

**Maricopa County Sheriff's Office
Joseph M. Arpaio, Sheriff**

COURT IMPLEMENTATION DIVISION

SIXTH QUARTERLY COMPLIANCE REPORT



3RD QUARTER 2015, JULY 01 – SEPTEMBER 30

TABLE OF CONTENTS

INTRODUCTION.....	ii
PART I: Background and Overview of MCSO’s Major Efforts Toward Compliance.....	1
PART II: Steps Taken By MCSO and Plans to Achieve Full and Effective Compliance....	2
Section III - Implementation Division & Internal Agency-Wide Assessment.....	2
Section IV - Monitor Review Process.....	9
Section V - Policies and Procedures.....	9
Section VI - Pre-Planned Operations	12
Section VII - Training.....	12
Section VIII - Traffic Stop Documentation and Data Collection and Review.....	14
Section IX - Early Identification System (EIS).....	16
Section X - Supervision and Evaluations of Officer Performance.....	17
Section XI - Misconduct and Complaints.....	17
Section XII - Community Engagement.....	19
PART III: Response to Concerns Raised in Monitor’s Previous Quarterly Report.....	21
CONCLUSION.....	22
Appendices	
A. MCSO <i>Melendres</i> Court Order Compliance Chart.....	23
B. List of MCSO Acronyms.....	28
C. List of Tables.....	29

INTRODUCTION

This Quarterly Report assesses the Maricopa County Sheriff's Office (MCSO) level of Compliance with Judge Snow's *Supplemental Permanent Injunction/Judgment Order* (Doc. 606) of October 2, 2013; as amended the "Court Order". The reporting period for this report covers the Third quarter of 2015 (July 01, 2015 - September 30, 2015). This Quarterly Report is submitted to comply with the Court's Order, paragraph 11.

The Court Order, paragraph 11 requires that MCSO file with the Court, no later than 30 days before the Monitor's quarterly report is due, a report that shall:

- (i) delineate the steps taken by MCSO during the reporting period to implement this Order;
- (ii) delineate MCSO's plans to correct any problems; and
- (iii) include responses to any concerns raised in the Monitor's previous quarterly report.

Purpose

MCSO intends to achieve "Full and Effective Compliance" as the Court's Order defines it. The purpose of this Quarterly Report is to describe and document the steps MCSO has taken to implement the Court's Order and explain MCSO's plans to correct any problems. Lastly, this Quarterly Report includes responses to concerns raised in the Monitor's previous Quarterly Report submitted on October 16, 2015.

**PART I:
BACKGROUND AND OVERVIEW OF MCSO'S EFFORTS TOWARD COMPLIANCE**

Background

The *Findings of Fact and Conclusions of Law* (Doc. 579) of May 24, 2013 and the subsequent *Supplemental Permanent Injunction/Judgment Order* (Doc. 606) of October 2, 2013, permanently enjoined the Maricopa County Sheriff's Office (MCSO) from engaging in seven distinct areas of enforcement activity involving investigation, detention, or arrest of vehicle occupants based in part or whole on a person's race, Latino ancestry, or possible unauthorized presence within the country. While the Court recognizes an exception when deputies are acting based on a specific suspect description, MCSO must ensure it only engages in race-neutral bias-free policing.

To ensure compliance with the Court's Orders, MCSO established a skilled Court Implementation Division (CID), established policies, procedures, and directives, and created the Bureau of Internal Oversight (BIO).

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.

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 and activities of supervisors.

All MCSO employees have read and acknowledged the Court's *Corrective Statement* of April 17, 2014, and all supervisors have read and acknowledged the *Findings of Fact and Conclusions of Law* (Doc. 579) of May 24, 2013 and the *Supplemental Permanent Injunction/Judgment Order* (Doc. 606). In March 2015, the Court deemed MCSO in compliance, having met the requirements of the Court Order, and no longer obligated to report on compliance levels for the Court's *Corrective Statement* of April 17, 2014.

Overview of MCSO's Efforts Toward Compliance

The *Melendres* Court Order Compliance Chart (See Appendix A) was developed from information provided in the Monitor's Fifth Quarterly Report (covering the reporting period of April 1 – June 30, 2015) and then updated to reflect the continued progress MCSO has made toward compliance during the current reporting period of July 1 – September 30, 2015 (3rd Quarter of 2015). According to the Monitor's Fifth Quarterly Report, the Monitor will evaluate MCSO on 89 paragraphs for compliance. The Monitor will assess these paragraphs in two phases. Phase 1 compliance is assessed based on "whether requisite policies and procedures have been developed and approved and agency personnel have received documented training on their content" (Monitor's Fifth Quarterly Report, p. 8). Phase 2 compliance is "generally considered operational implementation" and must comply "more than 94% of the time or in more than 94% of the instances being reviewed" (Monitor's Fifth Quarterly Report, p. 8).

According to the Monitor's Fifth Quarterly Report, MCSO is in compliance with 39 of the 77 paragraphs assessed for Phase 1 compliance and with 25 of the 89 paragraphs assessed for Phase 2 Compliance (twelve paragraphs are not applicable to Phase 1 compliance as they do not require a corresponding policy or procedure).

PART II: STEPS TAKEN BY MCSO AND PLANS TO ACHIEVE COMPLIANCE WITH THE ORDER

Sections I and II of the Court Order focus on definitions, effective dates, and jurisdictional matters; therefore, Part II of this report begins with the Court Order, Section III

Section III – MCSO Implementation Division and Internal Agency-Wide Assessment

MCSO has taken major steps to implement the Court's Order, Section III: In October 2013, MCSO formed a division titled the Court Compliance and Implementation Division consistent with paragraph 9. In February 2015, MCSO dropped the word Compliance from the title to read the Court Implementation Division (CID). Captain Fred Aldorasi, who assumed command in September 2015, heads this division comprised of ten members with interdisciplinary backgrounds. The division members include one lieutenant, four sergeants, two deputies, one management analyst, and one administrative assistant. MCSO appointed Captain Aldorasi as the single point of contact with the Court and the Monitor. He coordinates visits and other activities with the parties as the Court Order requires. In order to ensure that MCSO fully and effectively implements the Court Order throughout the Office, CID reports directly to the Chief Deputy, who has agency-wide authority to demand full compliance.

As part of the CID's duties to coordinate MCSO's compliance and implementation activities, the division took the following steps during this quarter:

A. Amendment/Creation of New Policies and Procedures

In response to the Court Order ,paragraph 19 concerning review of existing Policy and Procedures, and paragraph 30 regarding timely submissions, the CID, working with the Human Resource Bureau's Compliance Division, Policy Section continues to review MCSO Policies and Procedures (see Section V). In addition, MCSO issued four Briefing Boards to ensure prompt compliance with new or amended policy and three Administrative Broadcasts (see Table #4).

B. Document Production

The CID facilitates data collection and document production. The CID responded to nine document requests (see Table #1). Additional document production is underway as part of the CID's efforts to assist the Monitor's quarterly review.

The collection and review of the produced documents allows quality control and increased accountability among enforcement commands. In addition, the CID continues to work toward systematizing data collection and improving audit/quality assurance capabilities for a more effective response to the wide variety of record requests.

