

# **Exhibit A**

MARICOPA COUNTY SHERIFF'S OFFICE  
PAUL PENZONE, SHERIFF

## **COURT IMPLEMENTATION DIVISION**



# **2018 ANNUAL COMPLIANCE REPORT**

**JULY 1, 2017 – JUNE 30, 2018**

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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, 2017 through June 30, 2018. This Annual Report is submitted to comply with, Paragraphs 12 and 13 of the Court's Order.

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

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

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

When Sheriff Penzone took office in January 2017, he made several structural changes at MCSO that were highlighted in the last annual assessment and in the MCSO's quarterly reports. The changes emphasized his prioritization of compliance and integrity within the organization. Some noteworthy changes that occurred since the last assessment include:

- A new Chief Deputy was appointed in January 2018 due to a retirement. Sheriff Penzone appointed Chief Russ Skinner to the position of Chief Deputy. Chief Skinner has been involved in MCSO's reform efforts since his assignment in CID as a Captain and in charge of the Compliance Bureau as an Executive Chief. This promotion is another demonstration of the Sheriff's commitment to obtaining full and effective compliance.
- Chief Stephanie Molina, who had previously commanded the Professional Standards Bureau (PSB) was promoted to Executive Chief over the Compliance Bureau. She also had prior experience within the Compliance Bureau.
- During this rating period, Sheriff Penzone filed a motion with the Court to modify document 670, which pertains to community engagement. This motion was an extension of Sheriff Penzone's commitment to the community members he serves and his dedication to rebuilding the community's trust and confidence. The Sheriff also requested the Community Advisory Board (CAB) be expanded with appointments from MCSO and a joint appointment by MCSO and ACLU. On August 3, 2017, the Court amended the respective paragraphs shifting the responsibility of community engagement back to MCSO. While Sheriff Penzone and MCSO realized these amendments would require hard work and would come with challenges, MCSO was excited and humbled by this responsibility and now has an opportunity to work directly with the affected community and the new CAB to obtain community input into *Melendres*-related compliance. This amendment also gave MCSO the responsibility for planning, organizing, advertising, and hosting the Court's Order-mandated community meetings with the intention of improving community relations and repairing the damaged relationship between MCSO and the Plaintiff Class.

After much collaboration with the Monitor and Parties, on September 21, 2017, MCSO filed with the Court its stipulated Plan to Promote Constitutional Policing (the "Plan"), and throughout much of this rating period worked on achieving the identified goals. The Plan gave MCSO a roadmap to meet the expectations of the community

and to be a leader in 21st Century Policing. After the development of the plan, much time was spent exploring opportunities for the Plan, implementing the various reforms and striving to achieve the identified goals.

The Plan is a living document that is scheduled to be republished twice per year in January and July. The ongoing input from subject matter experts and the community lend to the successful progression of the goals toward organizational accountability to reform.

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.

The MCSO quarterly reports and the Monitor's quarterly reports are placed on the online learning tool, TheHUB, 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 they may have influence.

During the July 2016 Monitor Site Visit, the Monitor Team provided MCSO with several ideas to increase the pace of compliance. MCSO implemented several of the Monitor's suggestions, including developing the CID Liaison Program with the Patrol Districts, inviting sworn Captains to monthly compliance status meetings, and incorporating field personnel into meetings during the Monitor's quarterly site visits. All these implemented changes have been positive and MCSO plans to continue these practices and expand them with the expectation that will help future gains in compliance.

In some respects, compliance under the Court's Order requires complex technological change and advances. Accordingly, MCSO's Technology Bureau has the burden of developing technology-based solutions to fulfill many of the requirements under the Court's Order. The Technology Bureau juggles several technology projects simultaneously with regard to its efforts to assist MCSO to achieve its goal of full and effective compliance under the Court's Order. Some of these projects require the retention and assistance of software development by an outside technology vendor. Within this rating period, one of the more important tasks the Technology Bureau has been diligently working on is the implementation of Open Axes. Open Axes is a digital search tool that will search various data systems to identify documents and files related to preservation orders.

Work also continues on the refinement and expansion of MCSO's Traffic Stop Collection System (TraCS).

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

- 2017 Supervisor Responsibility: Effective Law Enforcement (SRELE)
- 2017 Early Identification System (EIS)
- 4th & 14th Amendment Training/Bias Free Policing Annual Combined Training (ACT)
- Misconduct Investigations Training/Complaint Intake Training

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

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

During this assessment period, Sheriff Penzone filed a motion with the Court to modify the Supplemental Order (Doc670), which pertains to community engagement. This motion was an extension of Sheriff Penzone's commitment to the community members he serves and his dedication to rebuilding the community's trust and confidence. The Sheriff also requested the CAB be expanded with appointments from MCSO and a joint appointment by MCSO and ACLU. On August 3, 2017, the Court amended the respective paragraphs, shifting the responsibility of community engagement back to MCSO. While Sheriff Penzone and MCSO realize these amendments will require hard work and will come with challenges, we are excited and humbled by this new responsibility and look forward to working directly with the affected community and the new CAB to obtain community input into *Melendres*-related compliance. MCSO now assumes the responsibility for planning, organizing, advertising, and hosting the Court's Order-mandated community meetings with the intention of improving community relations and repairing the damaged relationship between MCSO and the Plaintiff Class.

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 Sixteenth Quarterly Report, p. 5). 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 Sixteenth Quarterly Report, p. 5).

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 2017 – 2018. The Monitor's Seventeenth Quarterly Report is not due until after September 15th; therefore, the Court's Order Compliance Chart does not include data from the second quarter of 2018.

During this annual review period significant compliance progress has been made as demonstrated by the below tables taken from the Monitor’s 16th Quarterly Report depicting historical compliance rates for this assessment period:

		Report 1	Report 2	Report 3	Report 4	Report 5	Report 6	Report 7	Report 8	Report 9	Report 10	Report 11	Report 12	Report 13	Report 14	Report 15	Report 16
10/2013 “First Order”	Phase 1	4%	10%	44%	40%	51%	57%	61%	60%	67%	60%	63%	79%	88%	85%	85%	85%
	Phase 2	0%	0%	26%	25%	28%	37%	38%	39%	44%	49%	50%	57%	67%	62%	65%	64%
7/2016 “Second Order”	Phase 1	N/A									1%	10%	12%	72%	75%	77%	77%
	Phase 2	N/A									43%	46%	60%	63%	66%	72%	75%

MCSO has dedicated unprecedented financial and personnel resources to advance the organization towards compliance. MCSO’s path to compliance is a truly collaborative effort among MCSO, the Monitor, and the attorneys representing the Plaintiffs and the Department of Justice (DOJ), including technical assistance from the Monitor when requested and substantive suggestions from the Parties and the community advisory groups.

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



## Court Implementation and Document Production

MCSO took major steps to implement Section III of the First Order. In October 2013, MCSO formed a division titled the Court Compliance and Implementation Division consistent with Paragraph 9. In February 2015, MCSO changed the name of this division to the Court Implementation Division, or CID. The CID is currently comprised of 12 MCSO personnel with interdisciplinary backgrounds and various ranks: 1 Captain, 1 Lieutenant, 6 Sergeants, 2 Deputies, 1 Management Assistant, and 1 Administrative Assistant.

Captain Timothy Campbell was assigned to command CID on September 25, 2017. Lieutenant Frank McWilliams is assigned the role of single point of contact with the Court and the Monitor, although MCSO's legal team and MCSO's upper Command Staff also communicate with the Monitor Team and Parties as needed. CID coordinates site visits and other activities with each of the Parties, as the Court's Order requires. 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.

The CID enjoys and will continue to enjoy a positive 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.

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) Personnel. This shared effort and allocation of assignments are set for the in Table #1 immediately as follows.

**TABLE 1: MCSO UNIT ASSIGNMENTS FOR COURT'S ORDER**

<b>MCSO Unit Assignments for Court's Order</b>	
<b>Section</b>	<b>Unit Name</b>
III. MCSO Implementation Unit and Internal Agency-Wide Assessment (First Order)	<ul style="list-style-type: none"> <li>• Court Implementation Division</li> <li>• Maricopa County Attorney's Office</li> </ul>
IV. Monitor Review Process (First Order)	<ul style="list-style-type: none"> <li>• Court Implementation Division</li> <li>• Maricopa County Attorney's Office</li> </ul>
V. Policies and Procedures (First Order)	<ul style="list-style-type: none"> <li>• Court Implementation Division</li> <li>• Human Resources Bureau, Compliance Division - Policy Section</li> <li>• Maricopa County Attorney's Office</li> </ul>
VI. Pre-Planned Operations (First Order)	<ul style="list-style-type: none"> <li>• Court Implementation Division</li> <li>• Compliance Division – Policy Section</li> <li>• Detective and Investigations Bureau</li> </ul>
VII. Training (First Order)	<ul style="list-style-type: none"> <li>• Court Implementation Division</li> <li>• Maricopa County Attorney's Office</li> <li>• Training Division</li> </ul>

VIII. Traffic Stop Documentation and Data Collection and Review (First Order)	<ul style="list-style-type: none"> <li>• Court Implementation Division</li> <li>• Bureau of Internal Oversight</li> </ul>
IX. Early Identification System (“EIS”) (First Order)	<ul style="list-style-type: none"> <li>• Court Implementation Division</li> <li>• Bureau of Internal Oversight/Early Intervention Unit</li> </ul>
X. Supervision and Evaluation of Officer Performance (First Order)	<ul style="list-style-type: none"> <li>• Court Implementation Division</li> <li>• Command Staff</li> <li>• Human Resources Bureau, Compliance Division and Personnel Services Division</li> </ul>
XI. Misconduct and Complaints (First Order)	<ul style="list-style-type: none"> <li>• Court Implementation Division</li> <li>• Command Staff</li> <li>• Professional Standards Bureau</li> <li>• Supervisors in each unit</li> </ul>
XII. Community Engagement (First Order)	<ul style="list-style-type: none"> <li>• Court Implementation Division</li> <li>• Community Outreach Division</li> </ul>
XV. Misconduct Investigations, Discipline, and Grievances (Second Order)	<ul style="list-style-type: none"> <li>• Court Implementation Division</li> <li>• Professional Standards Bureau</li> <li>• MCSO Training</li> <li>• Community Outreach Division</li> <li>• MCSO Command Staff and District Commanders</li> <li>• Compliance Division</li> </ul>
XVI. Community Outreach and the Community Advisory Board (Second Order)	<ul style="list-style-type: none"> <li>• Court Implementation Division</li> <li>• Community Outreach Division</li> <li>• Professional Standards Bureau</li> </ul>
XVII. Supervision and Staffing (Second Order)	<ul style="list-style-type: none"> <li>• Court Implementation Division</li> <li>• Command Staff</li> <li>• Human Resources Bureau, Compliance Division and Personnel Services Division</li> <li>• Bureau of Internal Oversight/Early Intervention Unit</li> <li>• Enforcement Bureau</li> </ul>
XIX. Additional Training (Second Order)	<ul style="list-style-type: none"> <li>• Court Implementation Division</li> <li>• Maricopa County Attorney’s Office</li> <li>• Training Division</li> </ul>
XX. Complaint and Misconduct Investigations Relating to Members of the Plaintiff class (Second Order)	<ul style="list-style-type: none"> <li>• Court Implementation Division</li> <li>• Maricopa County Attorney’s Office</li> <li>• Professional Standards Bureau</li> </ul>

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 an attempt to try and accelerate the pace of compliance, the Monitor circulated a draft policy and curriculum review proposal which was adopted. Under this protocol, the Parties have 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 20 combined document requests during this reporting period and produced over 1,250,000 pages of documents (see Table #2). 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.

**TABLE 2: DOCUMENT PRODUCTION REQUESTS**

<b>Document Production Requests</b>	
<b>Title</b>	<b>General Description</b>
July 2017 Quarterly Document Requests	Document Request from Monitor needed for Quarterly Assessments
July Monthly Document Requests	Monitor's Monthly Production Request
July 2017 Site Visit Document Requests	Document Requests because of the Site Visit
August Monthly Document Requests	Monitor's Monthly Production Request
September Monthly Request	Monitor's Monthly Production Request
07/01/2017-09/30/2017	Various Miscellaneous Requests
October 2017 Quarterly Document Request	Document Request from Monitor needed for Quarterly Assessments
October Monthly Request	Monitor's Monthly Production Request
October 2017 Site Visit Document Requests	Document Requests because of the Site Visit
November Monthly Request	Monitor's Monthly Production Request
December Monthly Request	Monitor's Monthly Production Request
10/01/2017-12/31/2017	Various Miscellaneous Requests

January Monthly Request	Monitor's Monthly Production Request
January 2018 Quarterly Request	Monitor's Quarterly Requests
January 2018 Site Visit Request	Monitor's Site Visit Request
February Monthly Request	Monitor's Monthly Production Request
March Monthly Request	Monitor's Monthly Production Request
01/01/2018-03/31/2018	Various Miscellaneous Requests
April Monthly Request	Monitor's Monthly Production Request
April 2018 Quarterly Requests	Monitor's Quarterly Requests
April 2018 Site Visit Requests	Monitor's Site Visit Request
May Monthly Request	Monitor's Monthly Production Request
June Monthly Request	Monitor's Monthly Production Request
04/01/2018-06/30/2018	Various Miscellaneous Requests

## Inspections and Quality Assurance Audits

Consistent with the Court’s Order mandate to engage in periodic audits, on September 29, 2014, MCSO created BIO to address the Court’s Order compliance and to assist the Sheriff’s Office by providing timely and professional auditing, inspections, technical and review services. This includes the assessment of employee performance and misconduct, management functions, the promotion of integrity, economy, efficiency and effectiveness of Office programs, services and activities. 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 EIU. The BIO team is comprised of a combination of sworn, detention and civilian Sheriff’s Office staff.

