

Police Chiefs **DESK REFERENCE**

A Guide for Newly Appointed Police Leaders

A product of the Services, Support & Technical
Assistance to Smaller Police Departments Program,
New Police Chief Mentoring Project



BJA

Bureau of Justice Assistance

Office of Justice Programs ■ U.S. Department of Justice



International Association of Chiefs of Police New Police Chief Mentoring Project

in partnership with



Dear Law Enforcement Professional:

Since 1997 the International Association of Chiefs of Police has been actively supporting smaller agencies through the Smaller Agency Technical Assistance Program funded by the Bureau of Justice Assistance (BJA). In 2003, in partnership with BJA, the program was expanded to include a New Police Chief Mentoring initiative. The focus of the project is to provide newer police chiefs from smaller agencies with access to seasoned chiefs from similar sized agencies to learn how they achieved success and resolved similar problems. The project is designed to render leadership and policy guidance to new chiefs as they begin their tenure through mentoring assistance and through the dissemination of the Police Chiefs Desk Reference (PCDR).

The PCDR, a major component of the project contains a wealth of resources to assist chiefs in their new role. There is information on leadership, ethics, policies and procedures, accreditation, funding, sample internal and community surveys, as well as best practices guides written specifically for smaller agencies on a wide range of topics. Many other resource listings, summaries, and web site referrals, are also incorporated into the reference.

This resource has had an overwhelming response since its release in November. All sizes and types of agencies and levels of staff are requesting the product. The New Police Chief Mentoring Project is also working with state associations to incorporate the document into their trainings, command school, and university curriculum in several states. A copy of the desk reference is enclosed for your review.

Sincerely,

Joseph G. Estey
President
The International Association of
Chiefs of Police

Domingo S. Herraiz
Director
The Bureau of Justice Assistance

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Foreword

Congratulations on becoming the chief of police. The beginning of any new police chief's administration can be overwhelming, confusing, and frustrating; and newer chiefs need technical assistance and support. We are glad that you have sought out the resources of the International Association of Chiefs of Police, New Police Chief Mentoring Project to assist you.

This *Police Chiefs Desk Reference* (PCDR), a major leadership component of the mentoring project, was designed with the new chief in mind and contains a wealth of resources to assist chiefs in their role as a police executive. Police chiefs from around the country who share a desire to pass along their knowledge and experience with their peers contributed many of the writings.

There is information about the IACP and the Research Center Directorate, including current projects and publications. Chapters are included on leadership, ethics, policies and procedures, accreditation, and funding. Also included are sample internal and community surveys as well as best practices guides written specifically for smaller agencies on a wide range of topics. It also contains information about state associations of chiefs of police and many other resource listings, summaries, and Web site referrals.

The IACP Research Center Directorate's Services, Support, and Technical Assistance to Smaller Police Departments Program developed the New Police Chief Mentoring Project in 2003 with funding support from the Bureau of Justice Assistance of the U.S. Department of Justice. The project's goal is to provide leadership development through mentoring services to the some 12,000 smaller agencies around the country.

One-on-One Support

In addition to the PCDR, the mentoring project provides newer chiefs with access to seasoned chiefs of agencies of similar size to learn how they achieved success and resolved similar challenges. This one-on-one technical assistance helps new chiefs set goals, increase their likelihood for success, gain competency and avoid failure, expand professional expertise, learn through real-life examples, and become more confident through achievements. Mentors provide guidance, networking opportunities, and written materials to help the new chief with the challenges they are facing.

We hope you will find the *Police Chiefs Desk Reference* a valuable reference tool that you refer to frequently. It was designed to allow you to insert additional resources as the smaller agency program and the mentoring project develop them. In the next year, the state associations will be working together with the project to create an additional chapter to be inserted that will contain information on your state's contacts, issues, training opportunities, and other resources important for you to know. These chapters will be housed on your state association's Web site as well as the IACP Mentoring Project Web page (www.theiacp.org/research/RCDChiefMentoring.html). Keep checking for new updates.

Best wishes in your new role as chief of police.

Kristine Saltarelli
New Police Chief Mentoring Project Coordinator

Acknowledgments

The International Association of Chiefs of Police New Police Chief Mentoring Project wishes to acknowledge the Services, Support and Technical Assistance to Smaller Police Departments Advisory Group members for their dedication and tireless efforts towards the completion of this document. This group of talented individuals not only advised the project in its design and implementation, but also served as our first mentors. Many of these same individuals authored the contents of A Police Chiefs Desk Reference. We appreciate their leadership and the essential role it plays to success of the Smaller Agency Program and the Mentoring Project.

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IACP Resources

IACP

Research Center Directorate

Services, Support and Technical Assistance to
Smaller Departments Program

Training Keys

Traffic Safety

Training

Other Resources

International Association of Chiefs of Police

History

The International Association of Chiefs of Police is the world's oldest and largest law enforcement executive association. The Association is headquartered in Alexandria, Virginia with a permanent staff of approximately 100 personnel and over 100 working professionals that serve as training faculty, as grant-funded trainers, management study and technical assistance consultants. Founded in 1893, the IACP boasts over 19,000 members representing over 95 nations. Throughout the past 100-plus years, IACP has launched historically acclaimed programs, conducting groundbreaking research and providing exemplary programs and services to our membership across the globe.

Professionally recognized programs such as the FBI Identification Division and the Uniform Crime Records system can trace their origins back to the IACP. In fact, the IACP has been instrumental in forwarding breakthrough technologies and philosophies from the early years of our establishment to now, as we approach the 21st century. From spearheading national use of fingerprint identification to partnering in a consortium on community policing to gathering top experts in criminal justice, the government and education for summits on violence, homicide, and youth violence, IACP has realized our responsibility to positively effect the goals of law enforcement.

An Executive Committee guides the IACP by providing policy direction to the professional staff and to the Association's diverse working groups, divisions, sections and committees. The Executive Committee is comprised of 44 leading law enforcement executives representing international, federal, state, local, and Indian country law enforcement agencies.

Mission

The IACP shall advance professional police services; promote enhanced administrative, technical, and operational police practices; foster cooperation and the exchange of information and experience among police leaders and police organizations of recognized professional and technical standing throughout the world.

We shall champion the recruitment and training of qualified persons in the police profession and encourage all police personnel worldwide to achieve and maintain the highest standards of ethics, integrity, community interaction and professional conduct.

Philosophy

Vision

The IACP will continue to enhance its status as the established voice of professional law enforcement; strive to be a progressive, active and effective force to serve the profession with public safety research, education, training, and administration; and work to ensure professionalism, diversity, tolerance, and sustained high standards in policing.

Promise

The IACP will lead and support the efforts of police administrators around the world and will work to improve their capacity to better serve their communities.

Objectives

- To provide quality products and services to our membership and to the public safety community.
- To support our membership in better serving their communities.
- To develop strategies, combine resources, utilize partnerships, and execute programs designed to improve the profession of law enforcement.
- To offer a network of communication, education and mutual understanding among the various member agencies, large and small, in dealing with the challenges of modern law enforcement.
- To provide a productive, common meeting point for all member agencies through participation in IACP activities, conferences, training classes, technical assistance, or service projects.
- To accomplish the mission statement as represented in the IACP Constitution.

Values

- Professional integrity, respect and tolerance
- Accountability to our membership and their communities
- Sustained commitment to quality work
- Advancing the art and science of policing
- Preserving and cultivating mutually beneficial partnerships with individual law enforcement agencies, other associations, government entities, and the private sector
- Responsible and efficient use of Association resources to accomplish the organization's mission

Leadership Structure

Board of Officers

Joseph G. Estey, <i>President</i>	Hartford Police Department, VT
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Mark Whitman, <i>General Chair—SACOP</i>	York Police Department, PA
Gwen Boniface, <i>General Chair—State & Provincial</i>	Ontario Provincial Police, Ontario
Patrick T. Foley, <i>Parliamentarian</i>	Douglas Police Department, MA

Executive Staff

- Daniel N. Rosenblatt, Executive Director
- Eugene Cromartie, Deputy Executive Director & Chief of Staff

IACP Staff Directors

Michele Henry, Finance Administration and Personnel	Jerry Needle, Programs and Research Activities
Charlie Higginbotham, Information and Services	John Firman, Research Center
Paul Santiago, International Activities and Support Services	Dave Tollett, State and Provincial Police

IACP Research Center Directorate

(www.theiacp.org/research)

Mission

Identifying emerging issues in law enforcement and conduct timely policy research, evaluation, follow-up training and technical assistance on those issues to provide information and direction to law enforcement leaders, the justice system, and the community.

Projects & Resources

The IACP Research Center Directorate administers many projects, which provide numerous no fee training, education, and technical-assistance opportunities. Further information on these services as well as many of the center's reports can be found online at www.theiacp.org or by contacting the project staff directly.

Crime Gun Interdiction

Helping law enforcement agencies reduce the levels of gun violence in the nation's communities.

(firearms@theiacp.org)

- Crime Gun Interdiction Strategies for the 21st Century
- The Crime Gun Interdiction Continuum
- Crime Gun Project Newsletter (quarterly)

Criminal Justice Information Sharing

Facilitates and promotes information sharing among federal, state, local and tribal law enforcement agencies through various products. (cuttingedge@theiacp.org)

- Criminal Justice Information Sharing Report

Cutting Edge of Technology

Focuses on the use of current and emerging law enforcement technology. (cuttingedge@theiacp.org)

- Police Pursuit Executive Brief
- CCTV/Video Cameras in Law Enforcement—Executive Brief
- Electro-Muscular Disruption Technology—Executive Brief
- Digital Imaging for Safer Schools—Executive Brief

Enhancing Police Response to Victims

An effort to understand the strength of current law enforcement practices toward victims of crime, identify promising practices and design a victim response policing model. (firmanj@theiacp.org)

Improving Safety in Indian Country

Take 52 recommendations developed at the 2001 Indian Country Summit to a greater number of tribes through four regional symposia and identify promising practices for improving safety in Indian Country. (indiancountry@theiacp.org)

National Law Enforcement Leadership Institute on Violence Against Women

Building the leadership capacity of law enforcement executives across the United States on violence against women crimes, strengthening the commitment of law enforcement officers to respond to these crimes, and enhance the ability of communities to respond to victims. (turnerm@theiacp.org)

- The National Law Enforcement Leadership Institute Series Application
- The National Violence Against Women Law Enforcement Trainer Development Program

National Policy Summits

Held annually on critical issues facing American law enforcement and the communities it serves.

(policysummits@theiacp.org)

Criminal Intelligence Sharing: A National Plan for Intelligence-Led Policing at the Local, State and Federal Levels (2002)
Family Violence: Children Who Witness (1997)
Hate Crime in America (1998)
Improving Safety in Indian Country (2001)
Murder in America (1995)
Private Security / Public Policing (2004)
Victims of Crime – What Do Victims Want? (1999)
Violent Crime in America (1994)
Youth Violence in America (1996)
DNA Victim’s Roundtable Report (2003)

Police Administration & Leadership Tools

Help police ensure they have all the information they need to best serve the community.

(leadershiptools@theiacp.org)

Leading from the Front: Combating and Preparing for Domestic Terrorism
Police Accountability and Citizen Review
Responding to Hate Crime in America (educational booklet)

Police Response to Violence Against Women

Focuses on the development of tools and policies to assist law enforcement in responding effectively to domestic violence, sexual assault and all other crimes against women. *(stopviolence@theiacp.org)*

Policy on Domestic Violence by Police Officers, with accompanying discussion paper
Protecting Victims of Domestic Violence: A Law Enforcement Officer’s Guide to Enforcing Orders of Protection Nationwide
Model Policy on Sexual Investigations, with accompanying concept and issues paper

Protecting Citizens’ Civil Rights

Focusing on civil rights pattern and practice investigations of police using closed case experience to develop a best practices guide for local law enforcement to proactively prevent civil rights violations.

(markovic@theiacp.org)

Services, Support & Technical Assistance for Smaller Police Departments (includes New Police Chief Mentoring)

Provides various kinds of technical assistance on a number of subjects for agencies with less than 25 sworn officers. See the end of this section for a description of the products and services.

(smalldpts@theiacp.org and mentoring@theiacp.org)

University and Law Enforcement Partnerships

Improving the quality of academic and law enforcement partnerships to enhance research and evaluation of police programs. *(firmanj@theiacp.org)*

Unresolved Problems & Powerful Potentials: Improving Partnerships Between Law Enforcement Leaders and University Based Researchers

Victim Services

Offers a range of tools to help enhance law enforcement's response to crime victims. (victimservices@theiacp.org)

What Do Victims Want? 1999 Summit Report

Customizable Brochure for Victims

Customizable Web Pages for Victims Services

Critical Response:

- ◆ Vol. 1 – Victim Services Within Agencies, Grant Writing Basics, – *Understanding VOCA Funding*
- ◆ Vol. 2 – Cyberstalking, Victim Service Professionals
- ◆ Vol. 3 – Hate Crime, Victim Services on College Campuses
- ◆ Vol. 4 – Hispanic Victims, New Resources
- ◆ Vol. 5 – Elder Abuse, New Chief Mentoring

Victim Services and Law Enforcement: Next Steps

Backing the Badge: Working with Law Enforcement – A Booklet for Advocates

Video Evidence in Law Enforcement

Impact of video evidence on modern policing: to include acquisition, implementation, and management. (in-car-camera@theiacp.org)

Best Practices Guide for In-Car Camera Management and Use

Model Policy for In-Car Camera Use

Digital Performance Video Standards (Dec 2005)

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Nancy Turner

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Mike Fergus

Kristy Fowler

Civil Rights

John Markovic

Police Response to Victims

Steve Brochu

Irina Romashkan

as of 7/19/05

Services, Support, and Technical Assistance to Smaller Departments Program

Mission

To provide affordable and accessible training, technical assistance, and policy support to the nearly 13,000 smaller and tribal law enforcement agencies (those with less than 25 sworn officers) in the United States.

Objectives

- Identify current and emerging needs of smaller departments
- Design & deliver training and technical assistance to meet those needs
- Maximize resource delivery through on-going collaboration and partnerships
- Evaluate project impact

Products and Services

New Police Chief Mentoring Project

Contact Kristine Saltarelli, Project Coordinator, at 1-800-THE-IACP, ext. 338, or mentoring@theiacp.org.

For information on the following Smaller and Tribal Agencies products and services refer to the IACP website at www.theiacp.org or contact:

Elaine Deck, Project Manager, 1-800-THE-IACP ext. 262, decke@theiacp.org

Best Practices Guides

Guides are modeled on innovative strategies and designed to be applicable and useful to smaller agencies with limited resources and available staff. (www.theiacp.org/research -- *Services, Support, and TA for Smaller Depts – Best Practices Guides*)

Acquisition of New Technology
Budgeting in Small Police Agencies
Developing a Police Department Policy-Procedure Manual
Generation X Recruits and the Field Training Experience
Grant Writing
Institutionalizing Mentoring Into Police Departments
Internal Affairs: A Policy Strategy for Smaller Police Departments
Recruitment and Retention of Qualified Police Personnel
Website Development for Smaller Police Agencies

Big Ideas for Smaller Police Departments

Big Ideas, a quarterly newsletter distributed to police department chiefs of less than 25 sworn officers, contains core elements of the Best Practices Guides, along with other useful information for smaller agencies. See Chapter 17 for a sample issue and a complementary subscription form.

Public Safety Surveys

Instructions on how to design a survey and examples of internal agency and community surveys used by smaller agencies that resulted in positive community response and collaborative projects between community groups and the police departments. (www.theiacp.org See Research Center – Services, Support and TA for Smaller Police Depts – Public Safety Surveys)

Regional Symposia

Expert consultants conduct training events throughout the U.S. addressing parallel topics to the Best Practices Guides.