Table #1	
Document Production Requests	
Title	General Description
07-01-2015 Document Production Request	Preliminary Document Request for Monitor's July 2015 Site Visit
June Monthly Request (07-01-2015)	Monitor's Monthly Production Request
07/24/2015 Court Order Production	Production of IR 14-007250 to Monitor
07-30-2015 July Site Visit Request	July Site Visit Requests from Monitor
July Monthly Request (08-01-2015)	Monitor's Monthly Production Request
08-17-2015 Evidence Room Request	Monitor Team Request related to Property and Evidence
August Monthly Request (09-01-2015)	Monitor's Monthly Production Request
09-14-2015 Evidence Room Request	Additional items requested related to Property and Evidence
009-24-2015 Evidence Room Request	Additional items requested related to Property and Evidence

C. Maintenance of Records

The CID maintains records as the Court ordered. The CID continues to expand its record keeping capacity and develop systems to increase efficiency in providing access. CID adopted the following procedure to ensure compliance:

- CID electronically catalogues all documents and Office Policies and Procedures related to the Court Order.
- CID collects all production requests pursuant to the Court Order and maintains records of the documents forwarded to the Monitor.

D. Assist in Providing Inspections/Quality Assurance/Audits

The Bureau of Internal Oversight (BIO) continues to develop and expand audits and inspections to provide quality assurance office-wide. MCSO created the BIO on September 29, 2014 to address Court Order compliance, inspections, and employee performance and misconduct. The BIO conducts audits based on General Accepted Government Auditing Standards (GAGAS). In addition to monitoring and ensuring compliance with the Court Order, some of the procedures performed by the auditors include: review programs; evaluate compliance with rules, regulations, policies and procedures; appraise the quality of performances; and evaluate safeguards in place to limit losses to department resources.

The BIO is also structured for future expansion to conduct oversight, quality assurance, inspections, and audits of jail operations and use of force by enforcement and detention personnel. During this quarter, the BIO increased its staff with the addition of a Senior Auditor, and conducted interviews for the Bureau's

Management Analyst position. BIO Lt. Chris Dowell was replaced by Sgt. Dave Tennyson. EIS Commander Lt. Phil Fortner was replaced by Lt. Greg Lugo.

Consistent with the Court Order's mandate to engage in periodic audits/inspections, the BIO conducted thirty-five inspections in thirteen areas between July 1, 2015 and September 30, 2015. These included three CAD and Alpha Paging inspections; three Administrative Investigation inspections; one Patrol Incident Report inspection; three Patrol Shift Roster inspections; three Traffic Stop Data inspections; Five District/Division Property and Evidence Inspections; three County Attorney Disposition inspections; three Employee Email inspections; six Supervisory Note inspections; two District/Division Operations inspections; and three Cash Inspections. Three of the thirty-five inspections were traffic stop related (see Section VIII).

Inspectors reviewed these functions for compliance to existing Sheriff's Office Policy and the Court Order. An ongoing and consistent analysis of all inspection results will be instrumental to identify progress of compliance and to establish new procedures. Patterns or trends in compliance rates developed over time will assist the BIO with recommendations for improvement and ultimately in sustaining adherence to Sheriff's Office Policies and the Court Order.

MCSO conducted the following inspections during the 3rd Quarter of 2015:

CAD Messaging/Alpha Paging System Inspection: The methodology includes inspection of random ten-day monthly samples for all message entries. The inspection complies with MCSO Policies CP-2, *Code of Conduct*, CP-3, *Work Place Professionalism*, and GM-1, *Electronic Communications and Voicemail*; and consistent with the Court Order, paragraph 23. The inspections found the following compliance rates: 100% for July, 100% for September, and 99.98% for August 2015.

Administrative Investigations (Complaints) Inspection: A 50% random sampling of all closed cases from the previous month were reviewed. The inspection complies with MCSO Policies GH-2, *Internal Investigations* and GC-17, *Employee Disciplinary Procedure*; and consistent with the Court Order, paragraphs 33 and 102. The compliance rates during the third quarter of 2015 were: 95% in July, 100% in August and 97% in September. The inspections have shown substantial compliance increases since inception and now reflect the Sheriff's Office is sustaining compliance.

Patrol Incident Report Inspection: The Monitor Team chose random samples of incident reports from all patrol districts and divisions. From the random sample, MCSO obtained 20% for inspection. The inspections comply with MCSO Policies EA-11, *Arrest Procedures*, EB-1, *Traffic Enforcement, Violator Contacts, and Citations Issuance*, EB-2, *Traffic Stop Data Collection*, CP-2, *Code of Conduct*, CP-8, *Preventing Racial and Other Biased-Based Profiling*; and are consistent with the Court Order, paragraphs 89, 90, 91, 93, 94, and 96. The compliance rate for the third quarter was 95%. Most importantly, 100% of the reports reviewed for the third quarter were found to be; not biased-based and/or indicative of racial profiling; without boilerplate and/or conclusory language; consistent throughout; and when necessary contained the elements of a crime. .

Patrol Shift Roster Inspection: The inspection is consistent with MCSO Chief of Patrol, Deputy Chief Rodriguez's directives along with pending changes to MCSO Policy GB-2, *Command Responsibility*; and is consistent with the Court Order, paragraphs 82, 84, and 86. The shift roster accuracy rates for the third quarter of 2015 were: 100% in July, 100% in August and 99% in

September. The Sheriff's Office has adhered to proper deputy to sergeant patrol squad ratios and has eliminated acting patrol supervisors.

Traffic Stop Data Collection Inspection: The Monitor team chose a random sample of traffic stops. The inspection complies 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. The traffic stop data collection compliance rate the third quarter of 2015 was 60% in July, 71% in August and 80% in September.

County Attorney Disposition Inspection: MCSO conducted an inspection of all County Attorney complaint dispositions submitted. The inspection complies with MCSO Policy GF-4, *Office Reports* and ED-3, *Review of Cases Declined for Prosecution*; and is consistent with the Court's Order, paragraph 75. The compliance rate was: 100% in July, 100% in August, and 92% in September.

Employee Email Inspection: MCSO generates and reviews a random sample of all Sheriff's Office employee email accounts. The inspection complies with MCSO Policies GM-1, *Electronic Communications and Voicemail* and CP-2, *Code of Conduct*; and is consistent with the Court's Order, paragraph 23. For each month during the third quarter, the employee email compliance rate was 100%.

Supervisory Notes Inspection: MCSO conducts a random sampling of all Blue Team supervisory note entries. The inspection complies with MCSO Policy GB-2, *Command Responsibility*; and is consistent with the Court's Order, paragraphs 85, 87, 92, 95, and 99. During the third quarter of 2015, the Office experienced decreases in compliance rates at 78% in July, and 53% in August. However, the compliance rate increased to 74% in September. The decrease may have been caused by the newly developed traffic stop data analysis spreadsheet tool, which became available for patrol supervisors around the time of the decrease. The spreadsheet is posted at the beginning of each month for the data from the preceding month, which created some confusion as to when the notes were to be recorded.