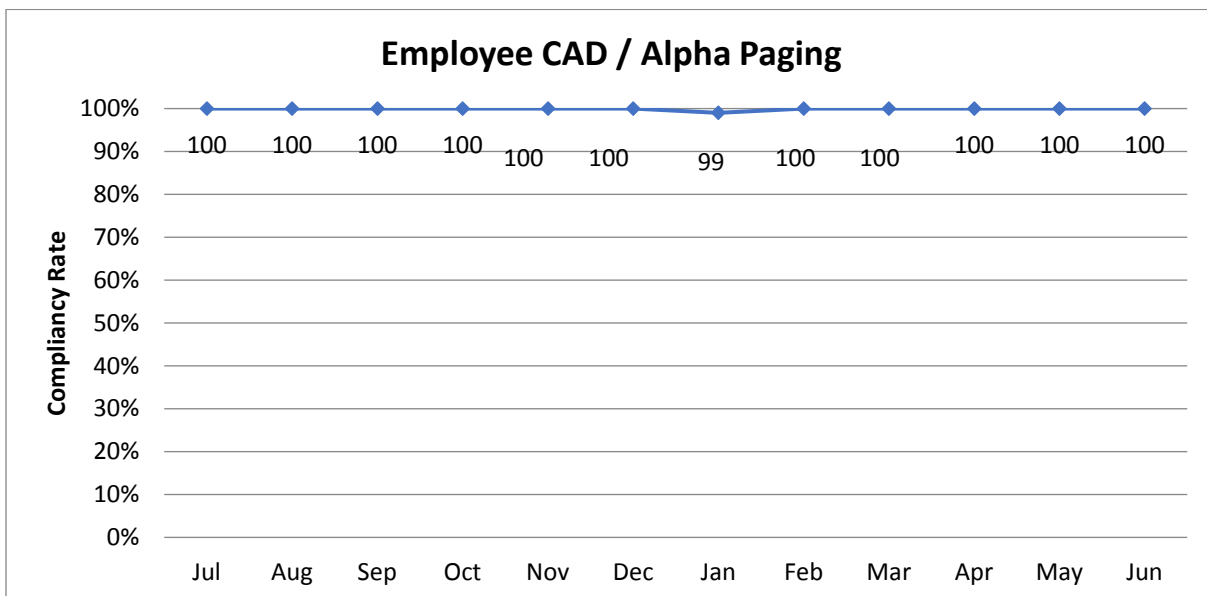
The AIU’s primary function is to conduct audit and non-audit services for the Sheriff’s Office. The AIU conducts audits and routine compliance inspections on an ongoing basis. The purpose of the audits is to determine compliance with Office policy, promote proper supervision, and support compliance with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

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 conducts a CAD Messaging/Alpha Paging Inspection on a monthly basis by selecting a random sample of all CAD messages and Alpha Paging messages.

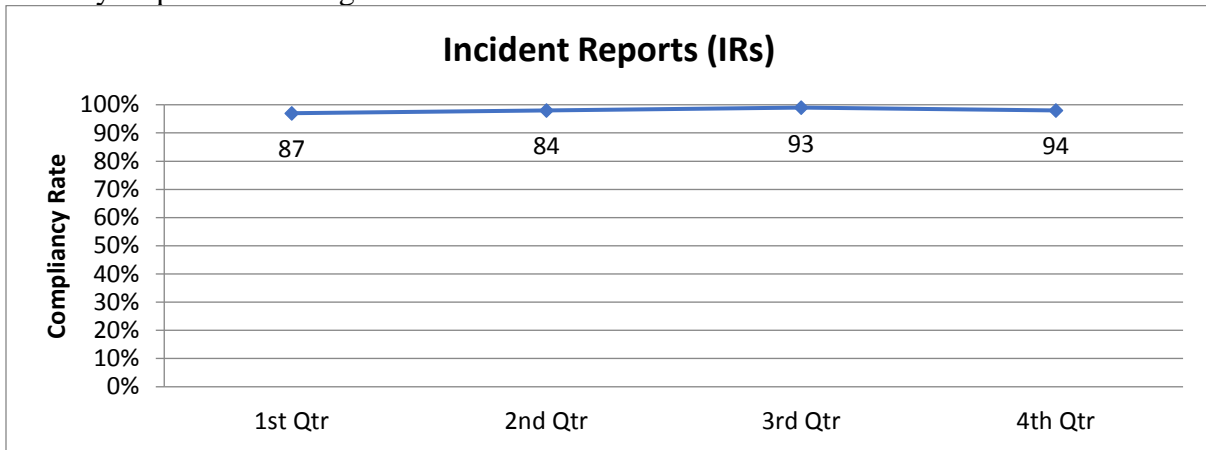


**Administrative Investigations Inspection**

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. For this inspection, a random sample of 25 closed cases from each month was reviewed. The inspection complies with MCSO Policies GH-2, *Internal Investigations* and GC-17, *Employee Disciplinary Procedure*, MCSO Policy GJ-26, *Sheriff’s Reserve Deputy Program*, MCSO Policy GJ-27, *Sheriff’s Posse Program* and is consistent with the Court’s Order Paragraphs 33,102, and 104. BIO’s semi-annual audit report regarding misconduct investigations as required by Paragraph 253 has been put on hold until a methodology for the inspection is developed and agreed upon. The methodology for this inspection was approved on 06/28/2018. AIU will begin this inspection with July’s 2018 data for cases initiated on, or after December 1, 2017 and closed during the respective month being inspected, with a sample selected by the Monitor Team. After a six-month period of time in which the inspection is conducted, AIU will compile a semi-annual report outlining the inspection results to meet the requirements of the Court’s Order.

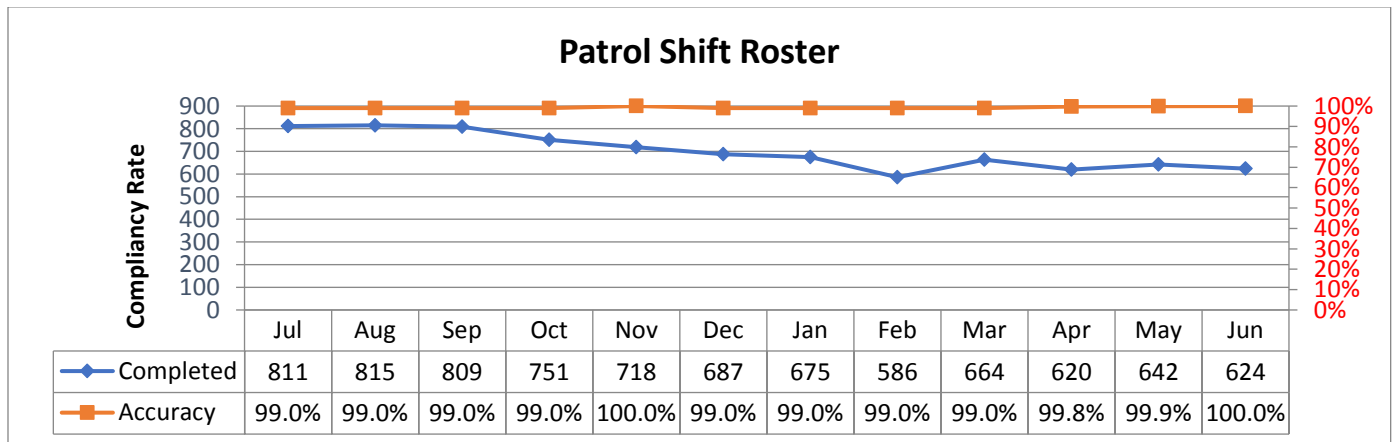
**Quarterly Incident Report (IRs) Inspection**

The Quarterly Incident Report Inspection ensures that Incident Reports adhere to Office policy, federal and state laws, promotes proper supervision, and supports compliance with the Court’s Order. The AIU completes the IR inspection on a quarterly basis by taking a sample of IRs provided each month to the CID by the Monitor Team. IRs are uniformly inspected utilizing the AIU matrix.



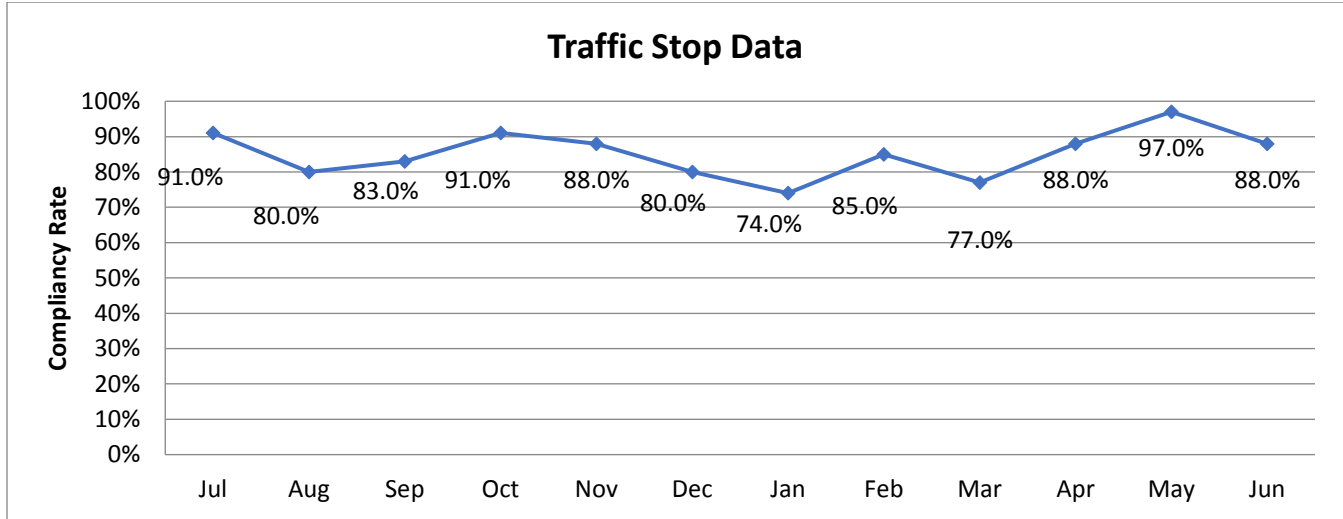
**Patrol Shift Roster Inspection**

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 is conducted by reviewing all Patrol Shift Rosters for the month inspected. The Office has continued to adhere to proper span of control for deputy to sergeant patrol squad ratios and has eliminated acting patrol supervisors.