Indian Country Training

Training in Indian Country focuses on safety issues and includes:

- Symposia to gain a broader understanding of safety issues in Indian Country
- Introduction of summit findings to tribal and other symposia participants to gain their perspective on potential value and impact.
- Identification of promising practices, particularly collaborative approaches among federal, state, county, local and tribal police agencies.
- Building partnerships among participants to enhance their capacities to improve services.

Consultation

IACP staff responds to informational requests from members and other law enforcement officials about issues affecting smaller departments. The interactions may result in recommendations regarding issues and resources. For additional assistance, the staff person may also refer inquirers to experienced police chiefs or others.

IACP Annual Conference Training Track

The Smaller Agencies holds a certificate-training track in conjunction with the annual conference.

Training Keys

(<http://www.theiacp.org/pubinfo/TrKeys.htm>)

The Training Keys are concise, authoritative sources of law enforcement information published by The International Association of Chiefs of Police. These six-page, loose-leaf monographs allow law enforcement officers to expand or sharpen their knowledge, skills and abilities on a broad variety of law enforcement practices and procedures. Each Training Key is prepared by a leading expert and addresses an issue of particular interest to line officers and their supervisors.

For well over 35 years, local and state law enforcement agencies have looked to the Training Keys for the most current information in the science and practice of policing. Ideal for roll-call training and formal classroom instruction as well as independent study, each one includes questions and answers to test and document student learning. All sworn officers can expand their professional law enforcement knowledge by using them systematically and routinely.

The Training Keys cost \$7 a year per officer. Each officer receives 12 individual Training Keys enough material for many departments to meet a full year of in-service training needs. Also available are over 350 additional Training Keys, published in the past 25 years, covering over 400 topics, including accident, criminal and death investigation; arrest procedures; arson and bombs; burglary; interrogation and interviews; juvenile delinquency; legal procedures; narcotics and drugs; special tactics; traffic enforcement and control; and vehicle theft, among others. For ordering information, contact Shannon Gorey at 1-800-THE-IACP, ext. 319; gorey@theiacp.org. The keys can also be purchased on the IACP website at <http://www.theiacp.org/>.

Training Keys

Accident Investigation

- 287. Protecting the Accident Scene (1979)
- 305. Freight Train Derailments (1981)
- 346. Railroad Grade Crossing Accidents: Initial Response (1987)
- 347. Railroad Grade Crossing Accidents: Investigative Procedures (1987)
- 354. Accident Reconstruction: Accident Dynamics and Roadway Analysis (1987)
- 355. Accident Reconstruction: Exterior Vehicle Analysis (1987)
- 356. Accident Reconstruction: Interior Vehicle Analysis and Pedestrians (1987)
- 365. Standardized Field Sobriety Testing (1988)
- 383. Post-Accident Lamp Examination (1988)
- 417. Motor Vehicle Occupant Safety (1992)
- 551. Bioterrorism (2002)

Administration

- 264. Patrol Efficiency (1978)
- 400. Police and the News Media (1990)
- 430. Line-of-Duty Deaths (1993)
- 452. Time Management (1994)
- 477. Police Lockups (1996)
- 484. Weapons of Mass Destruction: Part I - The Threat (1998)
- 485. Weapons of Mass Destruction: Part II - Threat and Response (1998)
- 486. Weapons of Mass Destruction: Part III – Response (1998)
- 522. Reporting Use of Force (2000)
- 524. Victim Assistance: Promising Programs, Part I (2000)
- 525. Victim Assistance: Promising Programs, Part II (2000)
- 529. Investigation of Public Complaints Part 1: General Disciplinary Concepts (2001)
- 530. Investigation of Public Complaints Part 2: Receiving and Processing Complaints (2001)
- 531. Investigation of Public Complaints Part 3: The Investigative Process (2001)

- 545. Planning & Conducting Effective Meetings (2002)
- 546. Harassment and Discrimination in the Workplace Update (2002)

Arrest Procedures

- 249. Taking Prisoners into Custody (1978)
- 250. Searching Prisoners (1978)
- 251. Searching Prisoners of the Opposite Sex (1978)
- 267. Use of Handcuffs (1979)
- 281. Transporting Prisoners (1979)
- 360. Organized Motorcycle Gangs (1987)
- 364. Diplomatic Immunity (1988)
- 373. Handgun Retention (1988)
- 387. Stop and Frisk (1988)
- 402. High-Risk Warrants (1990)
- 403. Off-Duty Arrests: Restrictions and Responsibilities (1990)
- 411. Domestic Violence (1992)
- 412. Transportation of Prisoners II (1992)
- 413. Strip and Body Cavity Searches (1992)
- 414. Showups, Lineups and Photo Identifications (1992)
- 428. Consent Searches (1993)
- 429. Custody Death Syndrome (1993)
- 439. Inventory Searches (1993)
- 443. Entrapment: Part I (1993)
- 444. Entrapment: Part II (1993)
- 457. The "Plain Touch" Rule: Part I (1995)
- 458. The "Plain Touch" Rule: Part II (1995)
- 496. Use of Restraints During Terry Stops (1998)
- 541. Four Point Restraints (2002)
- 550. Arrests (2002)
- 552. Foot Pursuits (2002)
- 562. Consular Notification & Access (2003)
- 564. Organized Motorcycle Gangs: Updated (2003)

Arson and Bomb

- 300. The Arsonist (1981)
- 304. Fire Rescue Response (1981)
- 348. Tracing Firearms and Explosives (1987)
- 484. Weapons of Mass Destruction: Part I - The Threat (1998)
- 485. Weapons of Mass Destruction: Part II - Threat and Response (1998)
- 486. Weapons of Mass Destruction: Part III – Response (1998)
- 547. Evacuations (2002)
- 551. Bioterrorism (2002)

Community Relations

- 244. The Deaf and the Police (1978)
- 280. Crime and the Elderly (1979)
- 290. Effective Listening (1981)
- 343. The Police on Television (1987)
- 358. Death Notification (1987)
- 368. Police Victim Assistance (1988)
- 440. Police Communication in Traffic Stops (1993)
- 505. Community-Oriented Policing - Part I (1999)
- 506. Community-Oriented Policing - Part II (1999)
- 518. Elder Victimization (1999)
- 519. Hate Crimes - An Update (1999)
- 520. Police-Citizen Contacts (2000)
- 524. Victim Assistance: Promising Programs, Part I (2000)
- 525. Victim Assistance: Promising Programs, Part II (2000)
- 528. Critical Incident Management: Part I – Planning (2000)
- 529. Investigation of Public Complaints Part I: General (2001)
- 530. Investigation of Public Complaints Part II: Receiving and Processing Complaints (2001)
- 531. Investigation of Public Complaints Part III: The Investigation Process (2001)
- 545. Planning and Conducting Effective Meetings (2002)

Crowds

- 344. Demonstrations: Control Planning (1987)
- 345. Demonstrations: Control Operations (1987)
- 426. Confronting Civil Disturbances (1993)
- 463. Strikes and Labor Disputes (1995)
- 510. Impact Projectiles (1999)
- 547. Evacuations (2002)

Death Investigations

- 358. Death Notification (1987)
- 429. Custody Death Syndrome (1993)
- 433. Autoerotic Asphyxia (1993)
- 453. Investigation of Infant Deaths (1994)
- 489. Preliminary Death Investigation (1998)

Defensive Weapons

- 324. Police Shootings and the Law (1983)
- 325. Police Shootings and Department Policy (1983)
- 391. Flash/Sound Diversionary Devices (1988)
- 462. Use of Pepper Aerosol Restraint Spray (Oleoresin Capsicum or "OC") (1995)
- 497. The Taser® (1998)
- 510. Impact Projectiles (1999)
- 523. Laser Threats to Law Enforcement (2000)
- 567. The Advanced Taser® (2003)

Equipment

- 252. Citizen Band Radio (1978)
- 267. Use of Handcuffs (1979)
- 286. The Polygraph in Criminal Investigations (1979)
- 367. Soft Body Armor (1988)
- 379. Police Uniforms - Selection and Maintenance (1988)
- 391. Flash/Sound Diversionary Devices (1988)
- 407. The Law Enforcement Shotgun (1990)
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Traffic Safety Resources

IACP Technology Clearinghouse

<http://www.iacptechnology.org/>

or

<http://www.theiacp.org/> (Links--Other IACP Websites)

The Technology Clearinghouse is a free web-based source for law enforcement technology containing a wealth of information, including the following sections:

1. Library of Resources—includes links to:

- Law enforcement technology related articles that have appeared in various publications (on mobile computing, communications, mapping/GIS, transportation, and information sharing)
- “Tech Talk” articles (from *The Police Chief* magazine)
- Links to mobile computing publications and magazines
- Policy and standards information and links
- Funding resources
- An on-line survey on innovative automated data collection technologies in law enforcement and transportation communities

2. LEIM Information—includes information and links as follows:

- Purpose and guidelines of the Law Enforcement Information Management Section (LEIM)
- IACP technology initiatives
- Information on the LEIM conference and links to presentations that were delivered during past LEIM conferences
- A link to the Leadership in Technology Awards Program

3. Technology Projects—presents a number of links and survey data:

Responses to the on-line automated data collection survey by state, type of agency and size of agency. (The listing on January 12, 2004, included five responses from agencies with less than 25 sworn officers and 18 responses from agencies with between 25 and 50 sworn officers.)

Information on and links to:

- A. The National Model for the Statewide Application of Data Collection and Management Technology to improve Highway Safety (National Model) and
- B. The Law Enforcement Information Technology Standards Council (LEITSC) and its member associations and funders.

4. Practitioner Links—contains links to resources and companies identified through the technology program survey to have a demonstrated value to law enforcement. Included are links to Hardware, Software, Communications tools, and Accessories.

There are also links to seventeen law enforcement organizations.

5. Search—This is a text search engine that searches for documents containing identified key words.

6. RFPs and RFIs—allows agencies to:

- Post Request for Proposals RFPs and Requests for Information (RFIs) on this website or
- Review expired RFPs as an aid in developing RFPs on similar topics.

7. **Clearinghouse Sponsors**—links to the Federal Highway Administration and the National Highway Traffic Safety Administration (Department of Transportation).
8. **Contact information**—contains links for IACP membership and IACP section applications, as well as connections to IACP staff working with this program.

IACP Technology Clearinghouse:

Tom Robey: 1-800-THE-IACP, ext. 387, or robeyt@theiacp.org

Technology Center and Technical Assistance Program

(IACP's parent initiative for the Clearinghouse)

Matthew Snyder, Administrator: 1-800-THE-IACP, ext. 315, or snyderm@theiacp.org

Radar Testing Program

<http://www.theiacp.org/>

(go to Committees--Highway Safety--Professional Assistance—Radar/Lidar Testing and Consumer Products Lists)

There are currently three radar-testing laboratories available for use by the IACP members and law enforcement in general. These laboratories are designed to verify the accuracy of radar and lidar units that may have been in use for several years. Currently the fee for testing a radar device is \$130 and is paid by the police department.

These laboratories also test all the new radar and lidar equipment that the manufacturers produce. After successful testing, these units are placed on the IACP's Consumer Products List. The purpose of these laboratories is to test speed-measuring devices submitted by the manufacturers to insure that they comply with the requirements of the appropriate Speed-Measuring Device Performance Specifications.

Contact Rick Larson for more information at 1-800-THE-IACP, ext. 263, or email: larsonr@theiacp.org.

Related information: There is federal funding available for departments to purchase radar equipment. Products selected must be on the IACP approved Consumer Products List.

Youth Alcohol Project

This two-day free course focuses on the “social problem” of underage substance abuse and impaired driving. Law enforcement experts prepared the curriculum as one measure to help protect our youth and prevent the loss of life.

The training includes a comprehensive resource list and includes the following topics:

- Youth alcohol and drug issues
- Law enforcement’s role in combating underage impaired driving and drinking
- Coalition building
- Education and prevention programs
- Effective enforcement strategies
- Program marketing
- Organizational preparation
- Program assessment

The 16-hour course is designed for state, county and local law enforcement officers, including line function supervisors and middle management. Participants should be in positions to influence their department’s policies and operations regarding youth alcohol, drug use and impaired driving.

Contact Rick Larson for more information at 1-800-THE-IACP, ext. 263, or email: larsonr@theiacp.org.

Drug Impaired Training for Educational Professionals (DITEP)

To help combat the growing problem of drugs in the educational environment, the IACP and the National Highway Traffic Safety Association (NHTSA) developed training to provide school administrators and nurses with a systematic approach for recognizing and evaluating individuals in the academic environment who are abusing and impaired by drugs, both legal and illegal, in order to provide early recognition and intervention. This training is derived from the IACP/NHTSA Drug Evaluation and Classification (DEC) Program, a successful law enforcement procedure used to detect drug and alcohol impaired drivers.

Although this training will not qualify participants as drug recognition experts (DREs), it can make a school nurse competent and confident in evaluating and documenting students suspected of abusing drugs in the school setting. The goal is to lower drug usage in the schools, thus making the communities safer by lessening the disruptions of persons using drugs and reducing the incidents of drug-related traffic incidents. This training is available only in the 37 states that participate in the IACP’s DEC Program. Police employees who serve as liaisons to school programs may wish to learn more about this program.

Contact Carolyn Cockroft for more information at 1-800-THE-IACP, ext. 206 or cockroftc@theiacp.org.

IACP National Chiefs' Challenge

www.theiacp.org (go to awards/campaigns—highway safety awards—chiefs' challenge)

The National Chiefs' Challenge challenges law enforcement agencies to excel in traffic safety enforcement, make a measurable difference in your community, and share their successes with other agencies. Winners of the annual Challenge are selected from numerous entries in multiple categories, based on size and type of agency (including 1-10 officers and 11-25 officers) and other criteria.

Chiefs' Challenge targets three crucial traffic safety priorities:

- Occupant protection (seat belt and child safety seats)
- Impaired driving (alcohol- and drug-related driving)
- Speed enforcement

The nation has ambitious goals for achieving traffic safety through community and public-private partnerships, education, high-visibility enforcement and enhanced safety legislation. The goals include the following:

1. Increase seat belt use to 90% by 2005
2. Reduce child occupant fatalities by 25% in 2005
3. Reduce alcohol-related crashes to 11,000 by 2005

Police chiefs interested in participating in this competition may request an application from IACP. This year's deadline is April 15th. Reviewing the Judging Criteria for the Chiefs' Challenge and the accompanying guidance comments will assist departments to organize their traffic safety priorities as well as successfully complete the application for the Chiefs' Challenge.

All law enforcement agencies are challenged to reach new heights in improving traffic safety. Contact Richard Ashton, Interim Director, for a Chiefs' Challenge application at 1-800-THE-IACP, ext. 276, or email ashtonr@theiacp.org.

Traffic Safety Strategies for Law Enforcement

<http://www.theiacp.org/> (go to Committees—Highway Safety Committee)

This is 122-page document was prepared by the IACP's Highway Safety Committee and the National Highway Traffic Safety Administration to provide agencies with a means to develop operational tactics and innovative approaches in the reduction of the number and frequency of traffic collisions and serious injuries. Printed in August 2003, it is a planning guide for law enforcement executives, administrators, and managers, listing effective strategies and promising practices in traffic safety.

Forty-six strategies on traffic safety are included on a wide range of topics in the areas of management and technology. Each strategy contains, background on the issue, actions recommended, benefits of following the actions and other considerations. This document can be printed from the IACP website. Contact Rick Larson for more information at 1-800-THE-IACP, ext. 263 or email: larsonr@theiacp.org.