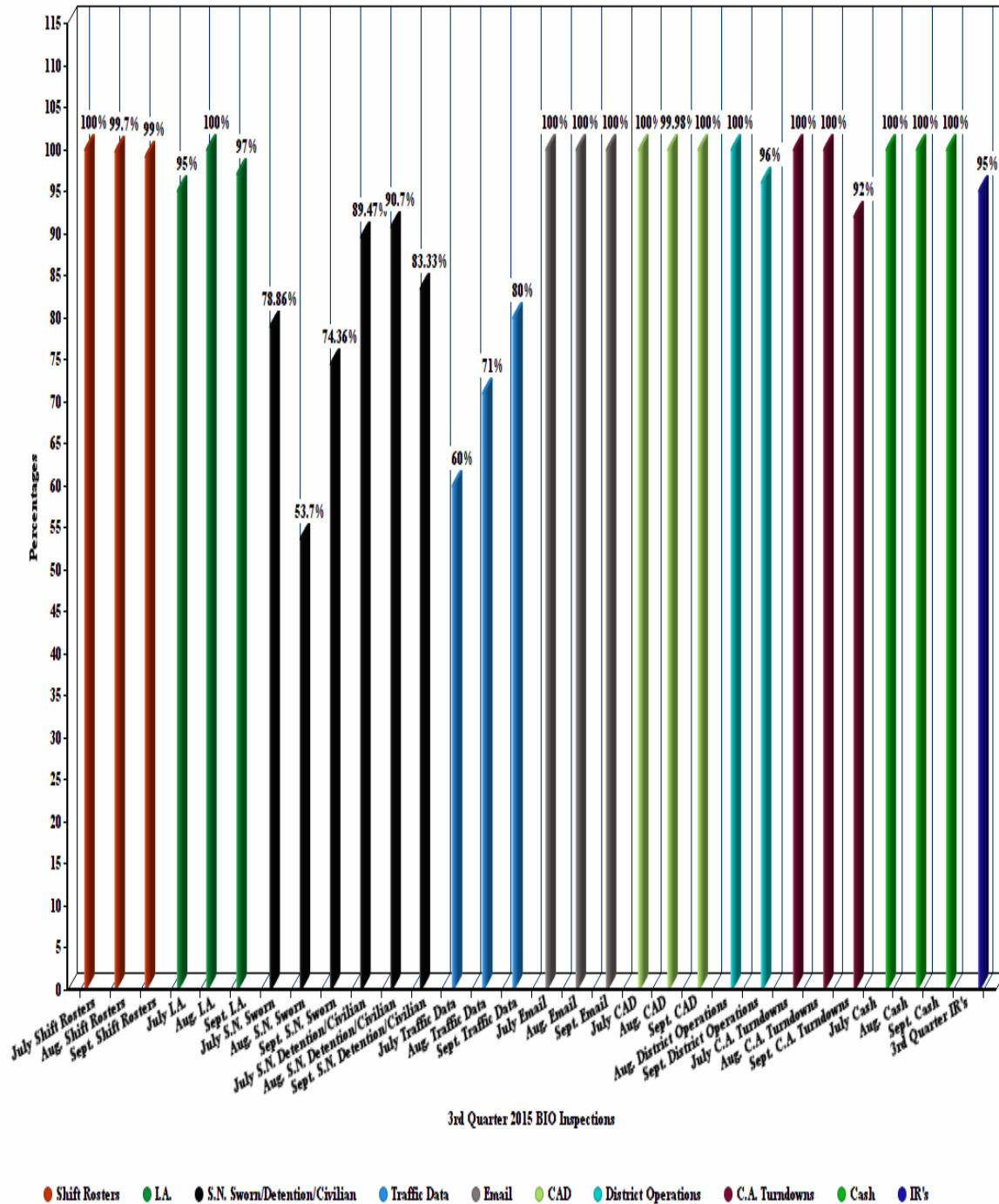
District Operations Inspection: MCSO inspects district operations monthly. The BIO Chief identifies one or two districts/divisions for uniform inspections using a matrix of random facility employees. District/Division operations were inspected at District II and the Property and Evidence Division. District II complied at a 100% rate and Property and Evidence complied at a 96% rate. There was no evidence in either inspection that Maricopa County property or equipment was used in any way that discriminates or denigrates anyone.

Cash Inspection: MCSO conducted cash inspections at Finance Impound Operations, AFIS/Records and ID, and the 3511 Unit. All inspections resulted in 100% compliance.

The following table represents the overall inspection compliance rate for each month during the third quarter of 2015. The second column of each month shows the increase or decrease compared to the previous month or quarter.

Table #2						
Bureau of Internal Oversight - Monthly Inspections Compliancy Rate						
Inspection	July		August		September	
Significant Operations	N/A	-	N/A	-	N/A	-
Shift Rosters Completed	100%	.2	99.7%	0.3	99.2%	0.5
Shift Rosters Accuracy	100%	3.8	100%	-	99%	1
Admin Investigations	95%	5	100.0%	5	97	3
Traffic Stop Data	60.0%	8.6	71%	11	80%	9
Employee Email	100%	-	100%	-	100%	-
Supervisor Notes (Sworn)	78.86%	19.39	53.70%	25.16	74.36%	20.66
Supervisor Notes (Detention & Civilian)	89.47%	2.3	90.70%	1.23	83.33%	7.37
Employee CAD/Alpha Paging	100%	-	99.98%	.02	100%	.02
County Attorney Dispositions (Turndowns)	100%	-	100%	-	92%	8
District Operations	N/C	-	-	-	-	-
District Operations (District 2)	-	-	100%	5.8	-	-
District Operations (Property)	-	-	-	-	96%	4
Division Property (Estrella Jail)	N/A	-	-	-	-	-
Division Property (Court Security)	N/A	-	N/A	-	-	-
Division Property (SID)	-	-	N/A	-	-	-
District Property (Enforcement Support)	-	-	-	-	95%	6
Cash (Fin. Impound, AFIS/ Records & ID, and 3511 Unit)	100%	-	100%	-	100%	-

Monthly Inspection Compliance Percentages



Compliance rates for all inspections increased since the inspection process began. With the exception of one inspection (Supervisory Notes-Sworn), MCSO has maintained the compliance rates during the past quarter demonstrating that Sheriff's Office employees are adhering to policies as well as the *Melendres* Court Order.

BIO and EIS staff continued to work with the Arizona State University, Criminology Department to develop a methodology for traffic stop data analysis. ASU completed the first traffic stop data audit this quarter. BIO, EIS, and the Technology Bureau continue to work collectively to produce an acceptable work product, which will ensure adherence to Office Policy.

During this quarter, BIO suspended the Purchase Card (P-Card) inspection to allow for a change in P-Card Policy. The inspection will resume during the final quarter of 2015. Inspectors will continue to coordinate and work closely with the Finance Division regarding this inspection.

BIO added another Senior Auditor to its staff this quarter.

E. Assigning Implementation and Compliance Related Tasks to MCSO Personnel as Directed by the Sheriff or his Designee

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 Order. These assignments are as follows:

Table #3	
MCSO Unit Assignments for Court Order	
Section	Unit Name
III. MCSO Implementation Unit and Internal Agency-Wide Assessment	<ul style="list-style-type: none"> • Court Implementation Division
IV. Monitor Review Process	<ul style="list-style-type: none"> • Court Implementation Division
V. Policies and Procedures	<ul style="list-style-type: none"> • Human Resources Bureau, Compliance Division - Policy Section • Court Implementation Division • Maricopa County Attorney's Office
VI. Pre-Planned Operations	<ul style="list-style-type: none"> • Compliance Division – Policy Section • Court Implementation Division • Detective and Investigations Bureau
VII. Training	<ul style="list-style-type: none"> • Court Implementation Division • Maricopa County Attorney's Office • Training Division

VIII. Traffic Stop Documentation and Data Collection and Review	<ul style="list-style-type: none"> • Bureau of Internal Oversight • Court Implementation Division • Bureau of Internal Oversight/Early Intervention Unit
IX. Early Identification System (EIS)	<ul style="list-style-type: none"> • Bureau of Internal Oversight/Early Intervention Unit
X. Supervision and Evaluation of Officer Performance	<ul style="list-style-type: none"> • Command Staff • Human Resources Bureau, Compliance Division and Personnel Services Division • Court Implementation Division • Bureau of Internal Oversight/Early Intervention Unit • Enforcement Bureau • Maricopa County Attorney's Office • Training Division
XI. Misconduct and Complaints	<ul style="list-style-type: none"> • Command Staff • Professional Standards Bureau • Supervisors in each unit
XII. Community Engagement	<ul style="list-style-type: none"> • Community Outreach Division

Section IV – Monitor Review Process

The Court's Order, Section IV directs submission of policies and appeals, and sets deadlines. Consistent with paragraph 14, MCSO responds expeditiously to all requests for documentation. Consistent with paragraph 15, MCSO completes resubmissions when requested. Consistent with paragraphs 16 and 31, MCSO promptly disseminates Office Policies and Procedures, and other documents after the Monitor approves them.