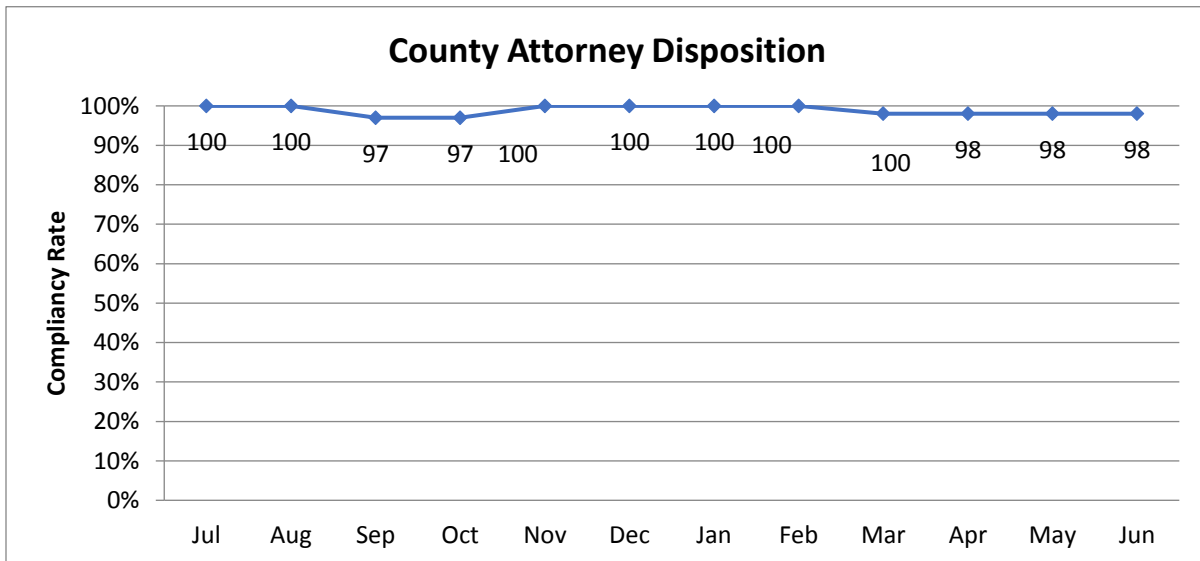
**Traffic Stop Data Collection Inspection**

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



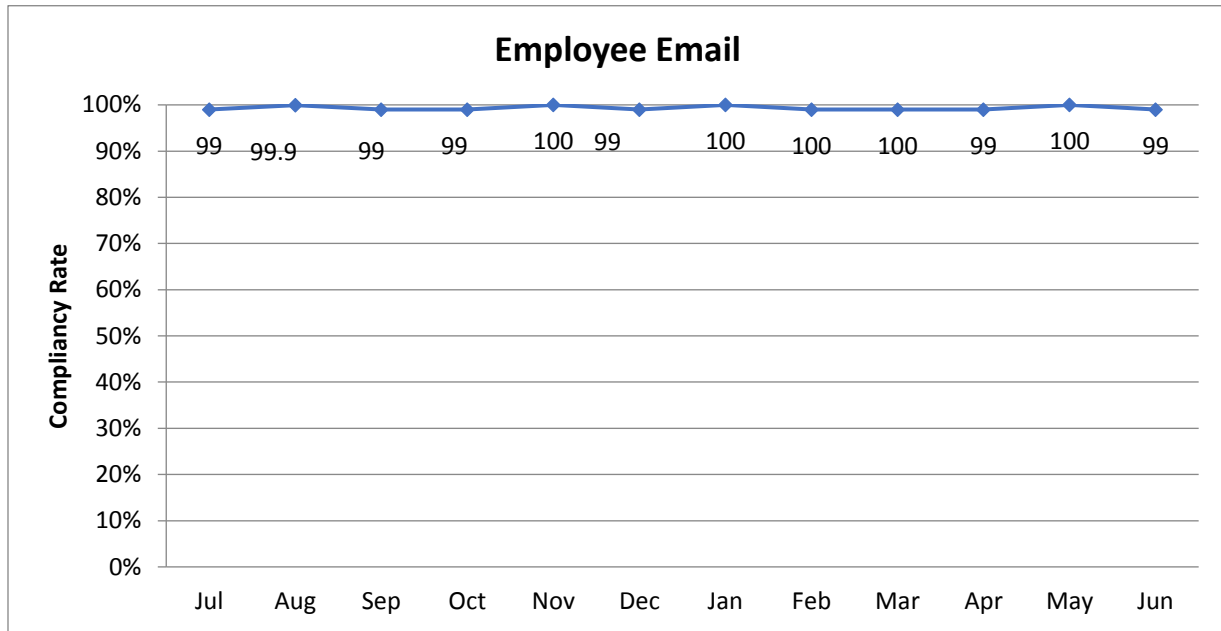
**County Attorney Disposition Inspection**

The County Attorney Dispositions Inspection is conducted to ensure that there were no irreversible errors in cases declined for prosecution by the prosecuting authority or court. To achieve this, inspectors utilized “IAPro” to generate all County Attorney turndowns processed for the respective month. The County Attorney turndowns are uniformly inspected utilizing the Records Division “FileBound” database and the AIU matrix developed in accordance with Policies GF-4 and ED-3, and the Court’s Order Paragraph 75.



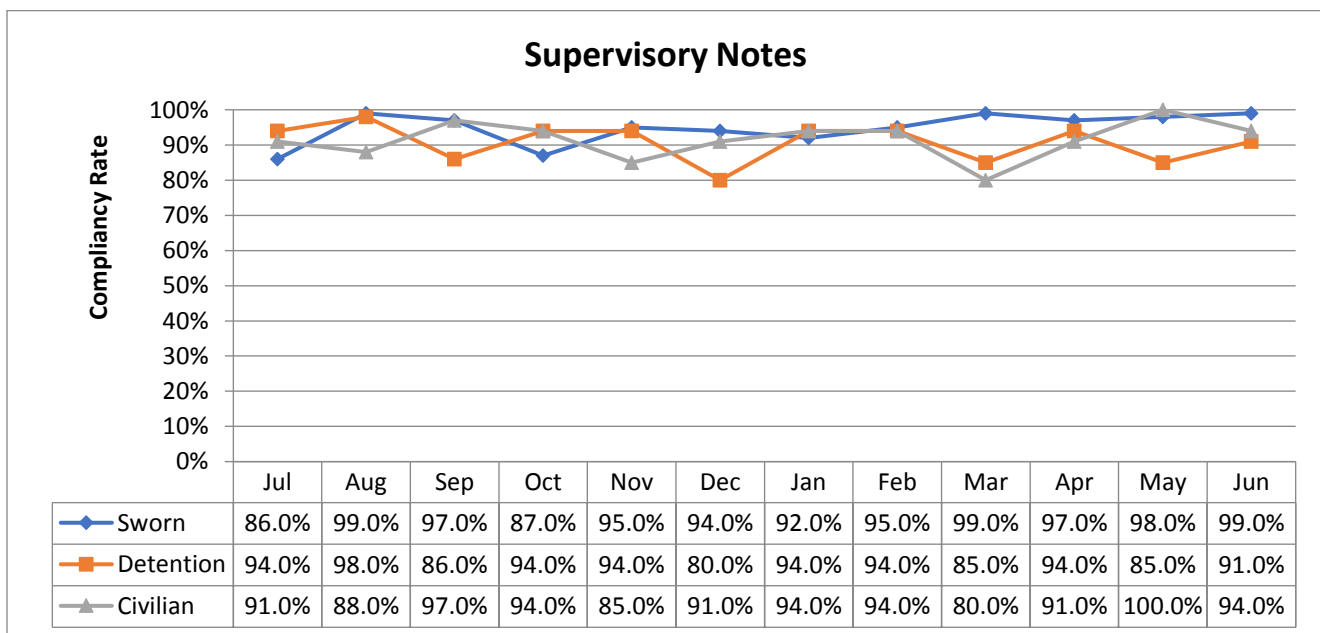
**Employee Email Inspection**

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



**Supervisory Notes Inspection**

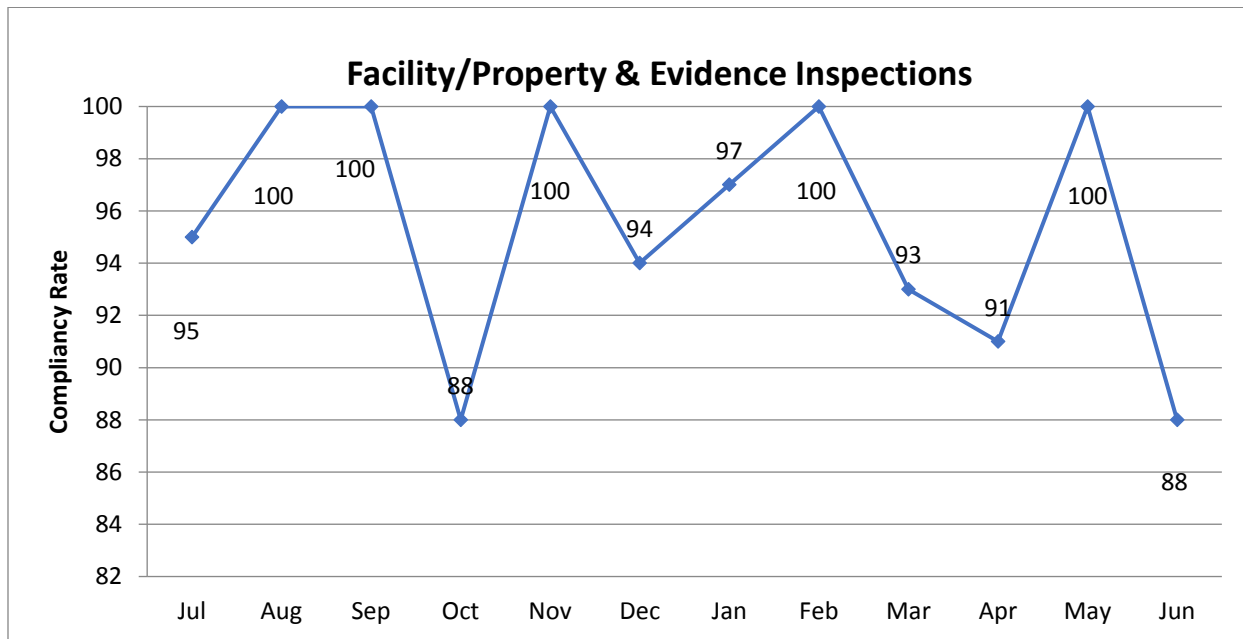
The Supervisory Notes Inspection is conducted on sworn, detention, and civilian personnel to ensure that Supervisory Note entries in the Blue Team application are in compliance with Office Policy and the Court’s Order. This inspection is conducted by uniformly inspecting the Supervisor Note entries within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





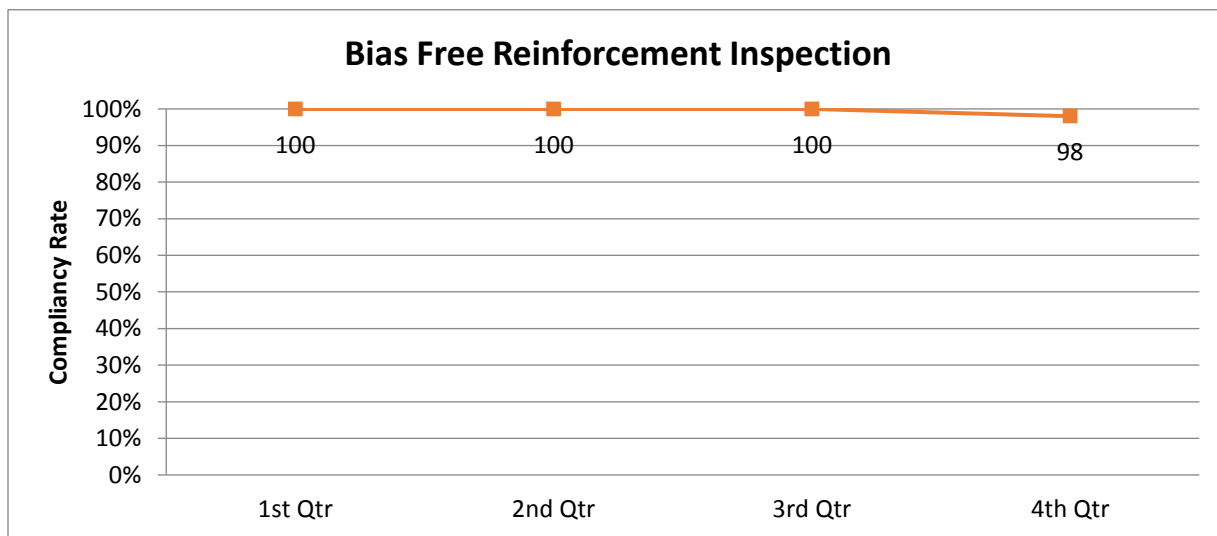
**Facility / Property & Evidence Inspection**

The Facility/Property & Evidence Inspections are conducted to ensure that MCSO 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.