Related resources from IACP's Highway Safety Committee: *Highway Safety Desk Book* and *Model Policies*.

The following pages contain an excerpt from *Traffic Safety Strategies for Law Enforcement*.

Sample Pages from:

Traffic Safety Strategies for Law Enforcement

(A Planning Guide for Law Enforcement Executives, Administrators and Managers)

<http://www.theiacp.org/> (Committees—Highway Safety Committee)

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Traffic Safety Strategies for Law Enforcement

<http://www.theiacp.org/> (Committees—Highway Safety Committee)

Strategy # 9 Community Involvement

Become involved in the community to understand and serve it better.

Background

Law enforcement exists to serve the community by preserving the peace, saving lives, protecting property, and improving the quality of life. To effectively accomplish these responsibilities, agencies must interact with the communities they serve. Traffic safety makes a positive contribution towards achieving these goals. While law enforcement agencies generally recognize the importance of community involvement and implement programs such as community policing, barriers continue to exist between some communities and law enforcement.

Although many communities express concern over criminal activity, they may not consider the positive effects traffic safety efforts have on crime or how they save lives and reduce injuries to members of the community. Community liaison provides an excellent opportunity to conduct significant public education about the importance of traffic safety initiatives.

Demographic data may reveal an aging population, a population that is changing ethnically, or one that is stratified by economics. Additionally, continued urbanization and the decline of rural populations will be a factor. An aging population may commit fewer violent crimes, but the denser urban populations may offset this decrease. Aging populations require more services in relation to traffic and pedestrian issues, while urban density may increase collision rates. As community make-up changes, so should the department.

Actions

Identify the diverse communities within the agency's jurisdiction on a continuous basis. These communities are more apt to be distinguished by economic status, language, ethnicity, race, or other commonalities, than by older, geographic names or districts.

Update or develop policy that ensures liaison and involvement with various communities within the agency's jurisdiction. This involvement will provide the respective communities and the agency the opportunity to discuss local needs from a variety of perspectives.

Review policies to ensure that they are responsive to the needs and demands of the various communities within the agency's jurisdiction.

Ensure full commitment and involvement of the agency by providing leadership and support for all programs, including traffic safety, developed to address community issues.

Evaluate traffic programs to determine the effectiveness of each one. Enhance if possible those programs that have shown a level of success, and reconfigure or eliminate those programs that have been ineffective.

Identify key people and organizations within the community who can assist the agency in forming a relationship with the community. See resource list provided below.

Consider using all avenues of outreach, such as hospitals, pediatricians, trauma centers, safety coalitions, schools, neighborhood watch groups, and churches, to broaden the community outreach approach. Use these contacts to identify problems and implement solutions for effective traffic safety programs.

Customize solutions to the individual community, and strive for community ownership.

Share the results of community-oriented programs with the community.

Establish multidisciplinary task forces to address traffic safety from a variety of perspectives, including: enforcement; judiciary; signing, striping, and engineering; emergency response; and public education and awareness. Encourage the task force members to identify problems, then recommend and implement solutions.

Benefits

Community members who are recognized as individuals, rather than as an invisible part of the jurisdiction, are apt to be more willing to participate in problem identification and resolution.

Community participation in policy-making decisions will assist law enforcement agencies in gaining community support, and will help inspire community understanding, acceptance, and compliance.

Involvement with the community will result in continual refinement of policies and programs to better address their issues.

Using all available resources will enhance access to the community. People with diverse backgrounds can assist both the community and the agency in understanding various issues.

Multidisciplinary task forces can accomplish far more by working together than an agency or organization can accomplish on its own.

Provides an important basis for proactive planning and projections by the agency and governing body.

Reduces complaints and related problems based upon cultural and ethnic issues.

Improves relations within the agency, decreases stress and enhances accomplishment of objectives.

Other Considerations

A commitment to the various communities within an agency's jurisdiction can be time-consuming and may not produce immediate results.

Officers may need training to recognize and be sensitive to the unique factors and customs of a particular community. They may also need training in coalition building and the dynamics of group leadership.

The agency and its officers may receive criticism and challenges from the community.

“Territorial” issues may arise when a task force assesses traffic safety from a variety of perspectives.

Resistance to one person's making suggestions about another's area of expertise can usually be overcome if a cooperative, rather than adversarial, atmosphere can be established.

When seeking funding for traffic safety programs, agencies should collaborate with their governor's highway safety office or through other federal, state, and private grant sources.

Public concern over law enforcement collection of demographic data.

Possible complaints of favoritism.

Integrate a community and agency demographic picture into training for all personnel.

IACP Training Resources

<http://www.theiacp.org/> (Training)

IACP Police Education and Training Division provides top quality training for police officers, supervisors and chief executives on topics such as Quality Leadership, Community Involvement, Management and Supervision, Crisis Management, Force Management and Integrity Issues, Staffing, Personnel and Legal Issues, Patrol Operations and Tactical Responses, and Investigations. To learn more about the programs offered, visit the IACP website or contact *Larry Haynes* at 1-800-843-4227, ext. 234; haynesl@theiacp.org.

Course Listing

- Achieving Organizational Excellence
- Administering a Small Law Enforcement Agency
- Advanced Crime Analysis Applications
- Advanced Crisis Negotiations
- Advanced Grant Writing and Management
- Advanced Internal Affairs: Proactive Steps for Corruption Prevention
- Advanced Supervision Skills
- Advanced Tactical Leadership for Commanders and Supervisors
- Civil Disorder Resolution I: Field Tactics
- Civil Disorder Resolution II: Command Strategies Civil Disorder Resolution II: Command Civil Remedies for Nuisance Abatement
- Conducting Effective Employment Interviews
- Conducting Homicide Investigations
- Conference on Assessment Centers and Selection Issues
- Contemporary Patrol Administration
- Criminal Investigative Techniques I
- Criminal Investigative Techniques II
- Crisis Negotiations
- Critical Incident Management
- Cultural Awareness: Train- the -Trainer
- Determining Patrol Staffing, Deployment and Scheduling
- Developing In-Service Wellness Programs
- Developing a Legally Defensible Curriculum
- Dispute Resolution for Law Enforcement Executives
- Documenting Use of Force
- Effective Media Practices for the Law Enforcement Executive
- Effective Recruitment Techniques
- Enhancing Community Policing with the Media
- Ethical Standards in Police Service
- Excellence in the FTO Program

Executive and Dignitary Protection
First Line Supervision
Initiating Preventive Policing
Intellectual Property Crime
Internal Affairs: Legal and Operational Issues
Interview and Interrogation Techniques
Intro to Crime Analysis
Investigation of Computer Crime
Investigation of Computer Crime
Investigation of Incidents of Excessive/Deadly Force by Police
Investigation of Sex Crimes
Leadership and Quality Policing
Less-Lethal Force Options: Selection and Policy Consideration
Less-Lethal Weapons Instructor Certification
Less-Lethal Weapons Instructor Re-Certification
Managing Criminal Investigations
Managing the Internal Affairs Unit
Managing the New Breed - Generation X in Law Enforcement
Managing Police Technology
Managing the Training Unit
Mentoring for the Retention of Public Safety Personnel
Multi-Agency Incident Management for Law Enforcement and Fire Service
Performance Appraisal
Planning, Designing and Constructing Police Facilities
Police/Medical Investigation of Death
Police Psychology Course
Preventing and Reducing Elderly Victimization
Rapid Deployment to High-Risk Incidents
Reducing School Violence
Risk Management for Law Enforcement Agencies
SWAT I: Basic Tactical Operations and High-Risk Warrant Service
SWAT II: Advanced Tactical and Hostage Rescue Operations
SWAT III: Progressive Tactical Operations
SWAT Supervision and Management
Tactical Science and the Decision Making Process
Tactics, Techniques, and Procedures of Terrorists
Value-Centered Leadership: A Workshop on Ethics, Values and Integrity

Other Resources

The Police Chief Magazine

<http://www.policechiefmagazine.org/>

This official monthly publication of the IACP provides a forum for sharing the collective expertise of the law enforcement practitioners who write the magazine articles. Its principal mission is to enhance the readers' understanding of the latest trends and practices in the law enforcement profession. *The Police Chief* is now available online. A complementary subscription form can be found at the end of this chapter.

IACP Info: Biweekly E-Mail Newsletter

<http://www.iacp.org/> (Publications—IACP Info)

IACP Info provides IACP news, press releases, and brief summaries of the latest developments with our current projects, with links to gain further information. Much of this information can also be found on our website. Visit often to learn about the many services IACP provides to law enforcement. To subscribe to this free publication, go to the IACP's website and enter your email address:

Technology Center and Technical Assistance Program

<http://www.iacptechnology.org/>

The IACP continues to assess the technology information and acquisition needs of the law enforcement community. The IACP Technology Center serves as the organizational umbrella for internal and external technology initiatives.

Requests for information on technology acquisition, comparative analyses of new technologies, and prioritization of emerging technologies are a constant. Law enforcement agencies are able to access information that will help to identify, compare, select, and acquire various types of technology. Information technology is the dominant subject among all requests.

The primary outreach mechanisms of the Technology Center are:

- The Technology Clearinghouse website

- The Police Chief* magazine's "Technology Talk" column

- The IACP Technology Institute (held at each IACP Annual Conference)

- The IACP Law Enforcement Information Management (LEIM) Section Training Conference and Exhibition

- A "hotline" to respond to informational requests from members and other law enforcement officials.

Contact Matthew Snyder for more information: at 1-800-THE-IACP, ext. 315 or snyderm@theiacp.org.

Community Policing Consortium

<http://www.communitypolicing.org>

The Community Policing Consortium is a partnership of five of the leading police organizations in the United States:

- International Association of Chiefs of Police (IACP)
- National Organization of Black Law Enforcement Executives (NOBLE)
- National Sheriffs' Association (NSA)
- Police Executive Research Forum (PERF)
- Police Foundation

These organizations play principal roles in the development of community policing research, training and technical assistance and offer resources, such as the following:

Executive Blueprint Symposiums – Two-day, policy-level forums designed to give chief law enforcement executives essential tools to implement community policing.

Community Engagements – A nine-hour forum that places value on the process of consensus building and collaboration as well as identifying and involving all levels of stakeholders to develop a common vision of public safety.

Publications

- ◆ Understanding Community Policing: A Framework for Action
- ◆ Monographs:
 - A Staircase to Strategic Planning
 - Integrity for a Community Policing Environment
 - Recruitment and Selection for Community Policing
 - The Police Organization in Transition
 - To Protect and Serve: An Overview of Community Policing on Indian Reservations
 - What's Working: Community Policing Achieved Through Strategic Planning
- ◆ Bulletins: *Cultural Diversity; Community Policing Partnerships; Perceptions of Our Nation's Communities About Community Policing*
- ◆ Newsletters: *Community Policing Exchange; Sheriff Times; Community Links*

Curricula

- ◆ Module One: Strategic Planning for Community Policing
- ◆ Module Two: Mobilizing the Community for Collaborative Partnerships
- ◆ Module Three: Community Problem-Solving
- ◆ Module Four: Managing Organizational Change

Contact the Consortium directly for further information at 1-800-833-3085 or online.

IACP Net

The Information Exchange for Law Enforcement Professionals

<http://www.iacpnet.com/>

IACP Net is the most comprehensive information network designed specifically for law enforcement with up-to-date information on policies, ordinances, programs, and innovations. Since 1991, IACP Net has been providing one-stop access to help members gather experiences, ideas, and information from their colleagues, increasing their effectiveness and efficiency. IACP Net keeps you from reinventing the wheel by giving you solutions on topics such as scheduling, accreditation, profiling, cruisers, in-car video, recruitment, retention, and thousands more.

With IACP Net you can:

Research law enforcement solutions, innovations, best practices, policies, and project summaries in the exclusive IACP Net databases. Plus you can order IACP Model Policies and Training Keys online. (As a non-member, you can also request a free model policy and training key as a sample.)

Stay current on news, events, legislation, and grant and funding opportunities.

Network with professional colleagues through IACP Net's "Quest-Response" Service and Roundtables.

Get fast, accurate results when you search over 2,000 law enforcement websites on the Internet with "Select Site."

Access reports and department profiles through the LEMAS database.

Get quick help for purchasing decisions and budget estimating by locating law enforcement products and services in a searchable database with LEPAS.

Stay up to date on areas of interest through TRAKKER.

Dedicated to police business only, IACP Net is a secure and reliable information source for law enforcement professionals. Members benefit personally, as do their departments and their communities. More than 1,000 agencies and over 2,700 IACP Net members log in to get the information they need with IACP Net's timesaving research tools. Customer service associates are available to members by phone and email to answer questions, assist with your research, and provide training on IACP Net.

The annual membership fee for gaining access to this valuable resource is determined by the number of sworn officers in the department and whether the applicant is a member of IACP. For example, the fees for smaller departments are as follows:

1 – 9 sworn officers	\$250 for members	\$500 for non-members
10-19 sworn officers	\$500 for members	\$750 for non-members
20-49 sworn officers	\$800 for members	\$1,050 for non-members

To take a free tour of the website or for more information, go to www.iacpnet.com.

Policy Review

This quarterly newsletter from the IACP National Law Enforcement Policy Center is designed to keep readers informed on recent research, legal decisions, and related information affecting law enforcement agency policy. *Policy Review* subscriptions are available for \$12 for policy center subscribers and \$16 for non-subscribers. To subscribe or for more information contact Phil Lynn at 1- 800-THE-IACP, ext. 319, or lynnp@theiacp.org.

Mobilizing the Community for Minority Recruitment and Selection

This IACP special report is a strategy to leverage community assets to enhance recruitment and placement of minorities. Contact Andrew Morabito for more information at 1-800-THE-IACP, ext. 308 or morabito@theiacp.org.

Complimentary Subscription

The Police Chief

(Smaller Agency Project)

This official monthly publication of the IACP provides a forum for sharing the collective expertise of the law enforcement practitioners who write the magazine articles. Our principal mission is to enhance our readers' understanding of the latest trends and practices in the law enforcement profession.

We would like to offer you a one-year complimentary subscription to *The Police Chief* magazine. To receive your complimentary subscription, simply complete the information below and return this form to:

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<input type="checkbox"/> Federal Agency	<input type="checkbox"/> Supervisory Personnel	<input type="checkbox"/> 25,000-49,999
<input type="checkbox"/> Campus Police	<input type="checkbox"/> Line Officer	<input type="checkbox"/> 50,000-99,999
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Police Ethics

Establishing the Ethical Climate

IACP Ethics Toolkit

Law Enforcement Oath of Honor

IACP Law Enforcement Code of Ethics

Law Enforcement Code of Conduct

Canons of Police Ethics

Ethical Climate Assessment Survey

Police Ethics

Establishing the Ethical Climate

Being a chief of police entails “the process of influencing human behavior to achieve organizational goals that serve the public, while developing individuals, teams, and the organization for future service.”¹ This leadership process is comprised of two component parts, direct and indirect leadership.

One of the responsibilities of indirect leadership on the part of a chief of police is to influence the members of the department through shaping the context for ethical behavior in the delivery of police services. As senior leaders, police chiefs set the context for ethical behavior by the following:

1. Selecting people of good character to lead,
2. Setting an example of ethical behavior at all times, avoiding even the perception of questionable actions or words,
3. Establishing clear guidelines for ethical behavior and supportive norms,
4. Building support for sound values in all members of the department,
5. Developing the moral sensitivity and judgment of others,
6. Keeping competition and stress within functional limits,
7. Using rewards for ethical behavior and punishments for unethical behavior, and
8. Neutralizing forces in the department’s working environment that could undermine ethical behavior.