Section V – Policies and Procedures

Consistent with paragraph 18 requirements that MCSO deliver police services consistent with the U.S. Constitution and Arizona law, MCSO continually reviews its Office Policies and Procedures. MCSO is committed to ensuring equal protection and bias-free policing. To ensure compliance with the Court Order, MCSO continues to comprehensively review all Patrol Operations Policies and Procedures, consistent with the Court Order, paragraph 19.

MCSO published one new policy relevant to the Court Order during this reporting period, Policy CP-11, *Anti-Retaliation*. MCSO also published revisions of Policies CP-9, *Occupational Safety Program*; EA-12 *Public Observer Program*; EE-1, *Execution of Criminal Process/Civil Warrants*.

In addition to its annual review of all Critical Policies, consistent with paragraph 34 requirements that MCSO review each policy and procedure on an annual basis to ensure that the policy provides effective direction to personnel and remains consistent with the Court Order, the Policy Section initiated its annual review of all policies relevant to the Court Order.

MCSO Policy Section is working on the following drafts:

- EA-11, *Arrest Procedures*
- GC-4, *Employee Performance Appraisals*
- GG-2, *Training Administration*
- GF-3, *Criminal History Record Information and Public Records*
- GH-2, *Internal Investigations*
- GJ-35, *Body-Worn Cameras*

Policies pending legal review:

- EB-1, *Traffic Enforcement, Violator Contacts, and Citation Issuance*
- GB-2, *Command Responsibility*
- GG-1, *Peace Officer Training Administration*
- GJ-26, *Sheriff's Reserve Deputy Program*
- GJ-27, *Sheriff's Posse Program*

Policies submitted to the Monitors for review:

- CP-2, *Code of Conduct*
- EB-2, *Traffic Stop Data Collection*
- GC-17, *Employee Discipline Procedures*

Policies pending publication:

- CP-5, *Truthfulness*
- CP-8, *Preventing Racial and Other Bias-Based Profiling*
- EA-5, *Enforcement Communications*
- GA-1, *Development of Written Orders*
- GC-7, *Transfer of Personnel*
- GH-5, *Early Intervention System (EIS)*
- GJ-33, *Significant Operations*

To quickly implement the Court's directives, MCSO disseminated four *Briefing Boards* and three Administrative Broadcasts reference court order related topics during this reporting period¹. The published *Briefing Boards* and Administrative Broadcasts are listed in the following table:

Table #4		
MCSO Briefing Boards/Administrative Broadcasts		
B.B. /A.B. #	Subject	Date Issued
BB 15-17	Policy Publication – CP-9, <i>Occupational Safety Program</i>	08-13-15
BB 15-19	Seizure of Drivers' Licenses and License Plates (Reinforce BB15-04)	08-27-15
BB 15-20	Policy Publication – EA-12, <i>Public Observer Program</i> and EE-1, <i>Execution of Criminal Process/Civil Warrants</i>	08-31-15
BB15-22	Policy Publication – CP-11, <i>Anti-Retaliation</i>	09-16-15

¹ Briefing Boards have the full effect of an Office Policy. MCSO Administrative Broadcasts provide written directives and information to employees on material other than Policy.

AB 15-91	Maricopa County Sheriff's Office Posse Program	08-20-15
AB 15-96	Security of Paper Traffic Stop Forms	09-08-15
AB 15-97	New Radio Disposition Codes	09-10-15

MCSO *Briefing Board* 15-17, published on August 13, 2015, announced a revised policy publication for Court Order related policies. *The Briefing Board* announced the publication of revised policy CP-9, *Occupational Safety Program*.

MCSO *Briefing Board* 15-19, Seizure of Drivers' Licenses and License Plates, published August 27, 2015, reiterates protocols published previously in *Briefing Board* 15-04. The reinforced protocols relate to seizing and impounding license plates and drivers' licenses under civil and criminal state statutes. The protocols also address the procedure for eliminating and disposing of collection boxes for these items. The directive allows for greater accountability and tracking of seized items. It also protects deputies and the Office from claims of wrongful seizures and storage of these items.

MCSO *Briefing Board* 15-20, published on August 31, 2015, announced a revised policy publication for Court Order related policies. *The Briefing Board* announced revised policies EA-12 *Public Observer Program* & EE-1, *Execution of Criminal Process/Civil Warrants*.

MCSO *Briefing Board* 15-22, published on September 16, 2015, announced a new policy for Court Order-related policies. *The Briefing Board* announced t new policy CP-11, *Anti-Retaliation*.

MCSO Administrative Broadcast 15-91, published on August 20, 2015, announced an active posse roster that the Enforcement Support Division will maintain. The list identifies posse members who are in good standing that completed the court mandated training (20 hour Bias-Free Policing and Arrest and Detention training; Corrective Statement Attestation pursuant to the April 17, 2014 Court Order), and Completed the Self-Reporting Audio/Video Survey pursuant to the May 15, 2014 Court Order, acknowledging access to audio/video devices during traffic stops.

MCSO supervisors shall verify that a posse member is an active member prior to allowing any posse member to volunteer in any capacity.

MCSO Administrative Broadcast 15-96, published September 8, 2015, announced protocols to maintain the integrity and security of hand-written traffic stop data forms at all divisions. Provided in this Broadcast is a TraCS File Log that will be maintained and updated each time MCSO personnel access the forms.

MCSO Administrative Broadcast 15-97, published September 10, 2015, announced new disposition codes to ensure greater evidence tracking, accountability, and statistical data collection following civil and criminal traffic stops. The disposition codes include: 7: *Civil Citation – No IR*; 7P: *Civil Citation – Property Impounded with IR*; 6T: *Criminal Traffic – No Property Impounded*; 6TP: *Criminal Traffic – Property Impounded*.

During this reporting period, MCSO published an additional nine new or revised policies, ten *Briefing Boards*, and thirty Administrative Broadcasts not relevant to the Court Order.

Consistent with the Court Order, paragraph 31 requirements regarding MCSO personnel's receipt and comprehension of the policies and procedures, MCSO implemented the E-Policy system in January 2015. MCSO utilizes the system to distribute policies and procedures and require employees to attest to reading, understanding, and obeying all *Briefing Boards* and published policies. E-Policy memorializes and tracks employee compliance. MCSO makes available the Critical, Detention, Enforcement, and General Policies via E-Policy as a resource for all MCSO personnel.

During this reporting period, MCSO utilized the E-Policy system to distribute and obtain attestation of thirteen policies, including four policies related to the Court Order (Policies CP-9, *Occupational Safety Program*; CP-11, *Anti-Retaliation*; EA-12, *Public Observer Program*; EE-1, *Execution of Criminal Process/Civil Warrants*).

Section VI – 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 Order, Section VI directs. On December 31, 2014, MCSO completed training for this policy.

On January 6, 2015, MCSO ceased investigations related to ARS §13-2009(A)(3) and the portion of ARS § 13-2008(A)² that address actions committed "with the intent to obtain or continue employment." Additionally, MCSO disbanded the Criminal Employment Unit (CEU) and reassigned CEU deputies effective January 19, 2015.

The MCSO did not conduct any significant operations during this rating period.

Section VII – Training

The Court's 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 Training Division ensures that all relevant personnel receive training initially and annually thereafter consistent with paragraphs 48, 50, and 52. To assist with compliance, the Training Division began revising Policy GG-1, formerly titled Basic Training Program, renamed to Law Enforcement Training Administration. The revised policy combines policies and protocols from the previous GG-1 and GG-2, Training Administration. (The "new" GG-2 will solely focus on detention related training and administration.) Policy GG-1, Law Enforcement Training Administration delineates required initial and subsequent annual training related to the Court Order; lesson plan development, instructor criteria, course assessments and remediation, master calendar, and records.