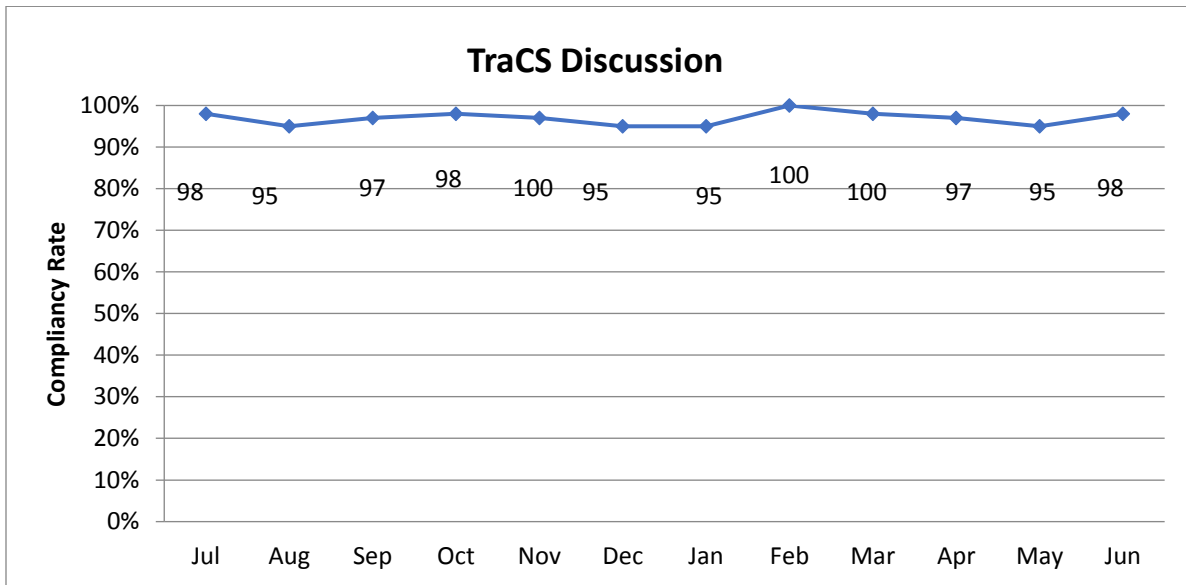
**Quarterly Bias-Free Reinforcement Inspection**

The Quarterly Bias-Free Reinforcement Inspection is conducted to ensure that detention and sworn supervisors have 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. To achieve this, the Monitor Team, through the CID, selects for review the Supervisor Notes and Briefing Note entries for 35 detention personnel and 35 sworn personnel on the first month of the quarter being inspected.



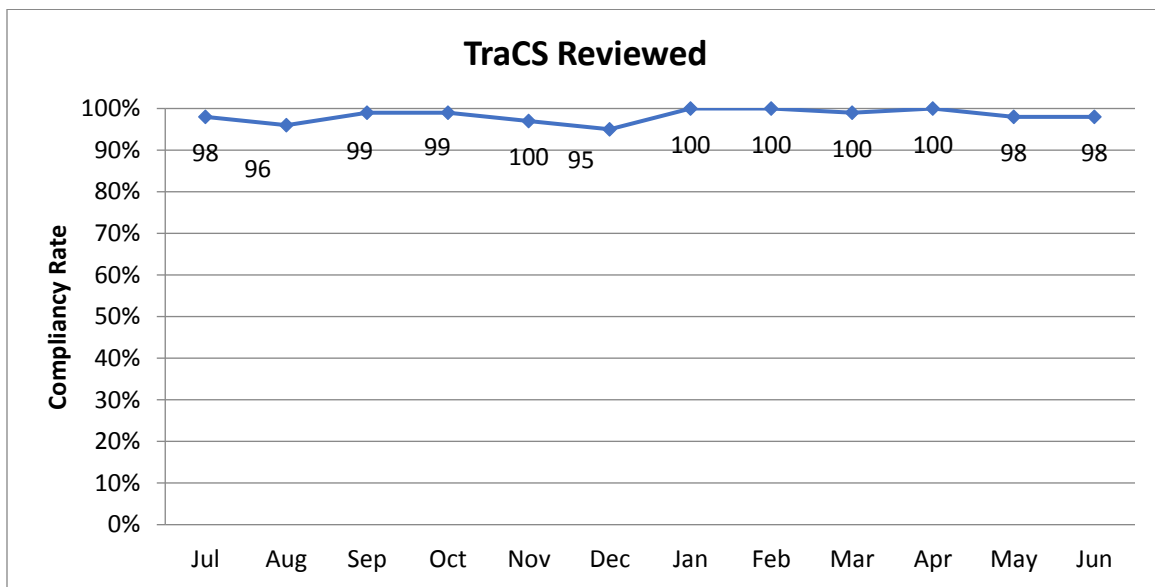
**TraCS Discussion Inspection**

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



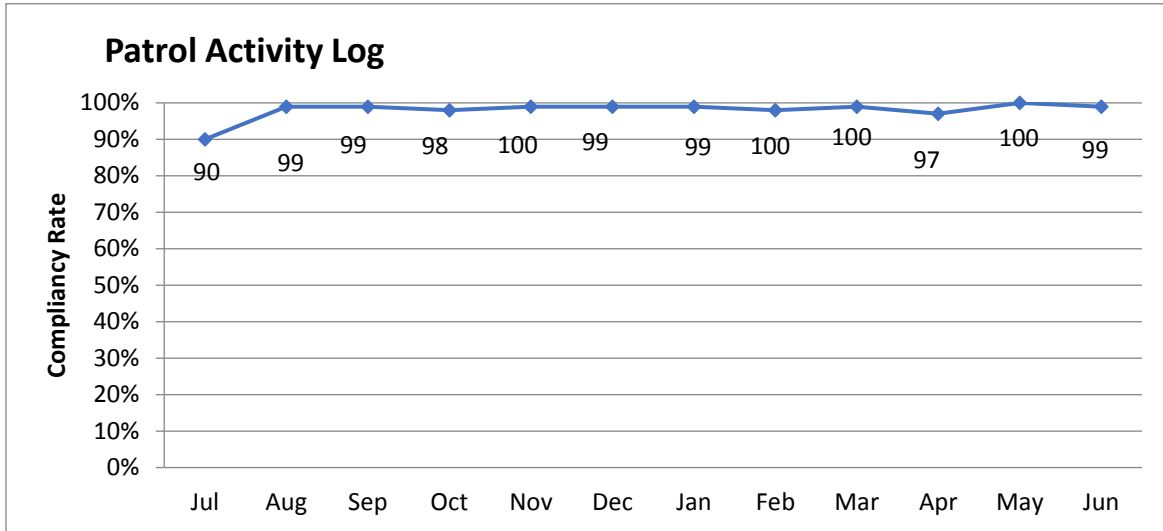
**TraCS Reviewed Inspection**

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



**Patrol Activity Log Inspection**

The Patrol Activity Log Inspection is conducted to ensure compliance with Office Policy and the Court’s Order, as well as 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.



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. The work AIU completes assists in that endeavor.

## Annual Policy Assessment

The Policy Section of the MCSO is comprised of eight employees, who are responsible for reviewing and revising Office Policies. The Compliance Division Commander Tiffani Shaw oversees the Policy Section which consists of (1) section commander, (1) detention sergeant, (1) sworn sergeant, (1) detention officer, and (3) 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 distribution. The policy database, policy files, and MCSO publications are reviewed for inclusion, if necessary, within the policy. In addition, input is received from other affected areas of the MCSO to include command personnel. Each policy is reviewed for proper grammar, sentence structure, and formatting. 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 policy has been finalized, approval is needed from the Policy Section chain of command, the Chief of Staff and the Chief Deputy.

Upon receipt of the Court's Order, and consistent with Paragraph 18 requirements that MCSO deliver police services consistent with the Constitution, and the laws of the United States and Arizona, MCSO continually reviews its Office Policies and Procedures. In fulfillment of its duties and obligations under Federal and Arizona law, MCSO is committed to ensuring equal protection under the law and bias-free policing. To ensure compliance with the Court's Order, MCSO continues to comprehensively review all 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 policies and procedures, the Training Division utilizes TheHUB system to distribute and require attestation of all *Briefing Boards* and published Office Policies. The TheHUB system memorializes and tracks employee compliance with the required reading of MCSO Office Policy and Procedures, employee acknowledgement that he or she understands the subject policies and procedures and employee expression of his or her agreement to abide by the requirements of the policies and procedures. MCSO provides the Critical, Detention, Enforcement, and General Policies via TheHUB as a resource for all MCSO personnel.

During this reporting period, the Policy Section reviewed, revised, and published 38 Office Policies relative to the Court's Order. These Office Policies were reviewed and approved by the Monitor. (See Table #3):

**TABLE 3: DISSEMINATION OF COURT ORDER RELATED POLICIES**

Dissemination of Court Order Related Policies		
Policy No.	Policy Name	Effective Date
CP-2	<i>Code of Conduct</i>	05/09/18
CP-3	<i>Workplace Professionalism: Discrimination and Harassment</i>	04/10/18
CP-5	<i>Truthfulness</i>	10/24/17
CP-8	<i>Preventing Racial and Other Bias-Based Profiling</i>	10/24/17
CP-11	<i>Anti-Retaliation</i>	10/24/17
EA-2	<i>Patrol Vehicles</i>	12/08/17
EA-3	<i>Non-Traffic Contact</i>	06/14/18
EA-11	<i>Arrest Procedures</i>	06/14/18
EB-1	<i>Traffic Enforcement, Violator Contacts, and Citation Issuance</i>	01/11/18
EB-2	<i>Traffic Stop Data Collection</i>	04/13/18
EB-7	<i>Traffic Control and Services</i>	04/25/18
ED-2	<i>Covert Operations</i>	04/13/18

ED-3	<i>Review of Cases Declined for Prosecution</i>	03/14/18
GA-1	<i>Development of Written Orders</i>	01/09/18
GB-2	<i>Command Responsibility</i>	05/10/18
GC-4	<i>Employee Performance Appraisals</i>	09/06/17
GC-11	<i>Employee Probationary Periods</i>	03/30/18
GC-12	<i>Hiring and Promotional Procedures</i>	04/10/18
GC-13	<i>Awards</i>	11/30/17
GC-16	<i>Employee Grievance Procedures</i>	11/30/18
GC-17	<i>Employee Disciplinary Procedures</i>	04/06/18
GD-9	<i>Litigation Initiation, Document Preservation, and Document Production Notices</i>	10/13/17
GE-3	<i>Property Management and Evidence Control</i>	08/23/17
GE-4	<i>Use, Assignment, and Operations of Vehicles</i>	10/07/17
GF-1	<i>Criminal Justice Data Systems</i>	01/09/18
GF-3	<i>Criminal History Record Information and Public Records</i>	05/24/18
GG-1	<i>Peace Officer Training Administration</i>	05/16/18
GG-2	<i>Detention/Civilian Training Administration</i>	05/16/18
GI-1	<i>Radio Communications, Call Signs, and Phonetic Alphabet</i>	04/19/18
GI-5	<i>Voiance Language Services</i>	12/08/17
GI-7	<i>Processing of Bias-Free Tips</i>	08/23/17
GJ-3	<i>Search and Seizure</i>	03/02/18
GJ-9	<i>Restraint and Transportation of Prisoners and Inmates</i>	08/02/17
GJ-26	<i>Sheriff's Reserve Deputy Program</i>	03/30/18
GJ-30	<i>TASER Conducted Electrical Weapon (CEW)</i>	09/27/17
GJ-31	<i>Pepperball Launcher</i>	09/27/17
GJ-33	<i>Significant Operations</i>	05/10/18
GM-1	<i>Electronic Communications and Voice Mail</i>	05/24/18

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

**TABLE 4: ORDER RELATED POLICIES UNDER REVIEW/REVISION**

<b>Order Related Policies Under Review/Revision</b>		
<b>Policy No.</b>	<b>Policy Name</b>	<b>Effective Date</b>
CP-2	<i>Code of Conduct</i>	05/09/18
CP-3	<i>Workplace Professionalism: Discrimination and Harassment</i>	04/10/18
CP-5	<i>Truthfulness</i>	10/24/17
CP-8	<i>Preventing Racial and Other Bias-Based Profiling</i>	10/24/18
CP-11	<i>Anti-Retaliation</i>	10/24/17
DD-2	<i>Inmate Property Control</i>	12/02/05
DJ-3	<i>Inmate Grievance Procedures (GH-2 Related)</i>	06/23/16
EA-2	<i>Patrol Vehicles</i>	12/08/17
EA-3	<i>Non-Traffic Contact</i>	06/14/18