In the delivery of police services the authority to take a human life and to take away a person’s freedom while maintaining his or her constitutional rights is delegated to the lowest level in the organization. To this end, in order to mitigate the effects of forces inside and outside the police department that might diminish the character of the organization and its members in the ethical delivery of police services, the International Association of Chiefs of Police (IACP) offers the following four documents as foundational principles for establishing clear ethical guidelines within a police department.

- Law Enforcement Oath of Honor
- Law Enforcement Code of Ethics
- Law Enforcement Code of Conduct
- Canons of Police Ethics

¹ IACP, *Leadership in Police Organizations*, Chapter 30, 2003.

IACP Ethics Toolkit

Enhancing Law Enforcement Ethics in a Community Policing Environment

The International Association of Chiefs of Police (IACP) and the U.S. Department of Justice Office of Community Oriented Policing Services (COPS Office) have created an Ethics Toolkit: Enhancing Law Enforcement Ethics in a Community Policing Environment.

The IACP Police Image and Ethics Committee undertook a detailed analysis of ethics training within United States police departments. Following three years of surveying and research the committee concluded:

"Ethics remains our greatest training and leadership need today."

Both the IACP membership and the COPS Office agree with the Police Image and Ethics Committee's finding and consider ethics an important training and leadership need. The toolkit they created is both a call to action and a resource guide to assist local law enforcement agencies. Local agencies using the activities and programs contained in this toolkit will heighten the awareness and visibility of law enforcement's ethical standards both internally and externally. The tools are to engage your agency in the building blocks of high ethical standards and to demonstrate your department's commitment to ethics and professionalism to your community.

The contents of this toolkit can be found on the IACP website at www.theiacp.org --Professional Assistance – Ethics. Below is a listing of the toolkits resources.

What is the Law Enforcement Oath of Honor?

An explanation of the elements, the resolution establishing the Law Enforcement Oath of Honor, and ways in which to present the oath.

Oath of Honor Video

Included in this toolkit is a video that reviews the Oath of Honor and its meaning.

Oath of Honor

A copy suitable for framing and displaying in your organization is included in this toolkit.

Sign-on Campaign

It is important that not only is the oath distributed and incorporated into ceremonies but that individual officers publicly record their commitments to high ethical standards.

Focus on Ethics: The Law Enforcement Oath of Honor

Statement by the IACP Police Image and Ethics Committee

Regional Community Policing Institutes

Established by the Office of Community Oriented Police Services, U.S. Department of Justice. Provides free ethics and integrity training courses.

Bibliography

This bibliography is of pertinent ethics and integrity literature produced in the law enforcement literature since 1990. This listing of resources will be useful for law enforcement training organizations, command staff and others interested in an in-depth review of the topic.

Reports/Resources

Specific reports and resources that focus on the issues of ethics and integrity

Model Policy on Standards of Conduct

This policy, developed by the IACP Policy Center, is provided for agencies to state with specificity the standards of conduct embodied in ethical conduct. Agencies can adopt or modify to meet their needs.

IACP In-service Training Material

Police Ethics: Problems and Solutions. This two-part Training Key, designed for in-service training of police officers, examines the nature and importance of police ethics and discusses some of the factors that affect police integrity in today's world. Specific suggestions that may help law enforcement agencies resolve some of the problems are identified.

The Public Image of the Police

Final report presented to the International Association of Chiefs of Police by the Administration of Justice Program, George Mason University reviewing the existing knowledge of the public image of the police up to the year 2000.

Law Enforcement Oath of Honor

*On my honor, I will never
betray my badge, my integrity,
my character or the public trust.*

*I will always have the courage to hold
myself and others accountable for our actions.*

*I will always uphold the constitution,
my community and the agency I serve.*



International Association of Chiefs of Police

IACP Law Enforcement Code of Ethics

"Achieving and Maintaining High Ethical Standards: IACP's Four Universal Ethics Documents,"
The Police Chief, October 2002

(<http://www.theiacp.org/profassist/ethics/index.htm>)

As a law enforcement officer, my fundamental duty is to serve the community; to safeguard lives and property; to protect the innocent against deception, the weak against oppression or intimidation and the peaceful against violence or disorder; and to respect the constitutional rights of all to liberty, equality and justice.

I will keep my private life unsullied as an example to all and will behave in a manner that does not bring discredit to me or to my agency. I will maintain courageous calm in the face of danger, scorn or ridicule; develop self-restraint; and be constantly mindful of the welfare of others. Honest in thought and deed both in my personal and official life, I will be exemplary in obeying the law and the regulations of my department. Whatever I see or hear of a confidential nature or that is confided to me in my official capacity will be kept ever secret unless revelation is necessary in the performance of my duty.

I will never act officiously or permit personal feelings, prejudices, political beliefs, aspirations, animosities or friendships to influence my decisions. With no compromise for crime and with relentless prosecution of criminals, I will enforce the law courteously and appropriately without fear or favor, malice or ill will, never employing unnecessary force or violence and never accepting gratuities.

I recognize the badge of my office as a symbol of public faith, and I accept it as a public trust to be held so long as I am true to the ethics of police service. I will never engage in acts of corruption or bribery, nor will I condone such acts by other police officers. I will cooperate with all legally authorized agencies and their representatives in the pursuit of justice.

I know that I alone am responsible for my own standard of professional performance and will take every reasonable opportunity to enhance and improve my level of knowledge and competence.

I will constantly strive to achieve these objectives and ideals, dedicating myself before God to my chosen profession . . . law enforcement.

Law Enforcement Code of Conduct

"Achieving and Maintaining High Ethical Standards: IACP's Four Universal Ethics Documents,"
The Police Chief, October 2002

(<http://www.theiacp.org/profassist/ethics/index.htm>)

The International Association of Chiefs of Police

All law enforcement officers must be fully aware of the ethical responsibilities of their position and must strive constantly to live up to the highest possible standards of professional policing.

The International Association of Chiefs of Police believes it important that police officers have clear advice and counsel available to assist them in performing their duties consistent with these standards, and has adopted the following ethical mandates as guidelines to meet these ends.

Primary Responsibilities of a Police Officer

A police officer acts as an official representative of government who is required and trusted to work within the law. The officer's powers and duties are conferred by statute. The fundamental duties of a police officer include serving the community, safeguarding lives and property, protecting the innocent, keeping the peace and ensuring the rights of all to liberty, equality and justice.

Performance of the Duties of a Police Officer

A police officer shall perform all duties impartially, without favor or affection or ill will and without regard to status, sex, race, religion, political belief or aspiration. All citizens will be treated equally with courtesy, consideration and dignity.

Officers will never allow personal feelings, animosities or friendships to influence official conduct. Laws will be enforced appropriately and courteously and, in carrying out their responsibilities, officers will strive to obtain maximum cooperation from the public. They will conduct themselves in appearance and deportment in such a manner as to inspire confidence and respect for the position of public trust they hold.

Discretion

A police officer will use responsibly the discretion vested in his position and exercise it within the law. The principle of reasonableness will guide the officer's determinations, and the officer will consider all surrounding circumstances in determining whether any legal action shall be taken.

Consistent and wise use of discretion, based on professional policing competence, will do much to preserve good relationships and retain the confidence of the public. There can be difficulty in choosing between conflicting courses of action. It is important to remember that a timely word of advice rather than arrest—which may be correct in appropriate circumstances—can be a more effective means of achieving a desired end.

Use of Force

A police officer will never employ unnecessary force or violence and will use only such force in the discharge of duty as is reasonable in all circumstances.

The use of force should be used only with the greatest restraint and only after discussion, negotiation and persuasion have been found to be inappropriate or ineffective. While the use of force is occasionally

unavoidable, every police officer will refrain from unnecessary infliction of pain or suffering and will never engage in cruel, degrading or inhuman treatment of any person.

Confidentiality

Whatever a police officer sees, hears or learns of that is of a confidential nature will be kept secret unless the performance of duty or legal provision requires otherwise.

Members of the public have a right to security and privacy, and information obtained about them must not be improperly divulged.

Integrity

A police officer will not engage in acts of corruption or bribery, nor will an officer condone such acts by other police officers.

The public demands that the integrity of police officers be above reproach. Police officers must, therefore, avoid any conduct that might compromise integrity and thus undercut the public confidence in a law enforcement agency. Officers will refuse to accept any gifts, presents, subscriptions, favors, gratuities or promises that could be interpreted as seeking to cause the officer to refrain from performing official responsibilities honestly and within the law.

Police officers must not receive private or special advantage from their official status. Respect from the public cannot be bought; it can only be earned and cultivated.

Cooperation with Other Police Officers and Agencies

Police officers will cooperate with all legally authorized agencies and their representatives in the pursuit of justice.

An officer or agency may be one among many organizations that may provide law enforcement services to a jurisdiction. It is imperative that a police officer assists colleagues fully and completely with respect and consideration at all times.

Personal-Professional Capabilities

Police officers will be responsible for their own standard of professional performance and will take every reasonable opportunity to enhance and improve their level of knowledge and competence.

Through study and experience, a police officer can acquire the high level of knowledge and competence that is essential for the efficient and effective performance of duty. The acquisition of knowledge is a never-ending process of personal and professional development that should be pursued constantly.

Private Life

Police officers will behave in a manner that does not bring discredit to their agencies or themselves.

A police officer's character and conduct while off duty must always be exemplary, thus maintaining a position of respect in the community in which he or she lives and serves. The officer's personal behavior must be beyond reproach.

Canons of Police Ethics

"Achieving and Maintaining High Ethical Standards: IACP's Four Universal Ethics Documents,"
The Police Chief, October 2002

(<http://www.theiacp.org/profassist/ethics/index.htm>)

Article 1. Primary Responsibility of Job

The primary responsibility of the police service, and of the individual officer, is the protection of the people of the United States through the upholding of their laws; chief among these is the Constitution of the United States and its amendments. The law enforcement officer always represents the whole of the community and its legally expressed will and is never the arm of any political party or clique.

Article 2. Limitations of Authority

The first duty of a law enforcement officer, as upholder of the law, is to know its bounds upon him in enforcing it. Because he represents the legal will of the community, be it local, state or federal, he must be aware of the limitations and proscriptions which the people, through law, have placed upon him. He must recognize the genius of the American system of government that gives to no man, groups of men, or institution, absolute power, and he must ensure that he, as a prime defender of that system, does not pervert its character.

Article 3. Duty to Be Familiar with the Law and with Responsibilities of Self and other Public Officials

The law enforcement officer shall assiduously apply himself to the study of the principles of the laws which he is sworn to uphold. He will make certain of his responsibilities in the particulars of their enforcement, seeking aid from his superiors in matters of technicality or principle when these are not clear to him; he will make special effort to fully understand his relationship to other public officials, including other law enforcement agencies, particularly on matters of jurisdiction, both geographically and substantively.

Article 4. Utilization of Proper Means to Gain Proper Ends

The law enforcement officer shall be mindful of his responsibility to pay strict heed to the selection of means in discharging the duties of his office. Violations of law or disregard for public safety and property on the part of an officer are intrinsically wrong; they are self-defeating in that they instill in the public mind a like disposition. The employment of illegal means, no matter how worthy the end, is certain to encourage disrespect for the law and its officers. If the law is to be honored, it must first be honored by those who enforce it.

Article 5. Cooperation with Public Officials in the Discharge of Their Authorized Duties

The law enforcement officer shall cooperate fully with other public officials in the discharge of authorized duties, regardless of party affiliation or personal prejudice. He shall be meticulous, however, in assuring himself of the propriety, under the law, of such actions and shall guard against the use of his office or person, whether knowingly or unknowingly, in any improper or illegal action. In any situation open to question, he shall seek authority from his superior officer, giving him a full report of the proposed service or action.

Article 6. Private Conduct

The law enforcement officer shall be mindful of his special identification by the public as an upholder of the law. Laxity of conduct or manner in private life, expressing either disrespect for the law or seeking to gain

special privilege, cannot but reflect upon the police officer and the police service. The community and the service require that the law enforcement officer lead the life of a decent and honorable man. Following the career of a policeman gives no man special perquisites. It does give the satisfaction and pride of following and furthering an unbroken tradition of safeguarding the American republic. The officer who reflects upon this tradition will not degrade it. Rather, he will so conduct his private life that the public will regard him as an example of stability, fidelity, and morality.

Article 7. Conduct toward the Public

The law enforcement officer, mindful of his responsibility to the whole community, shall deal with individuals of the community in a manner calculated to instill respect for its laws and its police service. The law enforcement officer shall conduct his official life in a manner such as will inspire confidence and trust. Thus, he will be neither overbearing nor subservient, as no individual citizen has an obligation to stand in neither awe of him nor a right to command him. The officer will give service where he can, and require compliance with the law. He will do neither from personal preference or prejudice but rather as a duly appointed officer of the law discharging his sworn obligation.

Article 8. Conduct in Arresting and Dealing with Law Violators

The law enforcement officer shall use his powers of arrest strictly in accordance with the law and with due regard to the rights of the citizen concerned. His office gives him no right to prosecute the violator nor to mete out punishment for the offense. He shall, at all times, have a clear appreciation of his responsibilities and limitations regarding detention of the violator; he shall conduct himself in such a manner as will minimize the possibility of having to use force. To this end he shall cultivate a dedication to the service of the people and the equitable upholding of their laws whether in the handling of law violators or in dealing with the law-abiding.

Article 9. Gifts and Favors

The law enforcement officer, representing government, bears the heavy responsibility of maintaining, in his own conduct, the honor and integrity of all government institutions. He shall, therefore, guard against placing himself in a position in which any person can expect special consideration or in which the public can reasonably assume that special consideration is being given. Thus, he should be firm in refusing gifts, favors, or gratuities, large or small, which can, in the public mind, be interpreted as capable of influencing his judgment in the discharge of his duties.

Article 10. Presentation of Evidence

The law enforcement officer shall be concerned equally in the prosecution of the wrong-doer and the defense of the innocent. He shall ascertain what constitutes evidence and shall present such evidence impartially and without malice. In so doing, he will ignore social, political, and all other distinctions among the persons involved, strengthening the tradition of the reliability and integrity of an officer's word.

The law enforcement officer shall take special pains to increase his perception and skill of observation, mindful that in many situations his is the sole impartial testimony to the facts of a case.

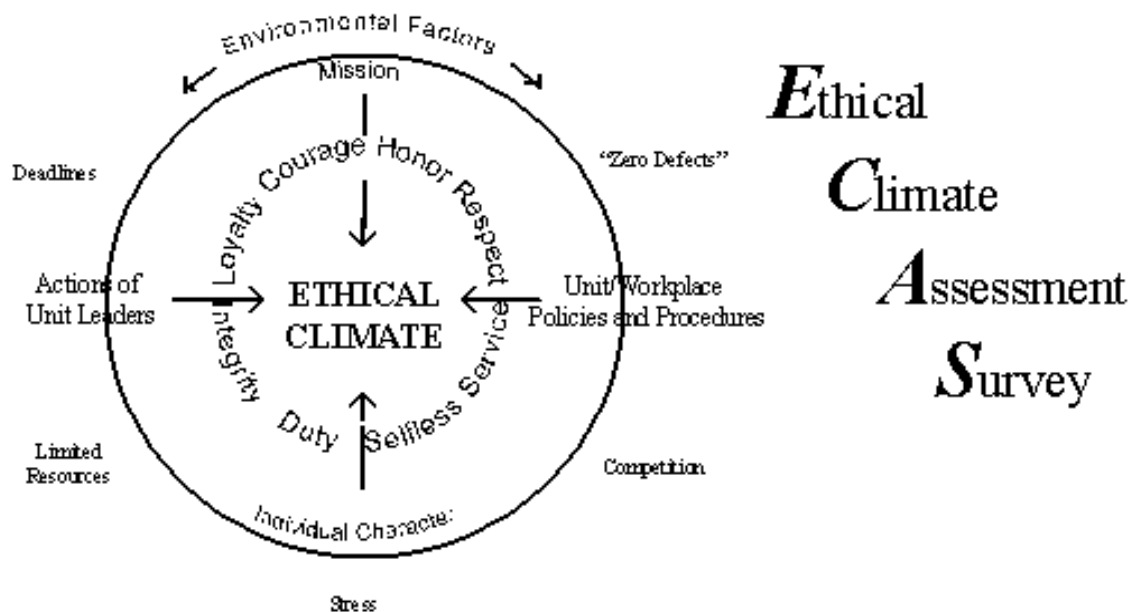
Article 11. Attitude toward Profession

The law enforcement officer shall regard the discharge of his duties as a public trust and recognize his responsibility as a public servant. By diligent study and sincere attention to self-improvement he shall strive to make the best possible application of science to the solution of crime and, in the field of human relationships, strive for effective leadership and public influence in matters affecting public safety. He shall appreciate the importance and responsibility of his office, and hold police work to be an honorable profession rendering valuable service to his community and his country.