² Pursuant to U.S. District Judge David G. Campbell's January 5, 2015 Order in *Puente Arizona v. Joseph Arpaio* (previously distributed via CID).

The Training Division worked with the Maricopa County Attorney's Office to draft the annual training curriculum to comply with the Court Order.

The Training Division worked with BIO and CID to develop the Supervisor Training Lesson Plan and practical scenarios. In September, MCSO received comments from the parties. No final lesson plan was completed during this reporting period.

On June 26, 2015, the Training Division provided to the Monitor for review, the lesson plan for the Bias-Free Policing and Detention, Arrests, and Immigration Related Laws training. This annual training was renamed Bias-Free Policing and the Fourth Amendment.

During this reporting period, the Training Division administered one in-person, two-day Bias-Free Policing and Detention, Arrests, and Immigration Related Laws training to the Deputy Graduating Class #135. The training class included reserve deputies and posse members. The deputies, reserve deputies, and posse members took the test via e-Learning immediately after the second day of instruction ended.

The Training Division continues to develop a lesson plan for TraCS training. No final lesson plan was completed during this reporting period.

The Training Division worked with Taser International to develop a lesson plan for Body-Worn Cameras. On June 26, 2015 the lesson plan was provided to the Monitor for review. The Training Division held a train the trainer session on September 16, 2015. The Training Division conducted fourteen body-worn camera classes between September 21, 2015 and September 30, 2015. By the end of the fourth quarter 2015, MCSO will have trained all current sworn employees on the equipment, operation, functionality, and Office Policy GJ-35, Body-Worn Cameras .

During this reporting period, the Training Division administered two in-person Blue Team training classes to the Deputy Graduating Class #135 and to detention officers in the training academy.

Consistent with the Court Order, paragraph 31 requirements regarding receipt and comprehension of the policies and procedures by MCSO personnel, MCSO implemented the e-Policy system in January 2015. It is a web-based system that operates similar to e-Learning and is utilized to distribute and obtain attestations of all Briefing Boards and published policies. E-Policy memorializes and tracks employee compliance with the required reading of MCSO Policy and Procedures, acknowledging an understanding of them, and expressing an agreement to abide by the requirements of the policies and procedures. MCSO imports all information regarding completed policy modules into Skills Manager, from which a report may be generated. The Critical, Detention, Enforcement, and General Policies are available via e-Policy as a resource for all MCSO personnel to view.

During this reporting period, MCSO utilized e-Policy to disseminate three Court Order-related policies: GH-4, Bureau of Internal Oversight; GJ-35, Body-Worn Cameras; and GM-1, Electronic Communication and Voicemail. Additionally, MCSO used e-Policy to disseminate one Court Order-related Briefing Board, Briefing Board 15-04, Seizure of Drivers' Licenses and License Plates. Lastly, MCSO used e-Policy to disseminate ten non-Court Order-related policies.

Section VIII – Traffic Stop Documentation and Data Collection and Review

In response to the Court Order related to training, MCSO disseminated and delivered, two traffic-related policies, EB-1, *Traffic Enforcement, Violator Contacts, and Citation Issuance* and EB-2, *Traffic Stop Data Collection*. The policies specifically address traffic stop requirements, ensuring that they are bias-free. By disseminating and training staff on these policies, MCSO complied with the Court's Order, paragraph 54.

Between July 01, 2015 and September 30, 2015, BIO conducted three traffic stop-related inspections to comply with the Court's Order, paragraph 64 (see Section III-D). The inspections were for traffic stop data, consistent with paragraphs 54-57, to ensure that MCSO: a) collected all traffic stop data to comply with MCSO Policy, EB-2, *Traffic Stop Data Collection*; b) accurately completed all forms; c) closed and validated all TraCS forms; d) used the correct CAD codes and sub codes; and e) supervisors reviewed and memorialized Incident Reports within guidelines. During the third quarter of 2015, the average inspection compliance rate rose to approximately 70%.

MCSO implemented TraCS to electronically collect existing handwritten traffic stop data as the Court Order requires. The goal of TraCS is to minimize paper forms and to transition to collecting electronic data only, as paragraph 60 requires.

MCSO implemented a system that allows deputies to input traffic stop data electronically. As of March 31, 2015 MCSO installed all of the approximately 179 marked patrol vehicles assigned to the Patrol Bureau with the electronic equipment, including the TraCS system, to capture traffic stop data that paragraph 54 requires, and to issue a contact receipt to vehicle occupants.

During this reporting period, MCSO changed the TraCS system to more accurately track data. MCSO made the following changes:

Table #5		
Summary of TraCS Changes		
Entity	Issue	Resolution
Tow Sheet	Updated list of Tow Companies	Replaced Tow Company list. NOTE: 'Other' is no longer an option because only companies in the list are approved for tows.
Tow Sheet	Entered invalid VIN numbers	Edit rules were put in place to edit the VIN number.
Tow Sheet	Setting Tow Sheets to a 'PENDING' status while waiting for Intox results was causing a problem at Tow yards because people showed up to pick up vehicles before the Intox results were available.	Removed 'PENDING' status. As a result, the PBT used on Scene, Pending Intox Results, and Intox Result checkboxes were removed. Intend for deputies to use PBT so that 3511 is determined before deputy gives tow sheet to tow driver.
All Tow Sheet Reports	PBT Used on Scene, Pending Intox Results, and Intox Result checkboxes	Removed PBT Used on Scene, Pending Intox Results, and Intox Result checkboxes from reports.

	were removed from form	
All Tow Sheet Reports	'PENDING' status is no longer used	Removed the 'PENDING' watermark from printed Tow Sheets
Contact	Passenger Perceived Ethnicity and Gender fields are disabled	Corrected rule to enable Passenger Perceived Ethnicity and Gender regardless of whether contact was made or not.
Tow Sheet	Auto Theft unit was unable to update Tow Sheets due to internal TraCS configuration changes	Modified tow sheet rules to support TraCS configuration changes.
Citation & Warning	'Signature not Obtained' checkbox does not accurately reflect the handwritten citation	Made change so when 'Hand-Written' is checked the signature is populated with 'See Original' and 'Signature not Obtained' checkbox is disabled.
Citation & Warning	GPS coordinates are probably not correct when a hand-written form is being entered.	Modified rule to set GPS Lat/Long to 'UNKNOWN' for hand-written forms.
Incidental Contact	GPS coordinates are probably not correct when a hand-written form is being entered.	Modified rule to set GPS Lat/Long to 'UNKNOWN' for hand-written forms.
Charge Codes	ARS code changes were made (effective 7/03/2015)	Updated charge codes
Court Days	Hassayampa Court day/time changed	Modified TraCS court tables
Tow Sheet	Phone numbers and email addresses were wrong for a couple of tow companies.	Corrected tow company list.
Tow Sheet	'Pending' watermark should have been removed with previous updates because the 'Pending' status was removed.	Correct rule.
Incidental Contact	Source of Unknown GPS lat/longs cannot be determined	Create a log record whenever unknown lat/long is received
Warning	Source of Unknown GPS lat/longs cannot be determined	Create a log record whenever unknown lat/long is received
Citation	Source of Unknown GPS lat/longs cannot be determined	Create a log record whenever unknown lat/long is received
Contact	Source of Unknown GPS lat/longs cannot be determined	Create a log record whenever unknown lat/long is received
Call Types	910 and 710 call types were not Current	Updated 710 and 910 call types

On June 24, 2015 MCSO published and disseminated (via e-Policy) Office Policy GJ-35, Body-Worn Cameras, e Body Camera Inspection Methodology and Body Camera Inspection Checklist.