EA-5	<i>Enforcement Communications</i>	12/08/16
EA-8	<i>Domestic Violence</i>	05/03/18
EA-10	<i>Hazardous Materials and Waste</i>	04/25/18
EA-11	<i>Arrest Procedures</i>	06/14/18
EB-1	<i>Traffic Enforcement, Violator Contacts, and Citation Issuance</i>	01/11/18
EB-2	<i>Traffic Stop Data Collection</i>	04/13/18
EB-4	<i>Traffic Records</i>	11/07/06
EB-5	<i>Towing and Impounding Vehicles</i>	04/13/18
EB-7	<i>Traffic Control and Services</i>	04/25/18
ED-1	<i>Task Forces</i>	04/25/18
ED-2	<i>Covert Operations</i>	04/13/18
ED-3	<i>Review of Cases Declined for Prosecution</i>	03/14/18
GA-1	<i>Development of Written Orders</i>	01/09/18
GB-2	<i>Command Responsibility</i>	05/10/18
GC-7	<i>Transfer of Personnel</i>	05/17/17
GC-11	<i>Employee Probationary Periods</i>	03/30/18
GC-12	<i>Hiring and Promotional Procedures</i>	04/10/18
GC-13	<i>Awards</i>	11/30/17
GC-16	<i>Employee Grievance Procedures</i>	11/30/18
GC-17	<i>Employee Disciplinary Procedures</i>	04/06/18
GD-9	<i>Receipt of Litigation Notice or Subpoena</i>	10/13/17
GE-3	<i>Property Management and Evidence Control</i>	08/23/17
GE-4	<i>Use, Assignment, and Operations of Vehicles</i>	10/07/17
GF-1	<i>Criminal Justice Data Systems</i>	01/09/18
GF-3	<i>Criminal History Record Information and Public Records</i>	05/24/18
GF-5	<i>Incident Report Guidelines</i>	12/14/16
GG-1	<i>Peace Officer Training Administration</i>	05/16/18
GG-2	<i>Detention/Civilian Training Administration</i>	05/16/18
GH-2	<i>Internal Investigations</i>	05/18/17
GH-4	<i>Bureau of Internal Oversight</i>	12/14/16
GH-5	<i>Early Identification System (EIS)</i>	03/24/17
GI-1	<i>Radio Communications, Call Signs, and Phonetic Alphabet</i>	04/19/18
GI-2	<i>Master Recording System</i>	11/21/12
GI-4	<i>Calls for Service</i>	01/07/17
GI-5	<i>Voiance Language Line Services</i>	12/08/17
GI-7	<i>Bias Free Tips and Information Processing</i>	08/23/17
GJ-2	<i>Critical Incident Investigations</i>	03/22/11
GJ-3	<i>Search and Seizure</i>	09/16/06
GJ-4	<i>Evidence Control (Combined with GE-3, Property Management)</i>	09/15/14
GJ-5	<i>Crime Scene Management</i>	09/15/14
GJ-9	<i>Restraint and Transportation of Prisoners and Inmates</i>	08/02/17
GJ-24	<i>Community Relations and Youth Programs</i>	01/07/17

GJ-26	<i>Sheriff's Reserve Deputy Program</i>	03/30/18
GJ-27	<i>Sheriff's Posse Program</i>	04/04/14
GJ-28	<i>Prison Rape Elimination Act (GH-2 Related)</i>	06/15/16
GJ-30	<i>TASER Conducted Electrical Weapon (CEW)</i>	09/27/17
GJ-31	<i>Pepperball Launcher</i>	09/27/17
GJ-33	<i>Significant Operations</i>	05/10/18
GJ-35	<i>Body-Worn Cameras</i>	01/07/17
GJ-36	<i>Use of Digital Recording Devices (NEW POLICY)</i>	Pending
GM-1	<i>Electronic Communications and Voicemail</i>	05/24/18
GN-1	<i>Criminal Intelligence Operations</i>	04/21/09

The Policy Section is in the process of researching, developing, and implementing one new Court's Order-related Office Policy (See Table #5):

**TABLE 5: NEW COURT ORDER RELATED POLICIES**

<b>New Court Order Related Policies</b>		
<b>Policy No.</b>	<b>Policy Name</b>	<b>Effective Date</b>
GJ-36	<i>Use of Digital Recording Devices (NEW POLICY)</i>	Pending

During this reporting period, the Policy Section submitted the following Office Policies to the CAB for input/recommendations (See Table #6):

**TABLE 6: POLICIES SENT TO CAB FOR INPUT/RECOMMENDATIONS**

<b>Policies sent to CAB for input/recommendations</b>		
<b>Policy No.</b>	<b>Policy Name</b>	<b>Effective Date</b>
GC-13	<i>Awards</i>	11/30/17
GI-5	<i>Voiance Language Services</i>	12/08/17
GI-7	<i>Processing of Bias-Free Tips</i>	08/23/17

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 May 2014 MCSO initiated the use of *Administrative Broadcasts* to announce non-policy related information. During this time period, the Policy Section published six Court's Order related *Briefing Boards* and 30 Court's Order-related *Administrative Broadcasts*.

The following *Briefing Boards* were published during this reporting period (See Table #7):

**TABLE 7: MCSO BRIEFING BOARDS**

<b>MCSO Briefing Boards</b>		
<b>BB No.</b>	<b>Subject</b>	<b>Date Issued</b>
BB 17-32	Immediate Policy Change GC-17, Attachment B	08/03/17
BB 17-43	Immediate Policy Change GE-3, Property Management and Evidence Control	10/03/17



BB 17-53	Immediate Policy Change GD-9, Litigation Initiation, Document Preservation, and Document Production Notices	11/20/17
BB 17-56	Immediate Policy Change EB-7, Traffic Control and Services	12/05/17
BB 17-57	Immediate Policy Change GE-4, Use, Assignment, and Operation of Vehicles	12/05/17
BB 17-61	Immediate Policy Change GI-1, Radio Communications, Call Signs, and Phonetic Alphabet	12/15/17
BB 18-01	E-Policy Moving to TheHUB	01/02/18
BB 18-05	Immediate Policy Change GG-1, Peace Officer Training Administration – GG-2, Detention/Civilian Training Administration	01/08/18
BB 18-12	Immediate Policy Change GJ-3, Search and Seizure	03/27/18
BB 18-15	Immediate Policy Change GE-3, Property Management and Evidence Control	04/05/18

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

- MCSO Briefing Board 17-32, published on August 3, 2017, announced a policy change to Office Policy GC-17, Employee Disciplinary Procedures, Attachment B, affecting employee discipline related to DUIs.
- MCSO Briefing Board 17-43, published on October 3, 2017, announced a policy change to Office Policy GE-3, Property Management and Evidence Control, providing employee's clarification on issuing a Property Receipt.
- MCSO Briefing Board 17-53, published on November 20, 2017, announced an immediate policy change to Office Policy GD-9, Litigation Initiation, Document Preservation, and Document Production Notices, providing guidance to employees on documents that need to be provided.
- MCSO Briefing Board 17-56, published December 5, 2017, announced an immediate policy change to Office Policy EB-7, Traffic Control and Services, providing procedures for vehicle escort request.
- MCSO Briefing Board 17-57, published December 5, 2017, announced an immediate policy change to Office Policy GE-4, Use, Assignment, and Operation of Vehicles, providing procedures to obtain approval for use of an Office vehicle for vehicle escort purposes.
- MCSO Briefing Board 17-61, published December 15, 2017, announced an immediate policy change to Office Policy GI-1, Radio Communications, Call Signs, and Phonetic Alphabet, introducing new procedures and call signs for patrol sergeants.
- MCSO Briefing Board 18-01, published January 02, 2018, announced the Office's transition from E-Policy to TheHUB. TheHUB will be used to review and acknowledge all future published Office Policies.
- MCSO Briefing Board 18-05, published January 08, 2018, announced an immediate policy change to Office Policy GG-1, Peace Officer Training Administration and GG-2, Detention/Civilian Training Administration, providing an update to the language affecting consideration for training instructors.
- MCSO Briefing Board 18-12, published March 27, 2018, announced an immediate policy change to Office Policy GJ-3, Search and Seizure, providing procedures for warrantless vehicle searches that were inadvertently left out of the recent published revision.
- MCSO Briefing Board 18-15, published April 05, 2018, announced an immediate policy change to Office Policy GE-3, Property Management and Evidence Control providing proper procedures for the storage and disposal of impounded firearms.



The following MCSO Administrative Broadcasts were published during this reporting period (See Table #8):

**TABLE 8: MCSO ADMINISTRATIVE BROADCASTS**

<b>MCSO Administrative Broadcasts</b>		
<b>AB No.</b>	<b>Subject</b>	<b>Date Issued</b>
AB 17-97	TraCS Update	07/12/17
AB 17-101	Scientific Analysis Reports Now Provided Through TraCS	07/31/17
AB 17-104	TraCS Update	08/09/17
AB 17-106	Praxis Patrol Activity Log Update	08/11/17
AB 17-110	TraCS Update	08/21/17
AB 17-114	TraCS Update	08/28/17
AB 17-118	EPA's Now Completed In The Praxis System	09/05/17
AB 17-119	TraCS Update	09/12/17
AB 17-121	TraCS Upgrade	09/14/17
AB 17-122	TraCS Update	09/15/17
AB 17-128	TraCS Update	11/03/17
AB 17-150	GC-4 Transfer Evaluation Process Clarification	11/03/17
AB 17-154	Legal Liaison Section Documentation Preservation Electronic Discovery Tool-Open Axes	11/20/17
AB 17-157	Sheriff's Intelligence, Leads, and Operations (SILO) Unit	11/29/17
AB 18-08	E-Policy	01/18/18
AB 18-17	Office Policies on TheHUB / Reports for Policy Review and Acknowledgments	02/13/18
AB 18-41	Complaint Intake Procedures Reminder	04/18/18

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

- MCSO Administrative Broadcast 17-101, published on July 31, 2017, announced that scientific analysis report hard copies will no longer be sent out or emailed to the requesting deputies effective August 1, 2017. Procedures were provided on how to obtain the report.
- MCSO Administrative Broadcast 17-104, published on August 09, 2017, announced a TraCS technical update effective August 09, 2017. A chart was provided identifying approximately 50 new violation codes.
- MCSO Administrative Broadcast 17-106, published on August 11, 2017, announced a Praxis Patrol Activity Log (PAL) technical update effective August 11, 2017.
- MCSO Administrative Broadcast 17-110, published on August 21, 2017, announced a TraCS technical update effective August 21, 2017. A chart was provided outlining resolutions to previous TraCS system issues.
- MCSO Administrative Broadcast 17-114, published on August 28, 2017, announced a TraCS technical update effective August 28, 2017. A chart was provided outlining resolutions to previous TraCS system issues.
- MCSO Administrative Broadcast 17-118, published on September 5, 2017, announced the conversion of EPAs to be completed in the Praxis system effective September 1, 2017.
- MCSO Administrative Broadcast 17-119, published on September 12, 2017, announced a TraCS technical update effective September 12, 2017. A chart was provided outlining resolutions to previous TraCS system issues.
- MCSO Administrative Broadcast 17-121, published on September 14, 2017, announced a TraCS technical update effective September 14, 2017. A chart was provided outlining resolutions to previous TraCS system issues.
- MCSO Administrative Broadcast 17-122, published on September 15, 2017, announced a TraCS technical

update effective September 19, 2017. Log in instructions were provided to show users how to access reports in the Praxis application.

- MCSO Administrative Broadcast 17-128, published on September 25, 2017, announced a TraCS technical update effective September 25, 2017. A chart was provided outlining resolutions to previous TraCS system issues.
- MCSO Administrative Broadcast 17-150, published on November 03, 2017, announced clarification for supervisors on when it would be necessary for them to complete a transfer evaluation on an employee in Blue Team.
- MCSO Administrative Broadcast 17-154, published on November 20, 2017, announced the implementation of Open Axes by the Legal Liaison Section (LLS). This application will allow the LLS to search and view all Office network drives when searching for records and information based on criteria established during the Document Preservation process.
- MCSO Administrative Broadcast 17-157, published on November 29, 2017, announced the purpose and function of the Sheriff's Intelligence, Leads, and Operations (SILO) Unit that went into operation 09/11/2017.
- MCSO Administrative Broadcast 18-08, published January 18, 2018, announced the deadline for the discontinuance of E-Policy and served as reminder to all employees to familiarize themselves with all published Office Policies and to complete their acknowledgments upon their review using TheHUB.
- MCSO Administrative Broadcast 18-17, published February 13, 2018, announced access to all Office Policies through TheHUB to include instructions for reviewing and acknowledging Office Policies in TheHUB.
- MCSO Administrative Broadcast 18-41, published April 18, 2018 announced a reminder to all Office employees on the procedures for accepting and investigating complaints and allegations of misconduct, including third-party and anonymous complaints.

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

- Promulgating CP-8, *Preventing Racial and Other Bias-Based Profiling*, to clearly prohibit discriminatory policing, pursuant to Paragraph 21 of the Court's Order. The Monitor Team conducted a review of the current Office Policy in effect for November 15, 2015. On August 2, 2016, the Monitor Team recommended no changes be made to the current Office policy. It was again reviewed and re-published on October 24, 2017.
- Reviewing and revising policy related to traffic enforcement (EB-2, *Traffic Stop Data Collection*, GH-5, *Early Intervention System*), to prohibit racial profiling in the enforcement of traffic laws, pursuant to Paragraph 25 of the Court's Order.
- Reviewing and revising policies related to detentions and arrests, EA-11, *Arrest Procedures*, to ensure that race or ethnicity is not a factor in establishing reasonable suspicion or probable cause, pursuant to Paragraph 26 of the Court's Order.
- Reviewing and revising policies for pre-planned operations, GJ-33, *Significant Operations* pursuant to Section VI; GB-2, *Command Responsibility* pursuant to Paragraph 83; and GA-1, *Development of Written Orders* pursuant to Paragraph 31 of the Court's Order.
- Reviewing and revising policies and procedures as necessary upon notice of a policy deficiency during audits or reviews, pursuant to Paragraph 34 of the Court's Order.