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Ethical Climate Assessment Survey

By Chief Larry M. Hesser (Ret.)



An ethical climate is one in which the department's values are routinely articulated, supported, practiced, and respected. The ethical climate of an organization is determined by a variety of factors, including the following:

- Individual character of unit members,
- Policies and practices within the organization,
- Actions of unit leaders, and
- A variety of environmental and mission factors.

Leaders should periodically assess their organization's ethical climate and take appropriate actions, as necessary, to maintain the high ethical standards expected of public service organizations. This survey will assist you in making periodic assessments and in identifying the actions necessary to maintain a healthy ethical climate.

Instructions

Answer the questions in this survey according to how you currently perceive your work group or organization and your own leader actions. DO NOT answer these questions according to how you would prefer them to be or how you think they should be. This information is for your use, not your chain of command's to determine if you need to take action to improve the Ethical Climate in your organization.

Use the following scale for all questions in Sections I and II.

Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree
1	2	3	4	5

Section I:

Individual Character – “Who are we?”

This section focuses on the commitment of your organization's members to Department values. Please answer the following questions based on your observations of the ethical commitment in your unit of assignment.

- ____A. In general, the members of my unit demonstrate a commitment to Department values (honor, selfless service, integrity, loyalty, courage, duty, and respect).
- ____B. The members of my unit typically accomplish a goal or an objective by “doing the right thing” rather than compromising Department values.
- ____C. I understand, and I am committed to, the Department's values as outlined in the Department written directives.

Total = _____

Section II:

Unit/Workplace Policies & Practices – “What do we do?”

This section focuses on what you, and the leaders who report to you, do to maintain an ethical climate in your workplace. (This does not mean your supervisors. Their actions will be addressed in Section IV).

- ____A. We provide clear instructions that help prevent unethical behavior.
- ____B. We promote an environment in which subordinates can learn from their mistakes.
- ____C. We maintain appropriate, not dysfunctional, levels of stress and competition in our unit.
- ____D. We discuss ethical behavior and issues during regular counseling sessions
- ____E. We maintain an organizational motto, philosophy, and mission that is consistent with Department values.

- ____F. We submit unit reports that reflect accurate information.
- ____G. We ensure unit members are aware of, and are comfortable using, the various channels available to report unethical behavior.
- ____H. We treat fairly those individuals in our unit who report unethical behavior.
- ____I. We hold accountable (i.e., report and/or punish) members of our organization who behave unethically.

Total = _____

Use the following scale for all questions in Section III:

Never	Hardly Ever	Sometimes	Almost Always	Always
1	2	3	4	5

Section III:

Unit Leader Actions – “What do I do?”

This section focuses on what you do as the leader of your organization to encourage an ethical climate.

- ____A. I discuss department values in orientation programs when I welcome new members to my organization.
- ____B. I routinely assess the ethical climate of my unit (i.e., sensing sessions, climate surveys, etc.)
- ____C. I communicate my expectations regarding ethical behavior in my unit, and require employees to perform tasks in an ethical manner.
- ____D. I encourage discussions of ethical issues in After Action Reviews, training meetings, seminars, and workshops.
- ____E. I encourage unit members to raise ethical questions and concerns to the chain of command or other appropriate individuals, if needed.
- ____F. I consider ethical behavior in performance evaluations, award and promotion recommendations, and adverse personnel actions.
- ____G. I include maintaining a strong ethical climate as one of my unit’s goals and objectives.

Total = _____

Use the following scale for all questions in Section IV.

Note: the scale is reversed for this section (Strongly Agree is scored as a “1,” not a “5”)

Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
1	2	3	4	5

Section IV:

Environment/Mission Factors – “What surrounds us?”

This section focuses on the external environment surrounding your organization. Answer the following questions to assess the impact of those factors on the ethical behavior in your organization.

- _____A. My unit is currently under an excessive amount of stress (i.e., inspections, limited resources, training events, deadlines, etc.).
- _____B. My higher unit leaders foster a ‘zero defects’ outlook on performance, such that they do not tolerate mistakes.
- _____C. My higher unit leaders over-emphasize competition between units.
- _____D. My higher unit leaders appear to be unconcerned with unethical behavior as long as the goal, objective or mission is accomplished.
- _____E. I do not feel comfortable bringing up ethical issues with my superiors.
- _____F. My peers in my unit do not seem to take ethical behavior very seriously.

Total = _____

Summary:

Place the Total Score from each section in the spaces below:
 (A score of 1 or 2 on any question requires some immediate leader action.)

- Section I – Individual Character Total Score _____
- Section II – Unit/Workplace Policies & Practices Total Score _____
- Section III – Unit Leader Actions Total Score _____
- Section IV – Environmental/Mission Factors Total Score _____

ECAS TOTAL SCORE (I + II + III + IV) = _____

- | | | |
|---|---|------------------------------------|
| 25 – 75 | 76 – 100 | 101 – 125 |
| Take Immediate Action to Improve Ethical Climate | Take Actions to Improve Ethical Climate | Maintain a Healthy Ethical Climate |

(This Assessment Survey is adapted from the LACP’s Leadership in Police Organizations, 2003.)

Leadership in Police Organizations

Introduction

Leadership in Police Organizations Training
Bulletin

Police Chief Orienteering

Team Building

Problem Solving and Decision Making

Communication Skills

Personal Management

Delegation and Accountability

Empowerment of Employees

Making an Organizational Change

Other Leadership Resources

Police Leadership Development Reading List

Leadership

This chapter contains a number of resources for participants in the Mentoring Project on the critically important topic of leadership.

The first document, “Leadership in Police Organizations, Training Bulletin 1,” by Dr. Howard T. Prince II, Chief Larry Hesser (Ret.), and John Halstead, was adapted from an article that appeared in the January 2004 issue of *The Police Chief* and is used with permission of the authors.

“Police Chief Orienteering--Finding Your Way in the Internal and External Environment of a Police Organization” as well as the seven leadership issue papers that appear in this appendix were compiled and prepared by Chief Larry M. Hesser (Ret.), who is a member of IACP’s Smaller Police Departments Advisory Group and Mentoring Advisory Group. He has made these prepublication drafts available to the Mentoring Project for use in this manual. Chief Hesser has been active in numerous IACP initiatives including the areas of leadership and ethics.

The final section of this chapter lists summaries of two additional leadership resources and guides you to useful websites.

These cited publications are intended for the review by, and use of, participants in the Mentoring Project. Statements made in these publications do not necessarily reflect the views and/or official positions of the LACP or BJA.

Leadership in Police Organizations

Training Bulletin – No 1

By Dr. Howard T. Prince II, Chief Larry Hesser (Ret.), and John Halstead

<http://www.theiacp.org/profassist/leadership.htm>

In the first few weeks after being appointed Police Chief, you notice there are a lot of changes taking place in your community. The city government has turned over to some extent recently, the tax base and economy have dramatically changed in the recent past, as have the demands being presented to you by the citizens of your community... Unfortunately, you feel that the department has not kept pace with the changing community. You know what needs to be done and personally are ready to implement new and different programs and initiatives, but there is concern that they won't flourish throughout the department as you hope. You have identified promising individuals in your department that have received great training, but this will not bring about the changes you want. You know that if you could be everywhere your changes would take hold, but that is physically impossible. How can you make your department a more dynamic, flexible, and responsive organization?

This scenario is not uncommon. The authors believe that the prerequisite to any change and the solution in this particular case is the systematic development of all formal and informal leadership throughout an entire department, in short, dispersed leadership at all levels – patrol officer to chief – and throughout the non-sworn ranks as well. Their view is shared by Edward A. Flynn, Massachusetts Secretary of Public Safety, who recently stated, “Police officers themselves must accept the leadership challenge of helping to create organizations more useful to their community. It is very easy to defy the police chief [by succumbing to unofficial or non-departmental agendas]. What we need are officers with the moral courage to defy their peers in pursuit of elevating notions of public service.” What is this all about, and how do you get it for your department?

There are more than 250 definitions of leadership according to Bass and Stogdill's *Handbook of Leadership* (3rd ed., 1990). All speak to getting things done and influencing people. One particularly relevant to this discussion emerged in the mid-1980s from the Department of Behavioral Science and Leadership at the U.S. Military Academy (USMA) in *Leadership In Organizations* – the primary text for the USMA leadership training program. Therein, the authors defined leadership as the “process of influencing human behavior so as to accomplish the goals prescribed by the organizationally appointed leader” and proceeded to build a leadership training program from it. In recent years, the USMA leadership program has taken root in several departments, most recently Arlington County, Virginia, and Elgin, Illinois. During the implementation of these two programs, the authors refined the definition to the **“process of influencing human behavior to achieve organizational goals that serve the public, while developing individuals, teams, and the organization for future service”** as it more clearly represents the desired process and outcomes described in both the opening vignette and all effective public service organizations.

An alternate way of thinking about the organizational leader is depicted in figure 1 below. In any organization, the leader's job is to close the gap between the organization's goals and mission and the followers' needs by using a variety of individual motivation, group dynamics, leadership, and organizational theory skills and knowledge.

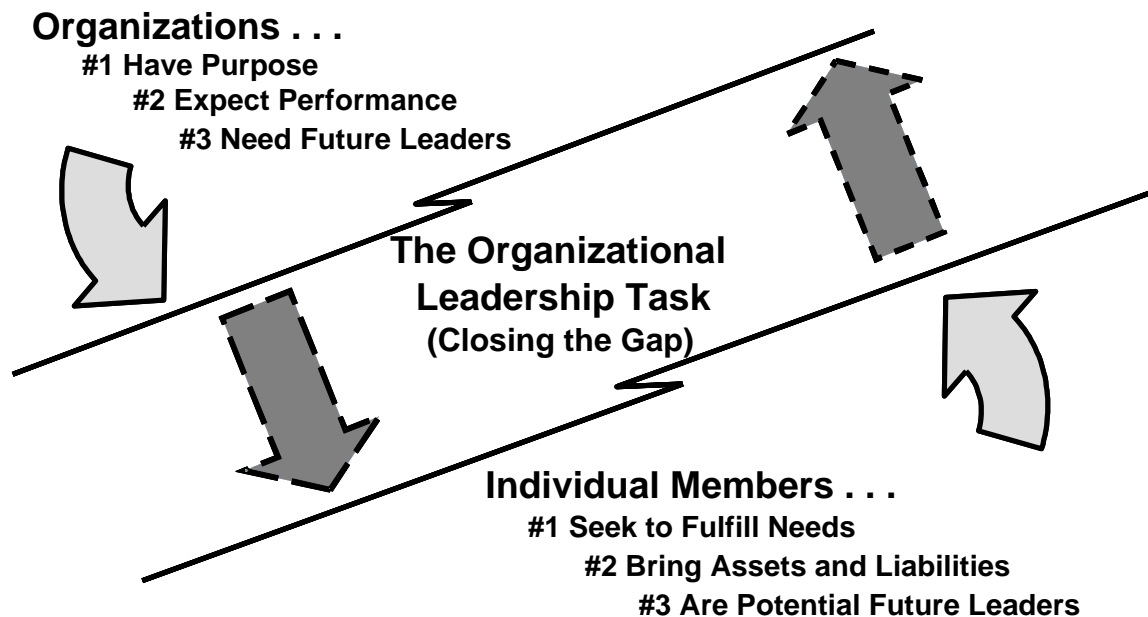


Figure 1. The Organizational Leadership Challenge: Closing the Gap

At first, this may seem obvious – organizationally appointed leaders doing the organization's business – right? But with reflection, one begins to realize that organizationally appointed leaders are not alone in this process. Formal leaders have bosses meaning that leaders are also followers and they exist throughout the entire organization. Even informally, officers influence each other, so virtually everyone in an organization is both a leader and a follower. If you disagree, think of the last embarrassing police-citizen encounter that turned negative and became a news story. Would this situation have ended the same way if a leader (formal or informal) had stepped up and influenced his or her peers instead of watching passively? Further, look at patrol officers, the place in the department where there is the least formal supervision, but also the place where most of your department's business occurs. Don't these officers do exactly the same thing as organizationally appointed leaders, namely, bridging the gap between the department's goals and the needs of the community?

Going back to the opening vignette, what will better serve both the community and the chief's needs will be to have people throughout the department who embrace and practice Closing the Gap as depicted in Figure 1. This concept implies that there are leaders, at all levels of any organization, who need to be trained and developed and, in so doing, the potential for a department to become dynamic is unleashed. This phenomenon is known as Dispersed Leadership.

Not only the chief depicted above, but all formal leaders in all departments need help to get the job done. As Ronald Neubauer, past president of the International Association of Chiefs of Police (IACP), stated in 1999, "The IACP firmly believes that in the 21st century, police leaders will have to think, act, and respond in new

ways to be effective and sustain their careers as leaders....It is the obligation of each and every current police executive to play a role in ensuring leadership excellence in the 21st century.”

This is especially important if you consider the direction that policing is moving today – away from traditional, centralized approaches where decision making and control can be concentrated in a few appointed leaders toward decentralized community and problem-oriented policing where more and more junior personnel are deciding and acting. Deputy Chief John Welter of the San Diego Police Department noted this phenomenon when he remarked, “It is widely recognized that the most critical ingredient in an organization’s success is the quality of its leadership....One of the biggest barriers to implementing COPPS [Community Oriented Policing and Problem Solving training program] has been the lack of informed, experienced leadership in COPPS at all organizational levels.”

Other leadership theorists and police practitioners have also concluded that in today’s world, things are too complex for a traditional, centralized leader to do it all by him or herself. John Gardner states in *On Leadership* (1990), “Most leadership today is an attempt to accomplish purposes through (or in spite of) large, intricately organized systems. **There is no possibility that centralized authority can call all the shots in such systems, whether the system is a corporation or a nation.** Individuals in all segments and at all levels must be prepared to exercise leader-like initiative and responsibility, using their local knowledge to solve problems at their level [emphasis added].” Patrick Townsend and Joan Gebhardt echo Gardner’s sentiments in *Five-Star Leadership* (1997): “Leadership skills must be mastered by everyone in the organization if the organization is to survive. Personal and organizational success in the 21st century depend [not only] on developing the ability to lead, but also on recognizing and developing leadership in others.” Lastly, Secretary Flynn applies these principles to police organizations by saying, “[problem-oriented policing advocate Herman] Goldstein was right: the greatest challenge in institutionalizing community policing lies inside our police agencies. That challenge will be won ultimately by officers, managers, and chief executives who are brave enough to work together for the public interest.”