Efforts to implement the network infrastructure to support video upload continued. As of September 30, 2015, network connectivity was complete for five Districts. The remaining sites include District IV, Enforcement Support and SWAT. Based upon current information from the vendor, Cox

Communications expects, these areas to be complete in the near future electrical issues were identified in multiple District offices and are being addressed. The completion date has not been determined

The Training Division worked with Taser International to develop a lesson plan for Body-Worn Cameras. On June 26, 2015, MCSO provided the lesson plan to the Monitor for review. The Training Division held a train the trainer session on September 16, 2015. The Training Division conducted fourteen body worn camera classes between September 21, 2015 and September 30, 2015. By the end of the fourth quarter of 2015, MCSO will have trained all current sworn employees on the equipment, operation, functionality, and Office Policy GJ-35, Body-Worn Cameras.

Section IX – Early Identification System (EIS)

The Early Identification System (EIS) continues to evolve as the Early Intervention Unit (EIU) moves to refine its processes to improve efficiency. On September 1, 2015, MCSO transferred Lt Greg Lugo to EIU. Lt. Lugo works closely with the MCSO Technology Bureau, Arizona State University and IA Pro vendor, CI Technologies.

During this reporting period, the IA Pro system set 948 alerts:

- The system forwarded 153 alerts to supervisors for further inquiry.
- Supervisors completed 103 reviews. Fifty remain open.

The Early Intervention Unit (EIU) processed the following entries for inclusion into the EIS: County Attorney Actions – 544

- Notices of Claim / Law Suits / Summons – 18
- Supervisor Notes – 12,142
- Briefing Notes – 735
- Commendations – 214
- Critical Incident – 3
- Firearm Discharges – 2
- Forced Entries – 2
- Integrity Tests of the Complaint System – 24
- IR Memorializations – 6
- Line Level Inspections - 466
- Vehicle Accidents - 32
- Vehicle Pursuits - 4
- Uses of Force - 91
- Other Tracked Behavior - 2991
(Off-Duty Police Contact; Loss of Badge/ID; Loss of Equipment: Speed (over 100 mph/ over 85 mph); Exposure/Injuries; Failure to Show for Training; Missed Logbook Entry; Missed Security Walks; Money Shortages; Property and Evidence Rejection; Security Breaches; Unscheduled Absences; TraCS Incidental Contacts; TraCS Citation Rate Deviation; TraCS Post-Stop Perceived Race/Ethnicity 30% deviation from benchmark; TraCS Unknown Post-Stop Ethnicity)

The EIU continues to work with Arizona State University faculty to develop methods to best analyze monthly, quarterly, and annual traffic stop data. During this quarter, ASU audited traffic stop data from June 30, 2014 through July 1, 2015 in anticipation of the annual traffic stop analysis.

The EIU developed lesson plans regarding EIS and Blue Team for the upcoming mandatory supervisory training. Also, MCSO incorporated Blue Team training into the MCSO post academy for newly hired staff members.

Section X – Supervision and Evaluations of Officer Performance

The Court Order requires increased deputy supervision. To increase deputy supervision, MCSO:

Supervisors mandated that their subordinates read the required court documents; they achieved 100% completion. Additionally, the Patrol Bureau Chief held monthly meetings with District Commanders to discuss progress and future measures to take in accordance with the Court Order.

The Patrol Bureau Deputy Chief continued to review supervisory staffing levels and assignments throughout patrol to ensure continued compliance with paragraph 82's required twelve to one ratio and to ensure that MCSO assigns deputies to a single, consistent, and clearly-identified supervisor, consistent with paragraphs 84 and 86.

Monthly, the BIO inspected shift rosters for proper supervisory ratios and to see that deputies were assigned to and work the same days and hours as their supervisor. Blue Team captures data to ensure that supervisors discuss with subordinates their traffic stops. The BIO inspects supervisors' monthly notes to ensure that supervisors document those discussions, consistent with the Court's Order, paragraph 85.

BIO conducted office-wide audits and inspections to ensure supervisory responsibility and accountability. BIO conducted inspections to ensure that deputies 1) notified a supervisor before initiating an immigration-related investigation and before affecting an immigration-related arrest consistent with the paragraph 89 requirements; 2) documented detentions and stops, and submitted incident reports by shift's end consistent with paragraphs 83, 90 and 93) supported all detentions and arrests with reasonable suspicion and probable cause consistent with paragraphs 91 and 94.

The Training Division worked with BIO and CID to develop the Supervisor Training Lesson Plan and practical scenarios. During this quarter, MCSO received comments from the parties to revise the lesson plan. No final lesson plan was completed during this reporting period.

The Human Resources Bureau, Personnel Services Division continued to revise MCSO Employee Performance Appraisals.

Section XI – Misconduct and Complaints

During this reporting period, MCSO assigned Captain Stephanie Molina to the Professional Standards Bureau. A new lieutenant and sergeant also joined PSB. MCSO restructured PSB's Criminal Section and assigned a new lieutenant, a sergeant, and three detectives.

To improve the quality of investigations, all PSB detectives and higher ranking members must receive their detective certification.

In October 2015 six PSB members attended the Public Agency Training Council's Internal Affairs two and a half day course. In November 2015, six PSB members attended the Public Agency Training Council's Internal Affairs Conference and Certification Course. These conferences provided PSB personnel with an

enhanced understanding of various elements of the professional standards system, including investigative control measures, proactive administrative enforcement, and administrative interview training.

To assure that MCSO's actions comply with the Court Order and the Office's high standards, MCSO took a multiple-step approach to address misconduct and complaints:

Although MCSO revised, disseminated, and delivered Policy GH-2, Internal Investigations, during the Court Order-related training (4th Quarter 2014), the PSB is working with the Policy Section to again revise Policy GH-2, to include the investigative process, to give direct guidance in conducting a preliminary inquiry and to clearly define "procedural complaints."

The PSB is also building a training curriculum related to administrative investigations conducted at the division level to ensure quality and efficiency. The PSB created an Administrative Investigation Checklist to ensure investigators complete all required tasks during an administrative investigation; and revised administrative investigative forms to ensure consistent investigative reporting.

The Administrative Investigation Checklist that PSB implemented notes whether or not a deputy cooperated with an administrative investigation. The checklist requires investigators to notify the supervisor of a deputy summoned as part of an administrative investigation. The checklist is consistent with the Court's Order, paragraph 104. The information on the checklist may be collected and tracked to demonstrate compliance. The investigative forms that PSB revised and instituted will collect and make track able the following information that investigators will consider in an investigation: 1) traffic stop and patrol data; 2) training records; 3) discipline history; 4) performance evaluations; and 5) past complaints. This information is consistent with the areas that the Court Order, paragraph 105 requires investigators to consider.

This information may be collected and tracked to demonstrate compliance.

During this reporting period, PSB Lieutenants reviewed all division-level investigations and provided written feedback to division-level investigators and their chains of command to improve the thoroughness of the investigations, obtain structure and consistency in format, ensure that proper forms are included, and provide assistance with future investigations. Additionally, once the new reporting format is reviewed and approved, the paper flow will allow PSB to review division-level cases for quality control, prior to final submission to the appointing authority.

Consistent with the Court's Order, paragraph 102, the MCSO mandated that staff report to the PSB any internal or external misconduct allegations. Whenever misconduct is alleged, the PSB must assign an IA case number. During this reporting period, the PSB assigned 248 IA case numbers and completed and closed 204 IA cases. PSB assigned thirty-two CIA (criminal) cases and closed thirty-four 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, PSB received 136 internal complaints during this reporting period, demonstrating compliance with the Court's Order. Of the 136 internal complaints received, 122 were administrative investigations and fourteen were criminal investigations.

