualified Supervisor in the employee's District.									
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	06/30/17
192	PSB shall review investigations outside of the Bureau at least semi-annually	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/18
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	06/30/17
194	PSM Commander ensures investigations comply with MCSO policy, requirement of this Order including those related to training, investigators disciplinary backgrounds and conflicts of interest	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	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	06/30/17
197	PSB will be headed by qualified Commander. If designation is declined by Sheriff, the Court will designate a qualified candidate	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/18
198	PSB shall be physically located in separate facility of MCSO facilities and must be accessible to public and present a non-intimidating	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	6/30/2018

	atmosphere to file complaints									
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	06/30/17
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	09/30/17
201	No preference shall be give 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	06/30/17
202	Investigate any evidence of potential misconduct uncovered during the course of the investigation regardless weather the potential misconduct was part of the original allegation	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/17
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 the MCSO employee engaged in misconduct	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/17
204	Complete investigations within 85 calendar days of the initiation of the investigation, or 60 calendar days if within a Division	In Compliance	Not In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/18
205	PSB maintain database to track cases which generates alerts when deadlines are not met	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/18
206	At conclusion of each investigation, IA will prepare an	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/17

	investigation report which includes elements from the eleven subsections of this paragraph									
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	06/30/17
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	12/31/17
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	06/30/17
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	06/30/17
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	06/30/17
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	06/30/17
215	Investigations conducted by Supervisors (outside of PSB) shall direct and ensure appropriate	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/17

	discipline and/or corrective action									
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	06/30/17
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	06/30/17
218	Maintain all administrative reports and files for recording keeping in accordance with applicable law	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/17
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	12/31/17
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	06/30/17
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	06/30/17
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	06/30/17
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	06/30/17
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	06/30/17
226	If designated member of MCSO command staff conducting the pre-determination hearing does not uphold charges and/or discipline recommended by	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/18

	PSB a written justification by that member is required									
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	06/30/17
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	06/30/17
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	06/30/17
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 Garrity v. New Jersey. 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	06/30/17
231	Sheriff shall ensure investigators conducting a criminal investigation do not have access to any statement by the principal that were compelled pursuant to Garrity	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/17

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	06/30/17
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	06/30/17
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	06/30/17
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	06/30/17
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	06/30/17
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	06/30/17
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	03/31/17
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	03/31/17
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	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	03/31/17

	available at locations around the County: website, HQ lobby, Districts, MC offices and public locations									
243	Establish a free 24-hour hotline for reporting complaints	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/17
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	12/31/16
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	12/31/16
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	03/31/18
247	Complainant make contact the PAS at any time to obtain status of their complaint	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	06/30/17
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	06/30/17
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	06/30/17
250	PSB will conduct regular assessments of complaints to identify potential problematic patterns and trends	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	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2018
252	Make detailed summaries of completed IA investigations readily available to the public	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/18
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	12/31/18
254	Initiate a testing program designed to assess civilian complaint intake	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/18
255	Testing program for investigation of civilian complaints should not use fictitious complaints	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/18

256	Testing program shall assess complaint intake for complaints made in person, telephonically, by mail, email or website.	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/18
257	Testing program shall include sufficient random and targeted testing to assess the complaint intake process	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/18
258	Testing program shall assess if employees promptly notify PSB of citizen complaints with accurate and complete information	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/18
259	Current or former employees cannot serve as testers	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/18
260	Produce annual report on the testing program	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	Community Advisory Board 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	Pending	Pending	
262	The Boards shall be provided annual funding to support activities	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Pending	Pending	
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	09/30/16
265	First-line Supervisors shall be responsible for closely and consistently supervising all	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 a First-line Supervisors (no more than 10 deputies)	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/16
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	In Compliance	Pending	Pending	
268	Approval by Monitor for any transfers of sworn personnel or Supervisors in or out of PSB, BIO or CID	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/18

SECOND ORDER Section XVIII. Document Preservation and Production										
269	Promptly communicate any document preservation notices to all personnel who have responsive documents	In Compliance	Not In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/18
270	Sheriff shall ensure a request for documents in the course of litigation is promptly communicated to all personnel and the need	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	
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	6/30/18
272	Ensure MCSO policy provides that all employees comply with document preservation and production requirements and maybe subject to discipline if violated	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	09/30/17
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	09/30/16
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 Class Remedial Matters and the assignment of these investigations	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	09/30/16
278	Sheriff shall alert the Monitor in writing to matters that could be considered Class Remedial Matters and has the authority to independently	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	09/30/16

	identify such matters									
279	Monitor has complete authority to conduct review, research and investigation deemed necessary to determine if matters qualify as Class Remedial Matters 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	09/30/16
281	Sheriff shall ensure MCSO receives and processes Remedial Matters 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	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/18
282	Sheriff and/or appointee may exercise the authority given pursuant to this Order to direct and/or resolve such Class Remedial Matters. The decisions and/or directives maybe vacated or overridden by the Monitors.	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/18
284	MCSO must expeditiously implement the Monitor's directions, investigations, hearings and disciplinary decisions	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/18
286	Monitor shall instruct PSB to initiate a confidential criminal investigation and oversee the matter or report to the appropriate prosecuting agency	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/18
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	06/30/17
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	03/30/17

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 Applicable	Not Applicable	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	09/30/16
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	06/30/17

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