The bottom line is that today’s police leaders cannot do their jobs alone. They must develop leaders at all levels of their department by practicing Dispersed Leadership

Dispersed Leadership has five characteristics that not only form the basis for the IACP’s Leadership in Police Organizations (LPO) leadership course (the principle component of a larger Developing Leaders in Police Organizations leader development program), but also achieve the decentralized leadership conditions described above.

The first characteristic is a shared understanding of what leadership means. This provides a common base of knowledge and vocabulary with which to understand and discuss leadership issues. It opens communication channels allowing for the efficient resolution of organizational issues. The implication is that an organization’s leaders all experience the same training so that a common base of knowledge and vocabulary is learned. Additionally, if this training is done using a department-wide cross-section of sworn and nonsworn personnel, the communication channels that are opened extend throughout the department.

The second principle is commitment to shared goals and values by leaders at all levels of the organization. As you read the article above, you may have asked, “With all of these leaders, what keeps them going in the same direction?” Having a well-conceived and accepted mission, vision, values, and goals keeps everyone synchronized. But these documents must be shared, understood, and accepted at all levels of the organization. This provides a second important mission for both the leadership training and the training that occurs when personnel are trained for every new position they assume throughout their career.

The third concept is that leaders at different levels of the organization do different things. For this reason, leadership training needs to be flexible and adaptable for a wide range of leaders with different needs, at different places in the organization. It also means that leaders need training whenever they change positions whether they are brand-new patrol officers or the chief. This permits both the repetition of the mission,

vision, values, and goals periodically throughout one's career and an interpretation of their meanings from the leader's new position in the organization.

Dispersed Leadership requires a means to **develop leader skills and knowledge** throughout the organization as well as a means to **determine where an organization and its individuals are developmentally as leaders**. These last two principles of Dispersed Leadership require a formal training program as well as periodic individual and organization-wide assessments using formal, calibrated instruments. This fosters a culture in which leaders are constantly learning about themselves and their organization adapting their behaviors to the needs of both.

How, you ask, do you begin to attain these principles and develop Dispersed Leadership in your department? A good, but not sole, answer is the IACP's Leadership in Police Organizations leadership course. Divided into four separate sections and using both an individual and organizational assessment, the course is taught to a cross-section of sworn and nonsworn personnel ranging from the chief to patrol officers and nonsworn supervisors and employees. Using this format, the authors have achieved success reaching all of the principles discussed above.

The course content is divided into four areas that are taught sequentially over four one-week sessions with each week exploring leadership at a different level of the organization. The levels of leadership influence within an organization are depicted in the diagram below called the Model of Organizational Leadership.

Model of Organizational Leadership



Week 1 Features the concepts of individual motivation as well as the Leaders' Thought Process, a problem-solving approach to leadership and fundamental process for the entire four-week course.

Week 2 Continues to build on week 1, adding the concepts of group formation and process as well as an overview of several critical leader skills like decision making and counseling.

Week 3 Explores theories of individual leadership and influence, culminating in a two-hour one-on-one feedback session using the results of an individual, 360-degree leadership assessment. The course

uses the Center for Creative Leadership's Benchmark© or Skillscope© individual leadership assessment instruments to perform a complete assessment of every student's current leadership behavior. Through a careful analysis of this information, each student receives confidential feedback as well as a method to turn their feedback into a simple individualized training program to strengthen specific leader skills.

Week 4 In Week 4, students learn organizational theory and develop an appreciation of the environment in which organizations work. The week concludes with feedback from an organizational assessment, using the Campbell Organizational Survey throughout the entire department. The department's leadership, as well as those selected to take the course; meet to analyze the results and, using material learned in the course, agree upon action plans to address important issues. By learning and applying group dynamics, leadership theory and skills, and organizational theory, students (models) develop a common base of knowledge and skills.

In each level of the course, there are ample opportunities to draw in the department's mission, vision, values, and goals and compare them to daily departmental operations. Additionally, the course format allows for this diverse group of students to share their perspectives and experiences, opening communications channels and reinforcing the academic experience by demonstrating its applicability to their department.

In these ways, the Leadership in Police Organizations course addresses all five aspects of Dispersed Leadership. But this is not the only part of the leader development puzzle. The U.S. Army captures the scope of their leadership development program with the phrase "Be, Know, Do" as a method to convey that values, knowledge, skills, and experiences are necessary over time to fully develop leaders. LPO fits well into the Know portion of this model but only tangentially into the Be and Do areas. How then do you achieve these other two critically important areas as you develop leaders in your department? This topic will be discussed in our next training bulletin.

About the Authors:

Dr. Howard T. Prince II is the Director of the Center for Ethical Leadership at the Lyndon B. Johnson School of the University of Texas-Austin and has been involved in leadership development programs for almost 30 years. Dr. Prince assumed this position after 28 years of military service to include commanding troops in combat and leading the U.S. Military Academy's Department of Behavioral Science and Leadership. Dr. Prince also was the founding dean of the Jepson School of Leadership at the University of Richmond, the only undergraduate leadership program in the country. He has been active in police leadership training for over seven years.

Chief Larry Hesser is the former chief of police of communities in Georgia, Colorado, North Carolina, and Texas as well as the former President of the North Carolina Police Chiefs Association. Chief Hesser, working with Dr. Prince, successfully used the Leadership in Police Organizations training course in Georgetown, Texas, and successfully championed the course nation-wide through the IACP.

Mr. John Halstead is a retired U.S. Army officer who commanded soldiers at several levels and was the Director of the U.S. Military Academy's military leadership course. He brings more than 30 years of education and training experience to the Leadership in Police Organizations course.

Police Chief Orienteering

Finding Your Way in the Internal and External Environment of a Police Organization

By Chief Larry M. Hesser (Ret.)

The idea for the Police Chief Orienteering Process was inspired by the art of Outdoor Orienteering, which is the skill of finding your way not only along highways and country roads but also through woods and fields, through mountain territory and over lakes with the use of a map and compass.

Orienteering places the emphasis on the use of the map and compass because it is the skilled use of them that makes one self-reliant and confident in all one's travels as well as creating greater enjoyment in the process. The bottom line to developing the skills and art of orienteering is that the experienced outdoor enthusiasts have no fear or uncertainty about traveling through strange territory – map and compass will get them there and safely back again.

*Be Expert with Map & Compass,
The Complete Orienteering Handbook*
by Bjorn Hjellstrom

The art and skill of a police chief leading the continuous process of setting, revising and achieving organizational goals that serve the best interest of the public are synonymous with the art and skill of finding one's way in the field with a compass and map.

Rationale

Leaders need to understand that the future is created by positive action – not by slogans, not by fad surfing, not by more perfect planning, but by action.

Hope Is Not A Method
by Gordon R. Sullivan & Michael V. Harper

With the mire created by the complexity of issues and concerns facing the “cause” of policing today, it is imperative that police leaders understand a process by which they can determine where they are, where they are going, and how they are going to navigate, or orienteer, the known and unknown terrain of providing efficient, effective, and ethical police services.

It is the intent of the Police Chief Orienteering Process to enable police chiefs to come out of the mire or “wilderness” of the department's present situation with a clear message – a focus and settled priorities – and to become organized leaders with an eye on the future.

The Police Chief Orienteering Process is about the actions a police chief may take to determine where the department is, where it needs to be, and how it is going to get there. The outcome of this process will determine the enduring character of the organization and the success of those who follow.

This process is designed to enable a police chief to meet the challenge, seize developing opportunities, deploy his or her resources efficiently and effectively, and navigate the many peaks and valleys chiefs encounter during their commitment to protecting and serving their community through the delivery of police services.

If a police chief applies the systemic approach that this Orienteering Process provides, he or she will be well equipped and confident about the journey through challenging and sometimes troubling “territory.”

The measure of this process is, as stated by Sullivan and Harper, “Did you create a future or merely contend with the present? How well did you prepare those who will follow? And were you a builder or merely a maintainer?”

The Police Chief Orienteering Process is in keeping with the goal and mission of the **IACP Research Center’s Services, Support and Technical Assistance to Smaller Police Departments Project**, which is:

To provide affordable and accessible training, technical assistance and policy support to the nearly 11,000 smaller law enforcement agencies (those with less than 25 sworn officers) in the United States.

The project objectives are to:

- Identify current and emerging needs of smaller departments,
- Design and deliver training and technical assistance to meet those needs,
- Maximize resource delivery through on-going collaboration & partnerships, and
- Evaluate project impact.

Furthermore, the process provides a method for delivering the IACP’s newly developed “**Leadership In Police Organizations**” Course to smaller police departments. And, it addresses many issues and recommendations reported out from IACP’s **Police Leadership in the 21st Century Summit** by providing the *how* to “every day manage the impacts of and seize the opportunities presented by *changing forces*.”

The crux of the delivery of the Police Chief Orienteering Process is a “community of consultants” that builds relationships with the chiefs of police that will lead to trust, confidence, support and further guidance. The “community of consultants” becomes a place for police leaders to take their *pain* – the pain of leading: “the doubts about the outcome,” “wounds from resistance,” “dread of the next battle” – a core with whom everything can be shared.

The orienteering process can be delivered in many different formats to include:

- On Site Visits (one on one with the Chief of Police and/or staff)
- Regional Facilitated “Work” Sessions
- Distance Learning

The Orienteering Process

Where are We?

The function of a police chief is a complex matter. Performing this function is no trivial task. It requires vision, judgment, and imagination, as well as disciplined analytical capabilities. In order to find the desired way forward, the police chief must know and understand the “topography,” or the features, of where they presently are and the environmental conditions of the area.



Scanning

the “territory” through three processes can provide the necessary information for analysis in determining and understanding where the department is in terms of the delivery of police services.

In essence, police chiefs create their own “topographical map” for their journey through the role and responsibilities in their jurisdiction.

Scanning the Territory and Environment

The Leader Transition Process:

- Accomplishes a smooth transition.
- Prevents reduced efficiency that is commonly experienced for three to six months after a new chief’s appointment.
- Provides tools and techniques for assessing the organization.
- Provides employees a format for identifying immediate concerns and recommendations.
- Identifies issues, clarifies expectations, builds mutual trust, and enables the new leader to develop and explain what they intend to do or achieve.

Environmental Survey:

- Provides specific and vital information about the external and internal environments by asking a list of predetermined questions.

Ethical Climate Survey:

- Provides critical information as to the ethical climate of the police department by assessing the:
 - ♦ The individual character of department members.
 - ♦ The policies and practices within the department.
 - ♦ The actions of unit leaders
 - ♦ The environment and mission (or purpose) factors.

Where Do We Want to Go?

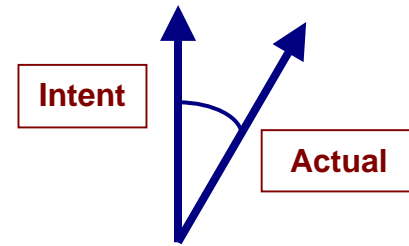


A vision engages stakeholders in the central values and possibilities that define the group and define its niche in society. The vision activates deeply held values and beliefs about what the individual and the society are all about, such as those found in the U. S. Constitution.

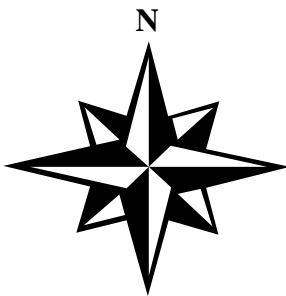
Values Leadership
By Gilbert Fairholm

The Police Chief's Intent

- Establishes the police chief's vision, or picture of the future, for the police department.
- Defines the department's purpose for being.
- Identifies the long-term interests of all.
- Establishes realistic, attainable goals.
- Establishes the guide for decisions.
- Establishes the boundaries for initiatives and alternatives.
- Establishes where the department wants to go from the perspective of where it is as established by the scanning process.



Where is True North?



Designing an effective police department is a discipline directed at aligning and balancing the systems and processes of a police department necessary to develop and maintain a plan or direction which is most advantageous for the police and the public and is shared and held in common by all members of the police department.

Designing Effective Organizations (Paraphrased)
By Phyllis F. Schlesinger & Leonard A Schlesinger

The Police Chief's Compass

(It provides the “true north” for police chiefs to find their way)

- Enables a police department to keep informed of the ever changing internal and external environments by systematically ensuring that:
 - ♦ The necessary tasks are performed,
 - ♦ The necessary people are in place, and
 - ♦ The department has appropriate channels of communication.
- The dysfunctional effects are kept to a minimum so that the environment of the department is conducive to achieving the desired results.
- Determines the department's direction, range and scope.
- Identifies the department's “choice of core purpose(s).”
- Molds the department's identity and character.
- Communicates the unending definition of what needs to be done.
- Establishes the strategies, methods and programs directed at achieving the department's purpose(s).
- Mobilizes the resources for the attainment of goals in the face of competition for resources and/or adverse unscheduled circumstances.
- Identifies the terms of accountability.

The Way Forward

There are people who can “climb” a hill and there are people who can accurately predict which hill it would be best to climb. There are those who are good at producing results in the short term and there are those who produce results over the long haul. Most police departments do well with what they do today. It is knowing what a police department needs to be doing tomorrow and the next day that generates sustained superior performance and produces desired results over time.

For Your Improvement, 2nd Edition, page 324
by Michael M. Lombardo & Robert W. Eichinger (Paraphrased).

The Police Chief's Strategic Plan

- Establishes how the police department intends to accomplish the Chief's Intent over time.
- Identifies the strategic goals and objectives necessary to the accomplishment of the Chief's intent.
- Benchmarks the progress toward the vision that can be easily grasped and understood by the employees of the police department.
- Links where you are today with where you want to be.



The Challenge

Without clear direction, we can only maintain what already is. But if we are authentic, and if we take our stand for what we know is right, then clarity will emerge, and we can lead.

~Jeff Black

Success is dependent on the police chief being able to ethically influence members of the police department to travel the same journey with the same purpose in mind.

The Police Chief's Model of Organizational Leadership

Leadership in this process is defined as influencing human behavior to achieve his or her organizational goals that serve the public, while developing individuals, teams, and the organization for future service.

The IACP Leadership Development Program

- Provides an understanding and application of modern behavioral science theories to lead others in support of organizational goals.
- Provides an organized framework to solve leadership challenges.
- Provides an integration of knowledge gained into daily leadership challenges.
- Develops personal leadership potential to the fullest.
- Inspires a lifelong commitment to the study and practice of effective leadership.

Four Sub-Systems

- The Individual Sub-system
- The Leadership Sub-system
- The Group Sub-system
- The Organizational Sub-system

Leadership

Team Building

Desired Results

Efficient and effective teamwork at all levels and among all personnel throughout the organization:

- Executive level
- Management level
- Service delivery level

Guidelines

To commit to and apply professional principles and skills identified as pertinent to what a team should expect of the team leader; what a team leader should expect from each team member; and what each team member should expect from one another.

As team leaders we will:

- ◆ Define our team's purpose and goal,
- ◆ Establish our team's objectives,
- ◆ Avoid compromising our team's objectives with personal or political issues,
- ◆ Exhibit personal commitment to our team's goal and objectives,
- ◆ Not dilute the team's efforts with too many priorities,
- ◆ Be fair and impartial toward all team members,
- ◆ Hold team members accountable by confronting and resolving issues associated with inadequate performance by team members,
- ◆ Be open to new ideas and information from team members, and
- ◆ Resolve issues and conflicts through effective conflict resolution, problem solving and decision-making skills.