Consistent with the Court's Order, paragraph 32, requiring that all patrol operations personnel report violations of policy; PSB received 99 complaints from patrol personnel during this reporting period.

Lastly, PSB conducted an inventory of all administrative and criminal investigations; created a tracking mechanism to systemize data collection, improve quality assurance capabilities for a more effective response to the Monitor and the Court Implementation Division; and generated new reporting formats for the Monitor's monthly document requests.

In addition to the PSB's efforts to address misconducts and complaints, the EIU continued to utilize IA Pro and Blue Team to monitor and analyze behavior that may lead to misconduct (see Section IX) and the BIO continued to address Court Order compliance by conducting audits and inspections of employee performance and misconduct (see Section III).

Section XII – Community Engagement

MCSO continued its community engagement efforts. The Community Outreach Division facilitated, promoted, and participated in events that unite MCSO personnel with community members in comfortable, non-law enforcement environments. For this reporting period, MCSO *personnel* participated in the following community events:

- Block Watch Meetings – District 1 and District 2

- PetSmart Adoption Event- 4 separate events in Phoenix.
- Drug Prevention Presentation-Multiple Events/Locations
 - Drug Prevention Presentation – Chicanos Por La Causa - Phoenix
 - Drug Prevention Presentation – COPE Coalition – Phoenix

- Probation and Parole Week “Kids Day” – Phoenix and Mesa

- Participated in several safety days at various organizations and schools including:
 - Boy Scouts Law Enforcement Day – Phoenix
 - Sears Safety Day – Chandler
 - Dignity Health Safety Fair – Chandler
 -

- SWAT/K-9 Demonstration for Guadalupe Boys and Girls Club

- Community meeting with residents of an apartment complex – District 3

- MADD Victim Impact Panel – District 1

- Attended an Arizona Muslim Police Advisory Board Meeting

- Collected and donated books to the Guadalupe Branch Public Library, Guadalupe Family Resource Center, and Chicanos Por La Causa

- MCSO participated in other less formal community outreach such as meeting with members of the community, facility tours, etc.

Additionally, the Chief Deputy, command personnel, and members from the Patrol Bureau, the PSB, and the CID, at Sheriff Arpaio's direction, attended the Monitor's Community Outreach Meetings throughout the county to further constructively engage with the community and work toward reform, improving community relations, and rebuilding public confidence and trust. These meetings included:

- Monitor Community Meeting - July 22, 2015 – Peoria Community Center
- Monitor Community Meeting – September 23, 2015 – Rainbow Valley Elementary School

PART III: RESPONSE TO CONCERNS RAISED IN THE MONITOR'S PREVIOUS QUARTERLY REPORT

The Monitor provided a copy of their Fifth Quarterly Report, published October 16, 2015 to the Court Implementation Division. In review of their report, MCSO responds to the following concerns:

On page 121 the report assumes that a decrease in IR Memorialization forms from last quarter to this quarter "indicate that supervisors are failing to identify serious issues or not properly reviewing subordinates' work products". MCSO's Response: Based on BIO audits it is plausible that the training and policies are working and MCSO has improved in this area. Supervisors complete report memorialization forms only when they identify significant issues with the report such as conclusory language, boilerplate language, arrest without probable cause, lack of reasonable suspicion, missing elements of the crime, bias policing, inconsistent information, lack of articulation of the legal basis for the action, indicia that information on report is not authentic, or other significant issues with the content of the report.

CONCLUSION

MCSO has taken major steps toward compliance with the Court's Order. The ability in the near future to implement training and promulgate additional policies and procedures will further assist in these efforts. A large amount has been achieved in many areas particularly involving the creation of directives; the delivery of Court Order related training; technology acquisition and programming to allow for data collection; the implementation of electronic data collection; the creation of the Early Intervention Unit and the BIO; increased supervision; improvements to the PSB data collection process, and community outreach.

Appendix A: MCSO Melendres Court Order Compliance Chart

MCSO Melendres Court Order Compliance Chart									
Completed on: Aug. 13, 2015									
Paragraph #	Requirement	Phase 1: Development (Policy & Training)				Phase 2: Implementation			Date of Full Compliance
		In Compliance	Deferred	Not in Compliance	Not Applicable	In Compliance	Deferred	Not in Compliance	
Section III. MCSO Implementation Unit and Internal Agency-wide Assessment									
9	Form a Court Ordered Implementation Unit	X				X			Apr. 16, 2015
10	Collection and Maintenance of All Data and Records	X				X			OCT. 16, 2015
11	MCSO Quarterly Report	X				X			Sep. 18, 2014
12	MCSO Annual Internal Assessment	X					X		
13	MCSO Annual Internal Assessment	X					X		
Section V. Policies and Procedures									
19	Conduct Comprehensive Review of All Policies			X				X	
21	Create and Disseminate Policy Regarding Biased-Free Policing	X					X		
22	Reinforce Discriminatory Policing is Unacceptable	X						X	
23	Modify Code of Conduct Policy (CP-2): Prohibited Use of County Property	X					X		
24	Ensure Operations are Not Motivated, Initiated, or Based on Race or Ethnicity			X				X	
25	Revise Policies to Ensure Bias-Free Traffic Enforcement	X				X			Apr. 16, 2015
26	Revise Policies to Ensure Bias-Free Investigatory Detentions and Arrests	X				X			Oct. 16, 2015
27	Remove LEAR Policy from Policies and Procedures	X				X			Sep. 18, 2014
28	Revise Policies Regarding Immigration-Related Law	X				X			Apr. 16, 2015
29	All Policies and Procedures shall Define Terms Clearly, Comply with Applicable Law and Order Requirements, and Use Professional Standards				X	X			Apr. 16, 2015
30	Submit All Policies to Monitor within 90 Days of Effective Date; and Have Approval by Monitor Prior to Implementation				X	X			Apr. 16, 2015
31	Ensure Personnel Receive, Read, and Understand Policy			X			X		
32	All Personnel shall Report Violations of Policy; and Employees shall be Held Accountable for Policy Violations	X						X	
33	Personnel Who Engage in Discriminatory Policing shall be Subject to Discipline	X					X		
34	On Annual Basis, Review Policy and Document It in Writing			X			X		

Paragraph #	Requirement	Phase 1: Development (Policy & Training)				Phase 2: Implementation			Date of Full Compliance
		In Compliance	Deferred	Not in Compliance	Not Applicable	In Compliance	Deferred	Not in Compliance	
Section VI. Pre-Planned Operations									
35	Monitor shall Regularly Review Documents of any Specialized Units Enforcing Immigration-Related Laws to Ensure Accordance with Law and Court Order		X				X		
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	X				X			Apr. 16, 2015
37	Have Standard Template for Op Plans and Standard Instructions for Supervisors, Deputies, and Posse Members	X				X			Apr. 16, 2015
38	Create and Provide Monitor with Approved Documentation of Significant Op within 10 Days After Op	X				X			Apr. 16, 2015
40	Notify Monitor and Plaintiffs within 24 hrs. of any Immigration Related Traffic Enforcement Activity or Significant Op Arrest of 5 or More People	X				X			Apr. 16, 2015
Section VII. Training									
42	Selection and Hiring of Instructors for Supervisor Specific Training			X				X	
43	Training at Least 60% Live Training, 40% On-line Training, and Testing to Ensure Comprehension			X				X	
44	Training Schedule, Keeping Attendance, and Training Records			X				X	
45	Training may Incorporate Role-Playing Scenarios, Interactive Exercises, and Lectures				X			X	
46	Curriculum, Training Materials, and Proposed Instructors				X			X	
47	Regularly Update Training (from Feedback and Changes in Law)			X				X	
48	Bias-Free Policing Training Requirements (12 hrs. Initially, then 6 hrs. Annually)				X	X			Apr. 16, 2015
49	Bias-Free Policing Training shall Incorporate Current Developments in Federal and State Law and MCSO Policy				X	X			Apr. 16, 2015
50	Fourth Amendment Training (6 hrs. Initially, then 4 hrs. Annually)				X	X			Apr. 16, 2015
51	Fourth Amendment Training shall Incorporate Current Developments in Federal and State Laws and MCSO Policy				X	X			Apr. 16, 2015
52	Supervisor Responsibilities Training (6 hrs. Initially, then 4 hrs. Annually)			X				X	
53	Supervisor Responsibilities Training Curriculum			X				X	