The Policy 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 rating period, the Policy Section reviewed approximately 109 MCSO Office Policies in preparation for revision, continued with its annual review of all Critical Policies, and published 61 Briefing Boards and 168 Administrative Broadcasts. This includes 61 MCSO Office Policies, 10 Briefing Boards, and 17 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 made great strides this rating period and delivered several Court's Order-related courses critical to the overall success of MCSO. MCSO recognizes training is a cornerstone requisite and will assist in obtaining Full and Effective compliance.

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

On several occasions this rating period, members of the Monitoring Team have worked with MCSO in a consulting capacity to assist with the development of the training curriculum. These "technical assistance meetings" ("TA meetings") are in addition to the quarterly Monitor Team site visits in which multiple attorneys and representatives of the plaintiffs and plaintiff intervener participate. MCSO found these Monitor Team/MCSO TA meetings to be extremely fruitful and have a positive effect on the completion and delivery of training. MCSO has found the collaborative working relationship it has established with the Parties extremely helpful towards completing tasks, making reforms, and updating training. MCSO has also welcomed the substantive suggestions from the various community advisory boards, to include the CAB. MCSO has found that these partners provide relevant, informative, and insightful feedback during this on-going process. In 2017 alone, the Training Division provided an estimated 43,433 hours of Court's Order-related training to MCSO staff members.

Significant milestones were achieved. Significant progress in compliance occurred in May of 2017 with the publication of MCSO's policies GG-1, *Peace Officer Training Administration* and GG-2, *Detention/Civilian Training Administration*. The Training Division Operations Manual was approved on September 21, 2017 which provides guidelines to assist the Training Division to remain in compliance.

In January 2018, after months of hard work, the Training Division successfully transitioned MCSO from the E-Learning system to "TheHUB". TheHUB system memorializes and tracks employee compliance with the required reading of MCSO Policy and Procedures, employee acknowledgement that he or she understands the subject policies and procedures and employee expression of his or her agreement to abide by the requirements of the Policies and Procedures.

The Training Division began implementing the recommendation that instructors teach segments of the Train the Trainer courses in 2018. Training courses continue with the incorporation of adult-learning methods that include roleplaying scenarios, interactive exercises, and traditional lecture when appropriate in specific training.

The SRELE Training updated for 2017 was approved and delivered starting in September 2017. MCSO had 100% compliance for the 2017 course.

The EIS Training updated for 2017 was approved and delivery started in September 2017. This training educates supervisors on how to efficiently and effectively utilize the EIS system, the applicable policies and protocols for inputting information into the EIS, and how to search the EIS relational database. This course was completed for current supervisors with 98% compliance. MCSO continues to deliver this training for new supervisors and updates have been implemented into the SRELE annual updates.

The 2017 Annual Combined Training (ACT) was delivered to MCSO personnel during the 4th quarter of 2017. This course included enhanced cultural competency with updated implicit bias training, fair and impartial decision-making training and updated information based on trends in traffic stop data and addressing lawful factors to rely on when taking discretionary law enforcement action while promoting working collaboratively with the community. The compliance rate for the 2017 ACT is at 99%.

The 2017 updated initial 4th & 14th Amendment training and Bias Free Training required of all new employees was reported at 100% compliance for this assessment period.

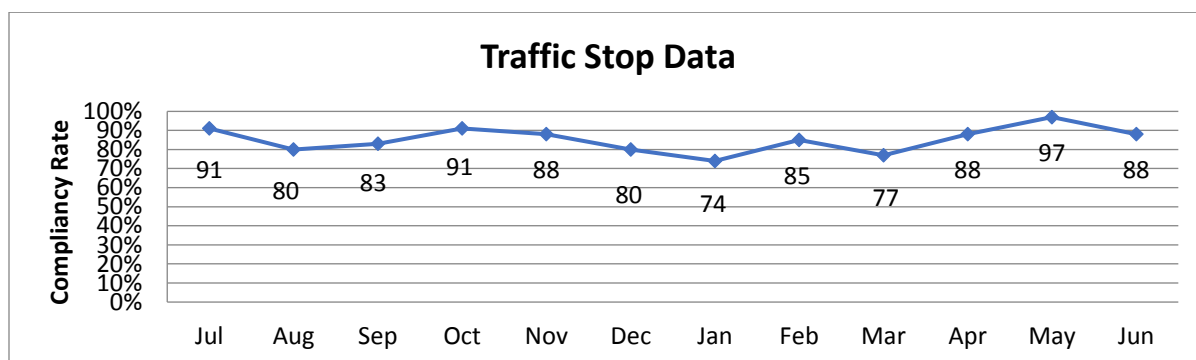
This annual report includes the additions of a training curriculum to provide 40 hours of comprehensive training on conducting employee misconduct investigations related to Paragraph 178 compliance, for all supervisors and members of PSB, 2017 PSB 40. The Monitor agreed to assist MCSO's Training Division and PSB by providing subject matter expertise in the initial development of this training. PSB finalized the curriculum, completed the Train-the-Trainer with technical assistance from the Monitor Team in September 2017. By November 2017 MCSO had completed the training with 100% compliance reported for the course.

From this training, MCSO developed Complaint Intake Training for all employees who did not attend the 40-hour course, this includes all non-supervisory personnel. MCSO is at 96% compliance with this course. MCSO is currently working on the development of the 2018 PSB misconduct training annual updates.

## 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 2017, the overall compliance rate for the quarter was 85%. July's compliance rate was 91%, August's compliance rate was 80%, and September's compliance rate was 83%.
- The fourth quarter of 2017 had an overall compliance rate of 86%. The monthly compliance rates were 91% for October, 88% for November, and 80% for December, showing a 1% increase from the third quarter.
- The first quarter of 2018 had an overall compliance rate of 78%. The monthly compliance rates were 74% for January, 85% for February and 77% for March.
- The second quarter of 2018 had an overall compliance rate of 91%. This was a significant increase from the first quarter's rate of 78%. The monthly compliance rates were 88% for April, 97% for May and 88% for June.



In addition to the Monthly Traffic Stop Data Inspections, MCSO continued its contracted partnership with Arizona State University (ASU) to analyze traffic stop data and author an annual report consistent with the Court's Order. During the first quarter of 2018, MCSO completed its second agency-wide comprehensive annual evaluations of traffic stop data. The Traffic Stop Annual Reports ("TSAR") consisted of agency-wide comprehensive analyses for 2015 – 2016. MCSO worked collaboratively with the Monitor and Parties to establish a supervisory intervention process. The supervisory intervention process was a mechanism to address individual deputies identified in the annual analysis to potentially be involved in biased based traffic stop activity. The supervisory intervention process has been completed and action plans have been put in place for all active employees identified in the 2nd Annual Traffic Stop Report.

In June of 2018, MCSO published its third agency-wide comprehensive annual evaluations of traffic stop data. The TSAR consisted of agency-wide comprehensive analyses of self-initiated traffic stops by deputies for activity from July 1, 2016 through June 30, 2017.

This report indicates improvements over time by MCSO in two key areas: a reduction in the likelihood of Hispanic drivers receiving a citation when compared to White drivers and a decrease in the length of stop for Hispanic drivers. The report indicates there is still a disparity in post-stop outcomes between races/ethnicities, including Latinos, as well as some inconsistent behavioral patterns by some deputies. MCSO has made "significant progress" in data collection, and the report states there is a considerable reduction in missing data with duplications reduced or eliminated.

Sheriff Penzone takes seriously the findings in this report that MCSO's traffic enforcement activity has led to different outcomes for different racial/ethnic groups. MCSO will continue to develop training and oversight in response to this report and push forward with its the Plan to address the findings. MCSO remains steadfast in its intolerance of bias and/or racial profiling.

MCSO will continue to work collaboratively with the Monitor and Parties, as it has previously done, to develop and refine an appropriate response to address those identified as statistical outliers.

In an effort to address implicit bias within the agency identified in the TSAR responsive to Paragraph 70, MCSO worked with the Monitor and Parties to develop the Plan. After much collaboration with the Monitor and Parties, on September 21, 2017, the MCSO filed with the Court Plan and actively began working on achieving the identified goals. The Plan gives MCSO a roadmap to meet the expectations of the community and to be a leader in 21st Century Policing. Much of this rating period was spent exploring opportunities for the Plan, implementing the various reforms and striving to achieve the identified goals.

The Plan is a living document that is scheduled to be republished twice per year in January and July. The ongoing input from subject matter experts and the community lend to the successful progression of the goals toward organizational accountability to reform. This quarter has also sought input and feedback from the various Advisory Boards to include the CAB in order to update and republish the Plan in the 3rd quarter of 2018.



## Early Identification System (EIS)

MCSO created the EIU on January 20, 2014 to assist in the identification of employees who may exhibit problematic behaviors that, if addressed and corrected, may assist employees in continuing to function in an efficient and productive manner. In addition, 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, consistent with Paragraph 72 of the Court's Order.

On March 24, 2017, MCSO published the Monitor approved policy GH-5, Early Identification System (EIS), which provides procedures for an EIS which is designed to identify Office operating procedures that may need reevaluation and to assist supervisors with consistently evaluating employees, conducting performance evaluations, identifying outstanding employee performance, identifying those whose performance warrants further review, intervention, and when appropriate, a referral to 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.

The EIS continues to evolve as the EIU moves to refine its processes to improve efficiency. EIU command and supervision continues to build upon and enhance the EIS program working closely with the MCSO Technology Bureau, ASU and IA Pro vendor, CI Technologies.

During this reporting period, the IA Pro system triggered 1,017 alerts:

- The EIU forwarded 407 alerts to supervisors for further review.
- The EIU processed and quality-assured the following:
  - Academy Notes – 435
  - Award Recipient – 29
  - Briefing Notes – 3,616
  - Coaching- 211
  - Commendations – 734
  - Critical Incident – 13
  - Data Validation- 33
  - EIS Action- 156
  - EIS Alert- 356
  - Employee Reported Activity - 386
  - Firearms Discharge – 5
  - Forced Entry – 3
  - Higher Award Commendation – 96
  - IR Memorialization – 18
  - Line Level Inspection – 4,257
  - MCAO Charging Notice- 108
  - MCAO Final Disposition- 200
  - MCAO Further Notice-319
  - MCAO Turndown Notice- 671
  - Minor Award Nomination - 7
  - Performance Assessment Measure – 385
  - Probationary Release- 15
  - Supervisor Notes – 59313
  - Traffic Stop Monthly Analysis- 0

- Training- 484,500
- Unscheduled Absence FMLA – 377
- Unscheduled Absence NON-FMLA – 476
- Use of Force – 64
- Vehicle Accident – 2
- Vehicle Pursuits- 4

The EIS is a complex system which MCSO is continuing to refine with the assistance of the Monitor. Some accomplishments MCSO achieved include:

Paragraph 75 has 14 subparagraphs that delineate what data must be incorporated into the EIS. MCSO has incorporated all of the required data within the EIS relational database. Specifically, the municipal court dispositions were implemented for all data for January 01, 2017 to present. Additionally, the data from Non-Traffic Contact form and Incident Reports were incorporated into a test environment for the month of June 2017 in agreement with the Monitor and Parties.

Beginning in July 2017, all Non-Traffic Contact Form and IR data has been integrated into the EIS. This information and data was loaded for all data gathered from July 1, 2017 forward.

With the completion of the EIS and SRELE training, completed within this rating period, MCSO anticipates supervisors will begin utilizing the EIS as intended to promote effective and efficient policing.

Incorporating the 14 data points into EIS was an arduous task that included, among other items, revamping how deputies complete incident reports, changing the documentation process of investigatory detentions, and changing how Municipal Courts communicate the disposition of cases with MCSO.

With input from the Monitor and Parties, MCSO developed EIS training for supervisors. This training provided an opportunity to educate supervisors on the policies and protocols for inputting data into the EIS. It also instructed supervisors on how to properly utilize the EIS to access, review, and search the relational database. Delivery of this training started in September 2017. This course was completed for current supervisors with 98% compliance. It is through the use of the EIS that effective supervision and management of MCSO Deputies will be attained.

During this annual assessment period, MCSO transitioned to a rule-based system to conduct traffic stop analysis to identify racial profiling or other biased-based problems. The rule-based system is more statistically sound and research-based method of evaluating all deputies' traffic stop data. The methodology associated with this transition to a rule-based system has been approved by the Monitor.

As previously mentioned, MCSO continued with its contracted partnership with ASU until July 1, 2018. ASU was contracted to analyze traffic stop data and author an annual report consistent with the Court's Order. During the first quarter of 2018, MCSO completed its second agency-wide comprehensive annual evaluations of traffic stop data. The TSAR consisted of agency-wide comprehensive analyses for 2015 – 2016. MCSO worked collaboratively with the Monitor and Parties to establish a supervisory intervention process. The supervisory intervention process was a mechanism to address individual deputies identified in the annual analysis to potentially be involved in biased-based traffic stop activity. The supervisory intervention process has been completed and action plans have been put in place for all active employees identified in the 2nd Annual Traffic Stop Report.