As team members we will:

- ◆ Demonstrate a realistic understanding of our roles and responsibilities,
- ◆ Demonstrate objective and fact-based judgments,
- ◆ Collaborate effectively with other team members and members of other teams,
- ◆ Make the team goal and objectives a higher priority than any personal goal or objective,
- ◆ Demonstrate a willingness to devote whatever effort is necessary to achieve team success,
- ◆ Be willing to share information and perceptions openly,
- ◆ Provide help to other team members when needed and appropriate,
- ◆ Demonstrate high standards of excellence and professionalism,

- ◆ Stand behind and support team decisions,
- ◆ Demonstrate courage of convictions by directly confronting important issues to include confronting other team members not upholding the principles of teamwork,
- ◆ Demonstrate leadership in ways that contribute to the team's success, and
- ◆ Preserve and enhance relationships with team members by:
 - Being kind and courteous
 - Seeking first to understand
 - Keeping promises
 - Clarifying expectations
 - Being loyal to the absent
 - Being willing to admit our mistakes and make up for them
 - Receiving feedback and giving "I" messages

Accountability

While this effort provides opportunities for individual growth, it also requires that the team leaders and members apply the newly developed abilities in the workplace in order to become more effective in their job performance. Only then does organizational effectiveness become a product of individual development. The standards of performance for evaluating desired results are:

- ◆ The team achieves desired results and all team leaders and members perform in at least a satisfactory manner. The performance will be measured against the principles directly linked to this document and the training received.
- ◆ Team leaders and members will be held accountable to demonstrable and recognizable accomplishments.
- ◆ Team progress in this endeavor will be evaluated quarterly and each member's performance will be evaluated through one-to-one meetings and the annual evaluation system.

Peer evaluation and accountability are essential to this process and will be accomplished appropriately around events as they occur and 360 evaluations.

Performance will be evaluated quarterly for one year, then every six months, then annually.

Net Effects

Positive:

The employees and the customers receive quality service through teams that are motivated, well trained, experienced, and effective in the concept of teamwork. Trust in and support for management and leadership will increase. The team concept will become a reality. Life in the workplace will become more enjoyable on a consistent basis. If all achieve the desired effects, the organization will see positive improvement in the areas of trust, morale, team spirit, and comradeship. Team leaders will be consistent in providing leadership throughout the organization. Each team member does not have to feel that they have to work at 100% effectiveness all the time, at everything they do, because team members will compensate for individual shortcomings as appropriate. The leadership of the organization will demonstrate to the employees that they are genuinely concerned and serious about improving the quality of life in the workplace and the community. The leadership in the organization will be strengthened and unified.

Negative:

The organization may appear to be fragmented, self-serving, putting personal agendas before those of the organization and not caring about the individual employees or their needs. The organization will continue to have “do as I say, not as I do” leadership without accountability. Negative indicators, that plague most organizations, will surface in the organization and probably worsen. Trust levels for management and leadership will decrease. Trust and support levels among the supervisory team may erode. When teams don’t work to “come together,” they are driving “further apart.” Survival will be the norm. Quality of life in the workplace will be hard to come by. Management and the Team Leaders as a team may be viewed as indecisive, unfair, ambivalent, weak, uncaring, and have a general lack of integrity. Management will face loss of confidence from service delivery employees. Employees will perceive that there is no positive change or improvement made in the organization. Management and supervisory efforts to improve the organization will be perceived as more grandiose plans and lip service to real needs.

Guiding Principles

1. Team building is developed around the principle “you can’t do it alone.”
2. Teams work together in an “other-centered” manner.
3. A team is an organism that manifests both unity and diversity.
4. A team is capable of accomplishing things that no individual, no matter how multi-talented, could do alone.
5. Team members are never independent but always working together in concert.
6. Teamwork is perfect and harmonious interaction.
7. Teamwork operates vertically as well as horizontally. The executive initiates; the manager accomplishes; and the service delivery members make it real in life.
8. Team members perform distinct roles, but they work together in perfect harmony and agreement to accomplish the goals of the team.
9. To function well, a team must be committed to a common vision and purpose, and it must be willing to work in unity for the improvement of the whole rather than the advancement of any one member.
10. Teams are comprised of positional specialists. But they aren’t a solid team until their individual strengths combine to produce an outcome that no single member alone could have produced.
11. A team leader must spend time with his or her team through hard times in order to know the team members’ capabilities.
12. Team leaders that sacrifice for the team communicate their depth of devotion to the team and its purpose.
13. Wise team leaders enjoy the victories together with the team.
14. Wise team leaders honor the team members.
15. Entrusting team members with key leadership roles is crucial to the future development of the team.

Leadership

Problem Solving and Decision Making: A Process

A classic approach to problem solving deals with four questions:

1. Where are we?

Focuses on gathering and diagnosing "real" data.

2. Where do we want to go?

Deals with clarifying values and selecting goals.

3. How do we get there?

Involves generating and evaluating alternatives, making decisions, and planning the action steps to implement.

4. How will we know we have arrived?

Involves setting up criteria or standards to measure, observe or discern the progress toward objectives or goals.

Action Steps Worksheet

WHAT – What is the issue that you would target for action?

1. Identify a specific organizational issue or problem you are concerned about. In paragraph form, describe the situation as it presently exists.

2. Define the problem.
 - A. What is the background of the problem?

 - B. Why is it a problem?

 - C. Who are the people most often affected by this issue?

 - D. When does this issue most likely cause dysfunction or harm?

 - E. Why do you want to take action on this issue?

 - F. What are your motives for working on this issue?

 - G. Describe the specific benefits to you, your peers, others and the organization that you feel will result from effectively dealing with this issue. Describe the effects if this issue remains unchanged.

3. In paragraph form, **describe the situation as you would like it to be** once the changes you desire have been made.

4. Define the "real" goal:

To do _____,

in order that _____

HOW – How will you address the issue? (Specific steps to take)

5. **Brainstorm alternative solutions**, scanning the environment.
 - a. Boss's expectations
 - b. City government needs/desires
 - c. Community needs.
 - d. Professional peers perspective.
 - e. Internal information/data
 - f. Needs/desires of subordinates
 - g. Needs/desires of organizational customers.

6. **Analyze alternatives.**
 - a. What primary restraining forces will resist your attempts to change things from the perspective of:
 - i. Values/principles
 - ii. People--trust/competence
 - iii. Skills/knowledge
 - iv. Structure
 - v. Systems
 - vi. Strategies

 - b. What primary driving forces will work in your favor in your attempt to change things from the perspective of:
 - i. Values/principles
 - ii. People--trust/competence
 - iii. Skills/knowledge
 - iv. Structure
 - v. Systems
 - vi. Strategies

7. **Select alternatives.**
 - a. What are our top three options as solutions?
 - b. Decide, what is our best option?
 - i. Is this option compatible with our values, mission, philosophies and principles?
 - ii. Do we have the necessary support for this option?
 - iii. Do we have the capacity to complete this option?
 - iv. What happens if this option is approved?
 - v. What happens if this option is not approved?

8. **Develop strategy to implement the chosen alternative.**
 - a. What is our general approach to solving the problem?
 - b. What are we not going to do?
 - c. What are the different elements of the problem and the objective for solving each one?
 - d. What steps need to be taken to reach each objective?
 - e. When will each objective and each step to each objective need to be accomplished?
 - f. Who will be responsible for each objective and each step to each objective?
 - g. What is the cost, if any, for each step or each objective?
 - h. How will you measure progress against your solution?

QUESTIONS:

When Evaluating the Recommended Plan Overall, Ask Yourself:

What is clear and effective about this plan?

What is missing or unclear about this plan?

What do you like about this plan?

What do you dislike about this plan?

What points or principles can be made based on your critique of the plan?

Leadership

Communication Skills

Desired Results

For the employees to learn to recognize problems that result from poor communications and to learn and practice effective communication skills.

Guidelines

Communications is one of the most important skills in life. It is the key to building positive relationships and the essence of professionalism. Many "people problems" are magnified because of the lack of effective communication skills. Problem solving, decision-making and quality improvement efforts are seriously hampered, if not impossible, if poor or ineffective communication skills are prevalent.

Employees of this organization are expected to employ reading, writing, speaking, and listening skills necessary for:

- ◆ Empathetic listening to understand and resolve perception differences.
- ◆ Effective discussion.
- ◆ Effective conflict resolution.
- ◆ Effective process facilitation.
- ◆ Communicating effectively with anyone likely to be affected by or interested in his or her activities in order to encourage cooperation.
- ◆ Effectively passing on of information.

Resources Available

- ◆ *The 7 Habits of Highly Effective People* by Stephen R. Covey, Covey Leadership Center, Inc.
- ◆ *The Team Handbook* by Peter R. Scholtes and other contributors, Jioner Associates Inc.
- ◆ Outside consultants and trainers

Accountability

The standards of performance for evaluating the desired results are:

- ◆ Effective meetings,
- ◆ Effective group processes,
- ◆ The absence of conflict in area of responsibility,
- ◆ Effective problem solving, and
- ◆ Teamwork.

Your performance will be evaluated by periodic observations. The results of our agreed upon evaluations will appear in your annual evaluation.

Net Effects

Positive:

The absence of credibility problems. The absence of misunderstandings. Mutual trust. Reduction of duplication of efforts to resolve problems, conflicts, or issues. Team loyalty. The absence of frustration. A sense of belonging and accomplishment. Enhanced participation. High performance teams. Improved relationships. A more effective and efficient organization. Improved chances for job enhancements, pay increases, promotions, and achievement of personal and professional goals.

Negative:

Complaints about the organization and barriers to achieving desired results. Resistance to change. Fluctuating and disruptive attitudes towards improvement efforts of the department. Ineffective problem solving and decision-making. The absence of harmony and teamwork. The “feeling” that nothing is going to get better. Increased discouragement and frustration. An increased perception that there is no direction. The absence of participation. Not achieving personal and professional goals.

Guiding Principles

Our degree of ability to communicate will either evoke trust or distrust in those we lead. It will instill either confidence or fear. It will determine to a large extent how eagerly our followers will follow us.

1. The key to effective interpersonal communication: Seek first to understand, then to be understood.
2. Express yourself in a nonabrasive and affirming manner.
3. Think before you speak; select words that nurture rather than destroy.
4. When facing hostility, speak gently so as to subdue anger rather than stoke it.
5. Words are meant to richly bless and empower. Words are not merely to inform but to transform.
6. A person’s speech is not neutral territory. It is informed and shaped by our character.
7. The art of listening well and speaking in appropriate ways are essential to effective leadership.
8. Communication is as much an issue of character as it is skill.
9. The purpose of communication is neither to speak nor to listen, but rather to achieve greater understanding between people. Speaking and listening are means, not ends. True communication has not occurred until meaning is established and understanding takes place.
10. Responsible communication demands interaction.
11. A person must hear before answering. That is essential. In order to be truly effective, a person must also listen and respond with a mind that is open and searching for a fuller meaning. Then and only then can effective two-way communication takes place.
12. Communications begins with values.
13. Hearing deals with noise; listening deals with meaning. We have to “want” to listen – to listen has to be our first priority.
14. Effective communication is about a variety of media, not just talking. One communicates with dress, facial expression, tone of voice, by selecting whom to talk with, how often, how and when.
15. Effective communicators communicate constantly, through the work environment, organizational structure, company policies, salary and benefits, and appearance of work area.

16. The nature of a relationship determines the nature of the communication. And communication always affects the quality of the relationship
17. All communications from a leader are consistent with one another. A leader must be careful to be consistent in communication within his or her organization – both in terms of content of the message and the veracity of his or her character.
18. A restoration process with a person cannot succeed without careful attention to communication. The outcome of an attempt to restore another will depend on the attention given to:
 - a. **Relationship.** Communication always occurs in a relationship. Know and understand the relationship: intimate to hostile; familiar to estranged; trusting to suspicious.
 - b. **Preparation.** Prepare the person for the bad news to come.
 - c. **Confrontation.** A moment of confrontation has to occur. The message needs to be understood. The purpose is not to “say it,” but to communicate it.
 - d. **Restoration.** Show compassion and concern for the devastated listener. Don’t get caught up in the message and forget the person. Communication is crucial, but it is not an end in itself. Rather, it is a means to an end. The job isn’t merely to communicate a message but to restore a wayward person by that communication.

Leadership

Personal Management

Desired Results

For the employees to get the most out of their time by effectively organizing and managing time and events.

Guidelines

Because 80% of desired results flow from a few (20%) "high-leverage" activities, to get the most out of our time, we should devote less attention to activities that are urgent but unimportant, and more time to those things that are important but not necessarily urgent.

Urgent things act on us, and we usually react to them. We must choose to do the important to minimize the urgent things. If you neglect the important things, the urgent things will disrupt your life. We must learn to organize and execute around pre-determined priorities.

All time-related choices fall into one of four categories:

I. Important/Urgent - This is the "symptom" category. It is the category of crisis management, or fire fighting. All time management problems eventually show up in this category. Examples of activities in Category I:

- ◆ Crises
- ◆ Pressing problems
- ◆ Deadline-driven projects
- ◆ People problems

II. Important/Not urgent - This is the "cure" category. It is the category of activities that serve our mission. The skill that applies the cure is the skill of saying, "No." We say "No" to some pressing and popular things, and we say "No" to some pleasurable things, because more important activities require our time.

As we do, we replace the satisfactions of popularity and pleasure with the higher satisfactions of effectiveness and being in line with our purpose.

Category II choices are proactive because they are based on values. They aren't urgent. Urgency is the hangover from a reactivity binge, which comes from ignoring values. Proactivity – or attention to values – is the cure.

Good scheduling creates "high leverage" activities - activities that create maximum value for our effort. All high-leverage activities are in Category II. Examples of activities in Category II:

- ◆ Planning
- ◆ Processing
- ◆ Preparation
- ◆ Crisis prevention
- ◆ Values clarification
- ◆ People processes
- ◆ Relationship building

III. Not Important/Urgent – This is one of the "cause" categories. We are spending our time doing urgent but unimportant things. The activities in this category are "reactive" responses based on temporary feelings. They are responses to a temporary sense of urgency. They are often "good" choices, generally popular, but they don't serve our mission. Examples of activities in Category III are:

- ◆ Interruptions, some calls
- ◆ Mail, some reports
- ◆ Some meetings
- ◆ Activities immediately before or after pressing matters
- ◆ Many popular activities

IV. Not Important/Not Urgent – This is another "cause" category. We are spending our time doing unnecessary things. The activities in this category are "reactive" responses and also based on a temporary feeling. Category IV activities are pleasant but nonproductive. Examples of category IV activities are:

- ◆ Trivia, busy work
- ◆ Some mail
- ◆ Some phone calls
- ◆ Time wasters
- ◆ Many pleasant activities

We solve time-management problems by shifting time spent from Categories III and IV, which are the causes, to Category II, which is the cure. As we do, we can prevent some of the crises and problems in Category I and thereby gain control of our time.

Once we understand our values, mission, goals and important activities, we organize and execute around them.

Six Characteristics of a Good Organizing Tool

- ◆ **Coherence** – A good organizing tool includes and integrates mission statement, roles, goals, (long-term, intermediate, and short-term), and weekly and daily planning.
- ◆ **Balance** – A good organizing tool encourages balance among roles and between Production (results) and Production Capability (preserving and enhancing our assets, i.e., physical health, mental alertness, emotional stability, skills, knowledge, values, and relationships with other people).
- ◆ **Category II Focus** – A good organizing tool encourages us to focus on high-leverage activities.
- ◆ **People** – A good organizing tool supports delegation and has a place for recording communication notes, performance agreements, and so on.
- ◆ **Flexibility** – A good organizing tool is not a master but a servant that can be tailored and adapted to different styles and needs.
- ◆ **Portability** – A good organizing tool is easy to carry around.