Paragraph #	Requirement	Phase 1: Development (Policy & Training)				Phase 2: Implementation			Date of Full Compliance
		In Compliance	Deferred	Not in Compliance	Not Applicable	In Compliance	Deferred	Not in Compliance	
Section VIII. Traffic Stop Documentation and Data Collection and Review									
54	Collection of Traffic Stop Data	X				X			Oct. 16, 2015
55	Assign Unique ID for Each Incident/Stop, So Other Documentation can Link to Stop	X				X			Dec. 15, 2014
56	Maintaining Integrity and Accuracy of Traffic Stop Data			X				X	
57	Ensure Recording of Stop Length Time and Providing Signed Receipt for Each Stop	X						X	
58	Ensure all Databases Containing Individual-Specific Data Comply with Federal and State Privacy Standards; Develop Process to Restrict Database Access	X				X			Sep. 18, 2014
59	Providing Monitors and Plaintiffs' Representative Full Access to Collected Data				X	X			Sep. 18, 2014
60	Develop System for Electronic Data Entry by Deputies	X						X	
61	Installing Functional Video and Audio Recording Equipment (Body-Cameras)	X						X	
62	Activation and Use of Recording Equipment (Body-Cameras)	X						X	
63	Retaining Traffic Stop Written Data and Camera Recordings			X				X	
64	Protocol for Periodic Analysis of Traffic Stop Data and Data Gathered for Significant Ops			X				X	
65	Designate Group to Analyze Collected Data			X				X	
66	Conduct Annual, Agency-Wide Comprehensive Analysis of Data			X				X	
67	Warning Signs or Indicia of Possible Racial Profiling or Other Misconduct	X						X	
68	Criteria for Analysis of Collected Patrol Data (Significant Ops)	X				X			Dec. 15, 2014
69	Supervisor Review of Collected Data for Deputies under Their Command			X				X	
70	Response to/Interventions for Deputies or Units Involved in Misconduct			X				X	
71	Providing Monitor and Plaintiffs' Representative Full Access to Supervisory and Agency Level Reviews of Collected Data				X	X			Apr. 16, 2015
Section IX. Early Identification System (EIS)									
72	Develop, implement, and maintain a computerized EIS			X				X	
73	Create Unit or Expand Role of MCSO IT to Develop, Implement, and Maintain EIS			X				X	
74	Develop and Implement Protocol for Capturing and Inputting Data			X				X	

Paragraph #	Requirement	Phase 1: Development (Policy & Training)				Phase 2: Implementation			Date of Full Compliance
		In Compliance	Deferred	Not in Compliance	Not Applicable	In Compliance	Deferred	Not in Compliance	
75	EIS shall Include a Computerized Relational Database			X				X	
76	EIS shall Include Appropriate ID Info for Each Deputy	X				X			Dec. 15, 2014
77	Maintaining Computer Hardware and Software, All Personnel Have Ready and Secure Access				X	X			Apr. 16, 2015
78	Maintaining All Personally Identifiable Information			X				X	
79	EIS Computer Program and Hardware will be Operational, Fully Implemented, and Use in Accordance of Policies and Protocol			X				X	
80	EIS Education and Training for all Employees			X				X	
81	Develop and Implement Protocol for Using EIS and Information Obtained From It			X				X	
Section X. Supervision and Evaluation of Officer Performance									
83	Provide Effective Supervision of Deputies	X						X	
84	Adequate Number of Supervisors (1 Field Supervisor to 12 Deputies)			X			X		
85	Supervisors Discuss and Document Traffic Stops with Deputies	X						X	
86	Availability of On-Duty Field Supervisors			X				X	
87	Quality and Effectiveness of Commanders and Supervisors			X				X	
88	Supervisors in Specialized Units (Those Enforcing Immigration-Related Laws) Directly Supervise LE Activities of New Members		X				X		
89	Deputies Notify a Supervisor Before Initiating any Immigration Status Investigation and/or Arrest	X						X	
90	Deputies Submit Documentation of All Stops and Investigatory Detentions Conducted to Their Supervisor By End of Shift	X						X	
91	Supervisors Document any Investigatory Stops and Detentions that Appear Unsupported by Reasonable Suspicion or Violate Policy	X						X	
92	Supervisors Use EIS to Track Subordinate's Violations or Deficiencies in Investigatory Stops and Detentions			X				X	
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	X						X	

Paragraph #	Requirement	Phase 1: Development (Policy & Training)				Phase 2: Implementation			Date of Full Compliance
		In Compliance	Deferred	Not in Compliance	Not Applicable	In Compliance	Deferred	Not in Compliance	
94	Supervisor Documentation of Any Arrests that are Unsupported by Probable Cause or Violate Policy	X						X	
95	Supervisors Use EIS to Track Subordinate's Violations or Deficiencies in Arrests and the Corrective Actions Taken			X				X	
96	Command Review of All Supervisory Review Related to Arrests that are Unsupported by Probable Cause or Violate Policy	X						X	
97	Commander and Supervisor Review of EIS Reports			X				X	
98	System for Regular Employee Performance Evaluations			X				X	
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			X				X	
100	Quality of Supervisory Reviews Taken into Account in Supervisor's Own Performance Evaluation			X				X	
101	Eligibility Criteria for Assignment to Specialized Units		X				X		
Section XI. Misconduct and Complaints									
102	Reporting Alleged or Apparent Misconduct	X						X	
103	Audit Check Plan to Detect Deputy Misconduct			X				X	
104	Deputy Cooperation with Administrative Investigations	X						X	
105	Investigator Access to Collected Data, Records, Complaints, and Evaluations	X						X	
106	Disclosure of Records of Complaints and Investigations				X			X	
Totals:		39	3	35	12	25	11	53	25

Legend
Paragraphs 18, 20, 41, & 82 are Introductory Paragraphs; no compliance requirement
Section I. Definitions; no compliance requirement
Section II. Effective Dates, Jurisdiction and Party Representatives; no compliance requirement
Section XII. Community Engagement (Monitor's responsibility); no compliance requirement
Section XIII. Independent Monitor and Other Procedures Regarding Enforcement; no compliance requirement

Appendix B: List of MCSO Acronyms

ATU: Anti-Trafficking Unit

BIO: Bureau of Internal Oversight

CAD: Computer Aided Dispatch

CID: Court Implementation Division

CEU: Criminal Employment Unit

EIS: Early Identification System

EIU: Early Intervention Unit

FMLA: Family Medical Leave Act

MCAO: Maricopa County Attorney's Office

PPMU: Posse Personnel Management Unit

PSB: Professional Standards Bureau

SID: Special Investigations Division

SRT: Special Response Team

TraCS: Traffic Stop Data Collection System

Appendix C: List of Tables

Table 1: Document Production Requests..... 4

Table 2: Bureau of Internal Oversight - Monthly Inspections Compliancy Rate..... 7

Table 3: MCSO Unit Assignments for Court Order..... 8

Table 4: MCSO Briefing Boards..... 11

Table 5: Summary of TraCS Changes..... 14