In June 2018, MCSO published its third agency-wide comprehensive annual evaluations of traffic stop data. The TSAR) consisted of agency-wide comprehensive analyses of self-initiated traffic stops by deputies for activity from July 1, 2016 through June 30, 2017.

This report indicates improvements over time by MCSO in two key areas: a reduction in the likelihood of Hispanic drivers receiving a citation when compared to White drivers and a decrease in the length of stop for Hispanic

drivers. The report indicates there is still a disparity in post-stop outcomes between races/ethnicities, including Latinos, as well as some inconsistent behavioral patterns by some deputies. MCSO has made “significant progress” in data collection, and the report states there is a considerable reduction in missing data with duplications reduced or eliminated.

## 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 MCSO 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 all systems that currently link into the program such as:

- Employee Performance Appraisal (EPA)
- Early Intervention Unit (EIU) alerts
- Transfer Evaluations (EPA)
- Training (HUB) approvals
- Bureau of Internal Oversight (BIO) Action Form
- EI Pro
- Blue Team entries/reviews

On September 6, 2017 MCSO received approval and published policy GC-4, *Employee Performance Appraisals*, to guide supervisors in the fair, impartial and accurate evaluation of all employees. As mentioned, the MCSO Training Division completed the delivery of the EIS and SRELE training. 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.

The adequate completion of EPAs has also been a point of discussion with all the Commanders during monthly meetings. While progress has been notably made in the completion of EPAs, MCSO acknowledges work must continue. At the end of the rating period, MCSO established a work group to explore the current EPA process in hopes of more appropriately rating performance and gaining compliance with the applicable paragraphs.

MCSO Training Division continues to deliver training to newly promoted employees to ensure they have the training and skills necessary to be successful. These training courses include:

- 4<sup>th</sup> and 14<sup>th</sup> Amendment training
- 2017 Early Identification System ("EIS") training
- 2017 Employee Performance Appraisal ("EPA") training
- 2017 Supervisor Responsibilities: Effective Law Enforcement ("SRELE") Training
- 2017 Misconduct Investigation training
- 2017 Blue Team training

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

- The implementation and refinement of *Incident Reports* being created and processed utilizing the TraCS system. This replaced the antiquated paper system that was existing.
- The implementation and refinement of *Non-Traffic Contact Forms* being completed and processed utilizing the TraCS system. This replaced the antiquated paper system that was existing.
- The supervisor review/approval process is now incorporated in the TraCS system. This allows the MCSO to review the associated metadata for compliance with Court's Order requirements and MCSO policy.

MCSO updated and published policy GB-2, Command Responsibility, on May 10, 2017. The purpose of this policy is to establish the order of command authority in the absence of the Sheriff, clear lines of authority through unity of command, guidelines for effective span of control, and other elements of command responsibility. It is the policy of the Office to ensure 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.

The SRELE Training updated for 2017 was approved and delivered starting in September 2017 after collaboration with the Monitor and Parties. MCSO has 100% compliance for the 2017 course.

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

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

## Misconduct and Complaints

During this rating period, and consistent with Paragraph 198, the PSB moved into the new off-site facility located at 101 West Jefferson Street in Phoenix. This location is sperate from other MCSO facilities, is easily accessible to the public and public transportation, and has sufficient space for personnel to receive members of the public, allowing them to file comments and complaints to the PSB.

PSB completed the delivery of 40 hours of comprehensive training on conducting employee misconduct investigations in November 2017. The PSB contracted a vendor to develop the annual 8-hour continuing misconduct training to those supervisors assigned outside of the PSB; and worked with the DOJ to identify a subject matter expert to provide specialized misconduct training to investigators assigned to the PSB.

Additionally, the PSB continues to improve upon its practices and in doing so revised the investigative checklist and format to more clearly reflect the requirements for those investigations conducted outside of the PSB; and to provide a more streamlined format.

PSB also began classifying some external complaints, those that involve inadequate policy, procedure, practice, service level, or legal standard or statute required by the Office, as Service Complaints. PSB initiated a process and tracking system for these complaints that do not involve employee misconduct. The PSB Commander also has the discretion to determine that internal complaints alleging minor policy violations can be documented and addressed without a formal investigation if certain criteria exist. To assure that MCSO's actions comply with the Court's Order and the high standards the Office expects, MCSO continued with a multiple-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 the investigative process, direct guidance in conducting a preliminary inquiry and a clear definition of "service complaints." The updated policy includes additional compliance elements listed in the Second Order. GH-2, Internal Investigations revisions were published in May 2017 and July 2018.

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 in May 2017 and April 2018

Consistent with the Court's Order, Paragraph 104, requiring deputies to cooperate with administrative investigations and requiring supervisors be notified when a deputy under their supervision is summoned as part of an administrative investigation, the Administrative Investigation Checklist collects the data necessary to track compliance with this Paragraph. Consistent with the Court's Order, Paragraph 105, requiring investigators to take into account collected traffic stop and patrol data, training records, discipline history, performance evaluations,



and past complaints; the investigative format also collects the necessary data to track compliance with this Paragraph.

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 877 IA case numbers and completed and closed 461 IA cases. PSB assigned 33 CIA (criminal) cases and closed 39 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 384 internal complaints during this reporting period, demonstrating compliance with the Court's Order. Of the 384 internal complaints received, 376 were administrative investigations and eight were criminal investigations.

Consistent with the Court's Order, Paragraph 32, requiring that all patrol operations personnel report violations of policy; during this reporting period, PSB received 405 complaints from patrol personnel during this reporting period.

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 23 complaints and completed 11 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 12 complaints and completed 5 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 three complaints via the PSB hotline.

Consistent with the Court's Order, Paragraph 251, PSB published on the MCSO website its Semi-Annual Public Report on Misconduct Investigations in July 2017, December 2017, and July 2018.

Consistent with the Court's Order, Paragraph 252, the PSB continues to publish on the MCSO website detailed summaries of completed internal affairs investigations each month.

Pursuant to Paragraph 275 of the Court's Order, the Monitor is vested with the authority to supervise and direct all administrative investigations pertaining to Class Remedial Matters (CRM). The PSB met 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.

In addition to the PSB's efforts to address misconducts and complaints, the EIU continues to utilize IA Pro and Blue Team to monitor and analyze behavior that may lead to misconduct, and the BIO continues to address Court's Order compliance by conducting audits and inspections of employee performance and misconduct; and audits of misconduct investigations.

Collaboratively, PSB and BIO developed the methodology for complaint intake testing, consistent with Paragraph 254, after sending several submittals to the Monitor Team, who in turn provided helpful suggestions and feedback regarding verbiage and procedures. With assistance from the Monitor and the DOJ, outside vendors have been established for complaint intake testing. After a competitive bidding process, MCSO selected two vendors, the Arizona Fair Housing Center, and Progressive Management Resources, to conduct complaint intake testing for MCSO. The Arizona Fair Housing Center was selected for the in-person testing and Progressive Management Resources was selected for the phone, mail, email, and website testing.

AIU continues to conduct regular and random integrity audit checks through the various monthly and quarterly inspections. AIU is currently working on developing a plan to conduct targeted integrity tests for the Office.

MCSO believes the culmination of the work will result in an adequate testing program that assesses whether employees are providing civilians appropriate and accurate information about the complaint process and whether employees are notifying the PSB upon the receipt of a civilian complaint per the Court's Order.



## Community Engagement

The Maricopa County Sheriff's Office continues providing youth and adults tools for success through sustainable MCSO continues providing youth and adults tools for success through sustainable partnerships with community members and local businesses. In furtherance of community engagement activity, the Office organized the Community Outreach Team. The division facilitates, promotes, and participates in events that unite MCSO personnel with community members in comfortable, non-law enforcement environments.

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 579 events, where public attendance approached 380,363. During this same period, MCSO recorded 5,606 occasions of community policing utilizing the Computer Aided Dispatch System; those engagements totaled over 8,101 staff hours and are primarily attributed to the community policing activities of Patrol Deputies.

In all of its endeavors, MCSO puts forth the effort to build sustainable outreach programs, many of which are listed on the MCSO webpage. During this rating period, the MCSO updated the Community Outreach Divisions webpage which now includes a community event calendar. This calendar allows community members to stay connected and to know where and when they may attend the events MCSO is a part of. MCSO has also begun a news alert system for those wishing to subscribe, which also informs the community members of any changes and additions made to the event calendar.

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.

The Community Outreach Team is also diligently working on bringing the police and community together with existing programs along with developing new relationships within the community. Several community advisory boards have been created at the direction of Sheriff Penzone. 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. One of these boards is SPEAR –Sheriff Penzone's Executive Advisory Review. SPEAR is made up of diverse community members from all across the County. The first item on the SPEAR agenda was to conduct a data driven review of Tent City and to provide a recommendation to the Sheriff on whether it should remain open in its current state. SPEAR is currently assessing Posse operations.

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

Sheriff Penzone also wanted to take on the responsibility for planning, organizing, advertising, and hosting the Court's Order-mandated community meetings with the intention of improving community relations and repairing the damaged relationship between MCSO and the Plaintiff Class and filed a motion with the Court requesting such. In this same motion, the Sheriff requested the CAB be expanded with appointments from MCSO and a joint appointment by MCSO and ACLU. On August 3, 2017, the Court granted MCSO's requests.

The Community Outreach Division scheduled, staged and attended the four quarterly community meetings, coinciding the Monitor site visits during this assessment period. The quarterly community meetings were held at Carl Hayden High School in District 2, Taft Elementary School in District 1, Palomino Intermediate School in District 4, and Frank Elementary School in District 1. During this year, the quarterly community meetings had a substantial gain in community members attendance and interaction. This is a credit to Sheriff Penzone's and the Community Outreach Division's commitment, dedication, and interaction with the community.

MCSO was also very fortunate to have had the opportunity to participate in one of the largest Back to School events ever in the state of Arizona, held at the Salvation Army Boys and Girls Club in South Phoenix. There were

over 10,000 backpacks handed out, countless free haircuts given, and various school supplies given out that day. The MCSO set up a recruitment table and also provided MCSO literature and information about the new direction of our agency. MCSO was also involved in another Back to School event at Eastlake Park the same day. We set up another information booth and collaborated with various business leaders and community members.

December was a month of giving for MCSO and the Community Outreach Division ensured MCSO personnel was on the forefront of these efforts. Sheriff Penzone and members from the MCSO were at the Youth Assistance Foundation (YAF) Shop with the Sheriff event in Scottsdale providing toys and gifts to over 50 kids from the community. Executive Command staff and over 20 MCSO Detention Officers and Deputies also attended the Kids & COPS Holiday Shop event. Each employee who participated in this event was assigned to a child to help with their shopping.

Sheriff Penzone also attended the Steven Martin Toy Drive. Sheriff Penzone assisted with shopping for the gifts each participating child would receive. Sheriff Penzone also participated in the YAF/MCSO TOY Distribution at St. Vincent De Paul two days before Christmas. The kids, families, community members and MCSO volunteers really enjoyed themselves as they passed out over 300 bikes, thousands of gifts and good will to all.

The Outreach Division continues to deliver English/Spanish Community Academies. MCSO conducted two Community Academy classes in English and one in Spanish. A total of 46 community members attended these academies. Each Academy class requires the participants to volunteer their time for four consecutive Saturdays at the MCSO Training Facility to learn about MCSO and its various components. These are another great opportunity for the MCSO to receive feedback from those MCSO serves while giving insight into MCSO to those in attendance. The feedback received from those who have attended the Community Academies has been overwhelmingly positive and complimentary of the academy and everyone has been pleased with their experience.

During the month of January, MCSO participated in the MLK Diversity Award Banquet held in Tempe. Sheriff Penzone and other MCSO Command Staff and employees were in attendance for this event. This banquet provided everyone in attendance an opportunity to hear about Martin Luther King's Dream and vision. It also provided MCSO an opportunity to build bridges and form partnerships within our communities.

MCSO staff also attended and participated in the MLK March which started at the Pilgrim Rest Church. Sheriff Penzone joined over 10,000 community members in this march of solidarity and peace. This was a ground-breaking experience because for many years MCSO did not participate in this annual event. The two years that Sheriff Penzone has been in office he has participated.

Just as important is the work that the Community Outreach does with our Patrol Districts on developing community policing ideas and encouraging patrol personnel participation in public events within the community to help rebuild community relations, confidence, and trust.

## Appendix A: MCSO Melendres Court Order Compliance Chart

Reporting Dates:		07/01/2017-09/30/2017		10/1/2017-12/31/2017		01/01/2018-03/31/2018		04/1/2018-06/30/2018		Date of Full Compliance
Publish Date:		February 13, 2018		May 7, 2018		August 6, 2018		Pending Monitor's Report		
Paragraph No.	Requirement	14th Report		15th Report		16th Report		17th Report		Date of Full Compliance
		Phase 1	Phase 2	Phase 1	Phase 2	Phase 1	Phase 2	Phase 1	Phase 2	
<b>Section III. MCSO Implementation Unit and Internal Agency-wide Assessment</b>										
9	Form a Court Order Implementation Unit	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2015
10	Collection and Maintenance of All Data and Records	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2015
11	MCSO Quarterly Report	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2015
12	MCSO Annual Internal Assessment - Information	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2015
13	MCSO Annual Internal Assessment - Dates/Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2015
<b>Section IV. Policies and Procedures</b>										
19	Conduct Comprehensive Review of All Patrol Policies and Procedures	In Compliance	Deferred	In Compliance	Deferred	In Compliance	In Compliance	Pending	Pending	3/31/2018
21	Create and Disseminate Policy Regarding Biased-Free Policing	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	Pending	Pending	12/31/2016
22	Reinforce Discriminatory Policing is Unacceptable	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
23	Modify Code of Conduct Policy (CP-2): Prohibited Use of County Property	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2015
24	Ensure Operations are Not Motivated, Initiated, or Based on Race or Ethnicity	In Compliance	Deferred	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2017
25	Revise Policies to Ensure Bias-Free Traffic Enforcement	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2017
26	Revise Policies to Ensure Bias-Free Investigatory Detentions and Arrests	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2015
27	Remove LEAR Policy from Policies and Procedures	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2015
28	Revise Policies Regarding Immigration- Related Law	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2014
29	All Policies and Procedures shall Define Terms Clearly, Comply with Applicable Law and Order Requirements, and Use Professional Standards	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	12/31/2014
30	Submit All Policies to Monitor within 90 Days of Effective Date; and Have Approval by Monitor Prior to Implementation	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	12/31/2014

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

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

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

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



98	System for Regular Employee Performance Evaluations	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
99	Review of All Compliant Investigations, Complaints, Discipline, Commendations, Awards, Civil and Admin. Claims and Lawsuits, Training History, Assignment and Rank History, and Past Supervisory Actions	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
100	Quality of Supervisory Reviews Taken into Account in Supervisor's Own Performance Evaluation	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
101	Eligibility Criteria for Assignment to Specialized Units	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2016
<b>Section XI. Misconduct and Complaints</b>										
102	Reporting Alleged or Apparent Misconduct	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
103	Audit Check Plan to Detect Deputy Misconduct	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Pending	Pending	
104	Deputy Cooperation with Administrative Investigations	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2016
105	Investigator Access to Collected Data, Records, Complaints, and Evaluations	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2017
106	Disclosure of Records of Complaints and Investigations	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	12/31/2015
<b>Section XII. Community Engagement</b>										
109	As part of its Community Outreach and Public Information program, the MCSO shall hold at least one public meeting per quarter to coincide with the quarterly site visits by the Monitor in a location convenient to the Plaintiffs class.	Not in Compliance	Deferred	Not in Compliance	Deferred	Not in Compliance	Deferred	Pending	Pending	
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 in Compliance	Deferred	Not in Compliance	Deferred	Not in Compliance	Deferred	Pending	Pending	
111	English and Spanish-speaking MCSO Personnel shall attend these meetings and be available to answer questions from the public.	Not in Compliance	Deferred	Not in Compliance	Deferred	Not in Compliance	Deferred	Pending	Pending	



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 in Compliance	Deferred	Not in Compliance	Deferred	Not in Compliance	Deferred	Pending	Pending	
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.	Not in Compliance	Not in Compliance	Not in Compliance	Deferred	Not in Compliance	Deferred	Pending	Pending	
114	COD shall coordinate the district community meetings and provide administrative support for, coordinate and attend meetings of the Community Advisory Board and compile any complaints, concerns and suggestions submitted to the COD. Communicate concerns received from the community with the Monitor and MCSO leadership.	Not in Compliance	Not in Compliance	Not in Compliance	Deferred	Not in Compliance	Deferred	Pending	Pending	
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.	Not in Compliance	Deferred	Not in Compliance	Deferred	Not in Compliance	Deferred	Pending	Pending	
116	CAB members must be selected by MCSO and Plaintiffs' representatives.	Not in Compliance	Deferred	Not in Compliance	Deferred	Not in Compliance	Deferred	Pending	Pending	
117	MCSO shall coordinate the meeting as dictated by the CAB members and provide administrative support for the CAB.	Not in Compliance	Deferred	Not in Compliance	Deferred	Not in Compliance	Deferred	Pending	Pending	
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 in Compliance	Deferred	Not in Compliance	Deferred	Not in Compliance	Deferred	Pending	Pending	
<b>SECOND ORDER Section XV. Misconduct Investigations, Discipline and Grievances</b>										
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	6/30/2017
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	6/30/2017

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

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

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

207	When investigating the incident for policy, training, tactical or equipment concerns, the report must include compliance with standards, use of tactics and indicate need for training and suggestion of policy changes	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
208	Each allegation of misconduct shall explicitly identify and recommend a disposition for each allegation	In Compliance	Not in Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2017
209	Investigation forms completed by Supervisors outside of PSB shall be sent through Chain of Command to Division Commander for approval	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
210	Investigation forms completed by PSB shall be sent to the Commander	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
211	Commander shall return report to investigator for correction when inadequacies are noted	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
212	IA investigator shall receive corrective or disciplinary action for a deficient misconduct investigation. Failure to improve is grounds for demotion or removal from PSB	Not in Compliance	Deferred	In Compliance	Deferred	In Compliance	Deferred	Pending	Pending	
213	Minor misconduct investigations must be conducted by Supervisor (not by line-level deputies) and file forwarded to PSB	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
214	Misconduct investigation can be assigned or re-assigned at the discretion of the PSB Commander	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
215	Investigations conducted by Supervisors (outside of PSB) shall direct and ensure appropriate discipline and/or corrective action	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
216	PSB Commander shall direct and ensure appropriate discipline and/or corrective action for investigations conducted by PSB	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
217	PSB shall conduct targeted and random reviews of discipline imposed by Commanders for minor misconduct	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	Pending	Pending	6/30/2017
218	Maintain all administrative reports and files for recording keeping in accordance with applicable law	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
220	Sheriff shall review MCSO disciplinary matrices and ensure consistency discipline is	In Compliance	Deferred	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2017
221	Sheriff shall mandate misconduct allegation is	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017

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

231	Sheriff shall ensure investigators conducting a criminal investigation do not have access to any statement by the principal that were compelled pursuant to Garrity	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
232	PBS shall complete admin investigations regardless of the outcome of any criminal investigation. MCSO policies and procedures and the PSB Ops manual shall remind members of PSB that administrative and criminal cases are held to different standards of proof and the investigative processes differ.	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
233	Criminal investigations closed without referring it to a prosecuting agency must be documented in writing and provided to PSB	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
234	Criminal investigations referred to a prosecuting agency shall be reviewed by PSB to ensure quality and completeness	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
235	PSB shall request explanation and document any decisions by the prosecuting agency to decline or dismiss the initiation of criminal charges	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
236	Sheriff shall require PSB to maintain all criminal investigation reports and files as applicable by law	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
238	Sheriff shall require MCSO to accept all forms of civilian complaints and document in writing	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
239	Clearly display placards (English and Spanish) describing the complaint process at MCSO headquarters and all district stations	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2017
240	Sheriff shall require all deputies to carry complaint forms in their MCSO vehicles	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2017
241	Sheriff shall ensure that PSB is easily accessible to member of public and available for walk-ins	Not Applicable	Not in Compliance	Not Applicable	Not in Compliance	Not Applicable	Not in Compliance	Pending	Pending	
242	Make complaint forms widely available at locations around the County: website, HQ lobby, Districts, MC offices and public locations	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2017
243	Establish a free 24-hour hotline for reporting complaints	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
244	Ensure complaint form does not contain language that can be construed as to discourage the filing of a complaint	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2016

245	Complaints forms will be made available in English and Spanish	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	12/31/2016
246	PSB will send periodic written updates to the complainant during the course of investigation	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	In Compliance	Pending	Pending	3/31/2018
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	6/30/2017
248	PSB will track allegations of biased policing as a separate category of complaints	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
249	PSB will track allegations of unlawful investigatory stops, searches, seizures or arrests as a separate category of complaints	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
250	PSB will conduct regular assessments of complaints to identify potential problematic patterns and trends	Not in Compliance	Not in Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Pending	Pending	
251	PSB shall produce a semi-annual public report on misconduct investigations	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Deferred	Pending	Pending	
252	Make detailed summaries of completed IA investigations readily available to the public	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Pending	Pending	
253	BIO shall produce a semi-annual public audit report regarding misconduct investigations	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
254	Initiate a testing program designed to assess civilian complaint intake	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Pending	Pending	
255	Testing program for investigation of civilian complaints should not use fictitious complaints	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Pending	Pending	
256	Testing program shall assess complaint intake for complaints made in person, telephonically, by mail, email or website.	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Pending	Pending	
257	Testing program shall include sufficient random and targeted testing to assess the complaint intake process	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Pending	Pending	
258	Testing program shall assess if employees promptly notify PSB of citizen complaints with accurate and complete information	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Pending	Pending	
259	Current or former employees cannot serve as testers	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Pending	Pending	
260	Produce annual report on the testing program	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not 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	Not Applicable	Not Applicable	
262	The Boards shall be provided annual funding to support activities	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable	
<b>SECOND ORDER Section XIV. Supervision and Staffing</b>										
264	Sheriff to ensure all patrol deputies are assigned to clearly identified first-line supervisor	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	9/30/2016
265	First-line Supervisors shall be responsible for closely and consistently supervising all	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	12/31/2016
267	Supervisors shall be responsible for close and effective supervision and ensure staff complies with MCSO policy, federal, state and local law, and this Court Order	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
268	Approval by Monitor for any transfers of sworn personnel or Supervisors in or out of PSB, BIO or CID	Deferred	In Compliance	Deferred	In Compliance	Deferred	In Compliance	Pending	Pending	
<b>SECOND ORDER Section XVIII. Document Preservation and Production</b>										
269	Promptly communicate any document preservation notices to all personnel who have responsive documents	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	Pending	Pending	
270	Sheriff shall ensure a request for documents in the course of litigation is promptly communicated to all personnel and the need	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Pending	Pending	
271	Sheriff shall ensure Compliance Division promulgates detailed protocols for the preservation and production of documents requested in litigation	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Pending	Pending	
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	6/30/2017
<b>SECOND ORDER Section XIX. Additional Training</b>										
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	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	9/30/2016

	Fact, (Doc. 1677) upon which this order is based									
<b>SECOND ORDER Section XX. Complaints and Misconduct Investigation Relating to Members of the Plaintiff Class</b>										
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	9/30/2016
278	Sheriff shall alert the Monitor in writing to matters that could be considered Class Remedial Matters and has the authority to independently identify such matters	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	9/30/2016
279	Monitor has complete authority to conduct review, research and investigation deemed necessary to determine if matters qualify as 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	9/30/2016
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	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Pending	Pending	
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.	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Pending	Pending	
284	MCSO must expeditiously implement the Monitor's directions, investigations, hearings and disciplinary decisions	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Pending	Pending	
286	Monitor shall instruct PSB to initiate a confidential criminal investigation and oversee the matter or report to the appropriate prosecuting agency	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Not in Compliance	In Compliance	Pending	Pending	
287	Persons receiving discipline approved by Monitor shall maintain any rights they have under Arizona law or MCSO policy	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017
288	Monitor's authority will cease when the elements of the two subsections of this paragraph have been met	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	6/30/2017

289	To make the determination required by subpart (b), the Court extends the scope of the Monitor's authority to inquire and report on all MCSO internal affairs investigations and not those merely that are related to Class Remedial Matters	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Not in Compliance	Pending	Pending	
292	Monitor is to be given full access to all MCSO Internal affairs investigation or matters that have been the subject of investigation, Monitor shall comply with rights of principals under investigation	Not Applicable	In Compliance	Not Applicable	In Compliance	Not Applicable	In Compliance	Pending	Pending	9/30/2016
300	Uninvestigated untruthful statements made to the Court under oath by Chief Deputy Sheridan concerning the Montgomery investigation, the existence of the McKessey investigation, the untruthful statements to Lt. Seagraves and other uninvestigated acts of his do not justify an independent investigation	Not Applicable	Deferred	Not Applicable	Deferred	Not Applicable	Deferred	Pending	Pending	
337	When discipline is imposed by the Independent Disciplinary Authority, the employee shall maintain his or her appeal rights following the imposition of administrative discipline as specified by Arizona law and MCSO policy with the following exceptions with the two exceptions documented within the two subparagraphs.	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	In Compliance	Pending	Pending	6/30/2017

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

## Appendix B: List of MCSO Acronyms

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