Principles of Organization

- ◆ **Scheduling** – Organize and execute our time and efforts around priorities. Begin scheduling with Category II activities, "those important activities we can control." Maintain a balance between product activities and production capability activities.

- ◆ **Weekly planning** is ideal for planning Category II activities. A week is long enough to anticipate crises, yet short enough to let us make valid plans.
- ◆ Category II activities come from **top-down planning**. Planning is most effective when we move from the general to the specific and from values to daily activity.
- ◆ **Determined roles** allow us to develop values in various areas of our lives.
- ◆ **Established goals** enable us to fulfill our roles.
- ◆ Goals lead to a **weekly plan** and the weekly plan leads to a **daily plan**, which includes the specifics of what we intend to do.
- ◆ Mission, roles, and goals take **up-front planning**, but then they stay fairly constant. The weekly plans flow directly from the goals, and the daily plans flow directly from the weekly plan.

Resources Available

- ◆ Department training funds
- ◆ The 7 Habits Of Highly Effective People by Stephen R. Covey
(The ideas and principles identified in this document are from the above publication.)

Accountability

The following are standards of performance for evaluating the desired results, relative to your assignment:

- ◆ The items you identify in each category
- ◆ Your list of priorities
- ◆ Your goals established for each role you see yourself playing
- ◆ The balance of your scheduling
- ◆ The time you spend on "high-leverage" activities
- ◆ The application of taught principles
- ◆ Your ability to effectively delegate
- ◆ The kind of crises (Category I) activities that you manage and the causes of the crises

Performance will be evaluated every two weeks for two months, then every quarter for one year, then every six months, then annually. The results of our agreed upon evaluation will appear in your annual evaluation.

Net Effects

Positive:

You will have a proper perspective on being an effective employee. You will improve your level of effectiveness. You will bring balance to your life that will enable you to better manage the stress in your life. You will experience improved discipline and control in your life. You will find yourself functioning from a less reactive mode and managing fewer crises in you life. Your employees will experience a better quality of life in the work place. You will improve your chances for job enhancement and advancement.

Negative:

You will continue performing less effectively than you are capable of. You will have less control over your time. You will continue spending too much time reacting to activities. Your evaluation in the area of time management will be less than acceptable. Your opportunities for more challenging and desirable task assignments will be less. You will be less satisfied with your overall performance.

Leadership

Delegation and Accountability

Desired Results

The effective use of time and human resources in achieving desired results through the proper transfer of work from one particular employee to another and self-accountability.

Guidelines

The most abused resource within an organization is time. The greatest untapped resource within any organization is its people's potential. Managers have the responsibility to use time efficiently and to unleash the vast store of talent in people. One method for achieving these two goals is to apply time proven principles of delegation and accountability.

Proven principles of delegation are:

- ◆ Proper delegation plays a significant role relative to the issue of accountability.
- ◆ Proper delegation is focused on results instead of methods. It gives people a choice of methods and holds them responsible for results.
- ◆ Proper delegation involves clear, up front mutual understanding, commitment, and trust regarding expectations in the following areas:
 - **Desired Results** – creating a clear mutual understanding of what needs to be accomplished, focusing on what, not how; results, not methods.
 - **Guidelines** – identifying the parameters within which the person should operate.
 - **Resources** – identifying the human, financial, technical, or organizational resources the person can draw on to accomplish the desired results.
 - **Accountability** – setting the standards of performance that will be used in evaluating the results and the specific times when reporting and evaluation will take place.
 - **Consequences** – specifying what will happen, good and bad, as the result of the evaluation or the result is attained.
 - **Level of Authority** – clearly designating the authority the person has in order to accomplish the desired result.
- ◆ Proper delegation allows for being involved and not intervening.
- ◆ Sound relationships are essential between the person doing the delegating and the person being delegated to if the department is to reap the benefits of effective delegation.

Proven principles of accountability are:

- ◆ Accountability is made difficult if proper delegation principles and techniques are not employed.
- ◆ Proper accountability is achieved when people evaluate themselves using the criteria that they themselves helped to create up front.
- ◆ Accountability on an objective basis is the result of people measuring their own success against standards that are clear, mutually understood, and agreed upon up front.

- ◆ Proper accountability holds others accountable for the responsibility and authority delegated to them.
- ◆ People cannot be held accountable for authority and responsibility unless they fully understand and accept it.

Resources Available

Department training funds

Outside consultants and trainers

Accountability

The standards of performance for evaluating the desired results are:

- ◆ Selecting the proper tasks to be delegated,
- ◆ Selecting the proper people for the tasks delegated,
- ◆ Ensuring that all issues surrounding delegated tasks are fully understood,
- ◆ Ensuring that people assigned to units of work perceive that power and influence is being shared, and
- ◆ Ensuring that people assigned to units of work perceive that they are not being overly controlled.

Performance will be determined by evaluating, on a quarterly basis, the ability to effectively and efficiently manage time and human resources in relationship to tasks. The results of the agreed upon evaluations will appear in the annual evaluation.

Net Effects

Positive:

Self managed employees. Enhanced employee commitment. Enhanced levels of trust between management and employees. More work will be done in much less time. Increased ability to organize and execute workload around priorities. Release of human potential. Improved employee attitudes. Shared power and authority. Improved leader-follower relationships. Increased job satisfaction and morale. Improved understanding and cooperation between levels of the organization. Eased job pressures. Increased time for broader more important functions. Improved chances for job enhancement, pay increases, promotions, and achievement of personal and professional goals.

Negative:

Misunderstanding of responsibilities and authority. Absence of desired trust and confidence. Lack of personal and professional growth of employees. Management of methods instead of results. Undesirable task results. The absence of challenge, interest and motivation. Stressful leader-follower relationships. Overall ineffective and inefficient organization. Less chance of job enhancement, pay increases, promotions, and achievement of personal and professional goals.

Leadership

Empowerment of Employees

Desired Results

Increased involvement and participation, sharing of knowledge and decision-making, plus encouragement for everyone to contribute to his or her fullest.

Guidelines

Empowerment is one of the most important keys to leadership effectiveness. Empowerment brings out the very best in people. It inspires people to achieve desired results. Empowerment unleashes creative energy and allows people to be everything they are capable of being.

Employees of the police department are expected to nurture conditions within the organization that enable every member to contribute to his or her maximum potential, talent, creativity, commitment, innovation and quality. Employees are expected to avoid the traditional authoritarian control style of management that fosters dependence and stifles initiative.

Each member of the police department is expected to gain and maintain the trust and confidence of others by maintaining sufficient competence and character strength and consistently exercising good judgment in making decisions.

Employees are expected to recognize the leadership in everyone and the contributions brought to the organization by maximizing respect for individuals and their ideas. Because trust is a prerequisite to empowerment and quality, employees are asked to foster merited trust through interdependent and interpersonal relationships.

Organizational management is expected to model empowerment by:

- ◆ Encouraging leadership, new ideas and innovation throughout the department,
- ◆ Embracing, teaching and coaching managerial styles and skills that embody department values and principles,
- ◆ Fostering personal accountability,
- ◆ Sharing power,
- ◆ Encouraging success and growth in others,
- ◆ Rewarding quality, initiative, creativity, innovation and empowerment,
- ◆ Viewing mistakes as opportunities for improvement, not punishment,
- ◆ Sharing information and knowledge, and
- ◆ Developing decision-making at the service delivery level.

Resources Available

Department training funds

The 7 Habits of Highly Effective People by Stephen R. Covey

Covey Leadership Center, Inc.

Outside Consultants and Trainers

Accountability

The standards of performance for evaluating the desired results can be determined with the help of the following questions:

- ◆ Do you have a comprehensive strategy to encourage empowerment in your function of responsibility?
- ◆ How open are you to new ideas from others?
- ◆ How well is your function of responsibility doing on empowerment?
- ◆ Is it practiced – or just talked about?
- ◆ Is there genuine respect and trust in your function of responsibility?
- ◆ Are you a "coach" or a "boss"?
- ◆ How effective is your rewarding of desired behaviors in others?
- ◆ What are the competency levels of the employees assigned to your function of responsibility?
- ◆ Do the personnel assigned your function of responsibility know what is expected of them?

Your performance will be determined from employee surveys and personal employee interviews. The results of our agreed upon evaluations will appear in your annual evaluation.

Net Effects

Positive:

A more effective work unit. Personnel assigned to your area of responsibility will be functioning at their fullest capacity. A more responsive work force. The quality of service products will be improved. Systems and strategies will be improved and made more effective. Organizational change will be achieved with less disruption. Improved chances for job enhancement, pay increases, promotions, and achievement of personal and professional goals.

Negative:

A less effective work unit. Less than desirable quality of work. Organizational improvements will be hampered. Organizational change will be slow and more disruptive. A dissatisfied work force. Less opportunity for job enhancement, pay increases, promotions, and achievement of personal and professional goals.

Leadership

Making an Organizational Change (Worksheet)

1. I intend to make the following change in my organization:

From:

To:

2. The gains (satisfactions, rewards) we will get from this change are:

3. The things (forces) that will help us make this change are:

4. The things (forces) that will make it difficult to make this change are:

5. I/we plan to begin this change by doing the following:

6. I/we envision the following steps in implementing the change with these time targets:

7. I/we plan to complete the change by _____.
(date)

Other Leadership Resources

Police Leadership in the 21st Century

www.theiacp.org (Publications-Publications-View Published Documents from Previous Years)

This document contains recommendations from the IACP President's First Leadership Conference held in 1999. The Conference was structured to capture experienced-based observations and produce guidelines to enable current and aspiring chiefs to achieve and sustain success, today, and into the next century. Copies can be found online.

FYI For Your Improvement

Recommended Resource for Leaders

FYI For Your Improvement (3rd Edition), by Michael M. Lombardo, Ed.D. and Robert W. Eichinger, Ph.D., Lominger Limited, Inc., 2002, ISBN# 0-9655712-3-8.

This book is a complete and easy-to-use development and coaching book for lifelong improvement. It provides step-by-step guidance for anyone who wants to develop new competencies or for anyone working with another person on their development. Designed for use by any motivated person with a development need—at any level: individual contributor, manager, or executive—*FYI For Your Improvement* is the result of over 50 years of research and experience. To use *FYI*, you select the competency that needs improvement and turn to the chapter where that competency is discussed.

Each competency chapter provides:

- ◆ An unskilled "before" picture, a skilled "after" picture and an overuse definition (using a skill too much)
- ◆ Some causes (reasons why this need has occurred)
- ◆ A map (why the competency is important)
- ◆ 10 tips/remedies for building the competency
- ◆ Book and audiotope suggestions

To order a copy, contact the Center for Creative Leadership at (336) 545-2810 or www.ccl.org.

Police Leadership Development Reading List

This reading list is taken from the *Police Leadership Development Reading List*, a publication developed by the International Association of Chiefs of Police with support from the Office of Community Oriented Policing Services. The intent of the publication is to assist members of police organizations with self-development as part of a comprehensive leadership development program. The list is broken down by level of responsibility in the organization. Readers should start with the books selected for their current level of responsibility and then read at each higher level until they have finished the list. Leaders also can use the books to develop their own personnel by assigning selected books to individuals, groups of leaders, or potential leaders and then conducting informal discussions about the reading and how it applies to leading in their department. The goal of self-development is to improve one's current leadership ability and increase one's potential for leadership at higher organizational levels. The challenge is to use the reading to close the gap between the organization's need for future leaders and the leadership assets and liabilities of individual department members.

As shown in Table 1 below, there are several essential ingredients to leadership development. This leadership reading list will help with A, C, D, and E, especially when the organization is using all three of the leadership development components: Self-Development, Operational Assignments, and Education and Training.

Table 1. The Essentials of Dispersed Leadership

- | |
|--|
| <ul style="list-style-type: none"> A. Shared understanding of what leadership means B. Commitment to shared goals and values C. Leaders at all levels of the organization D. Leaders leading differently at different organizational levels E. A way to develop leadership knowledge and skills throughout the organization F. A way to determine where you are as an organization and as individual leaders |
|--|

Level 1: Service Delivery Providers/Followers

This section is intended for Cadets, Probationary Officers, Patrol Officers, Field Training Officers, and comparable non-sworn personnel. Read three books a year from the following selections. When you are ready to promote, read three books from Level 2.

Serpico

Peter Maas. New York: HarperTorch, 1997.

This gripping story about a young NYPD cop is a must-read for anyone who becomes a police officer. It tells the story of an idealistic man who refuses to buckle when he faces pressure from older corrupt cops who take bribes, share the spoils, and toy with criminals. Few people will ever face comparable ethical challenges of holding onto one's integrity while surrounded by more powerful and corrupt police officers, including some to whom Frank Serpico desperately looked for leadership. Serpico's story is a shining example of what moral and physical courage mean and the imperative for all public servants to preserve their personal and professional integrity at all costs.

The Killer Angels

Michael Shaara. New York: Ballantine Books, 1987.

This epic story of the decisive battle of the American Civil War is loaded with leadership examples and lessons to be learned. The hero of the Union forces was Colonel Joshua Chamberlain, a professor from Maine, who inspired his soldiers to heroic actions and taught them what was worth defending, if necessary, with their lives. Chamberlain connects leadership to the values on which this country was founded and which still guide everyone in public service today

Principle-Centered Leadership

Stephen Covey. New York: Summit Books, 1991.

The prerequisite for leadership is to connect leadership to a noble set of principles that one can live and lead by. This book does that, introducing police officers and non-sworn personnel to practical principles that will make them more effective public servants from the beginning of their careers, helping them put a foundation in place they can build upon as future police leaders.

Collaborative Leadership: How Citizens and Civic Leaders Can Make A Difference

David D. Chrislip and Carl E. Larson. San Francisco: Jossey-Bass, 1994.

How do you influence and lead people who aren't in your organization and over whom you have no formal position of authority? At the top of police organizations and at the level of service delivery in a community-oriented policing strategy, members of police organizations routinely have to try to lead people over whom they have no formal control unless the others parties have broken the law. Perhaps the purest form of leadership occurs when you have to use persuasion, negotiation, communication, and the power of your ideas to get others to willingly choose to follow you. This book is all about that kind of leadership that is increasingly important to police leaders from the patrol officer to the police chief.

Character and Cops: Ethics in Policing, 3rd ed.

Edward J. Delattre. Washington, D.C.: American Enterprise Institute, 1996.

Police organizations serve the public. And they depend upon public trust for their effectiveness. Delattre identifies the ethical problems that face police officers and others in police departments in practical understandable language. He also anchors the ethical imperatives of police work in the relationship to the public and the rule of law. In addition, the author discusses how leaders can help other members of police organizations develop good character as one ingredient of a strong police force. This is the single best book on ethics and policing available.

How Good People Make Tough Choices

Rushworth Kidder. New York: Simon and Schuster, 1995.

This is one of the most useful books about ethics and decision making for ordinary men and women in any field. It is practical and down-to-earth in its approach and yet very realistic and applicable to both the work of police officers and other personnel, and to being a man or woman of character in your personal life as well. The author focuses on the kinds of problems people face every day at work and at home and then teaches how to recognize ethical issues and think your way through to morally sound answers that will lead to stronger character over time, laying the foundation for leading ethically throughout a police career.

In Search of Ethics: Conversations with Men and Women of Character

Len Marella. Sanford, Fla: DC Press, 2001.

This book is based on interviews with leaders of character in many fields. The people who tell their stories here are role models for anyone who wants to be able to serve honorably in a police organization. Concepts such as Honor, Idealism, Sacrifice, Values, Character, Integrity, Truth, Responsibility, and Humility are

among the chapter topics. The author believes that living ethically is more than the right thing to do; it is vital to our success as individuals and as a society.

Constitution of the United States of America

Accessible at <http://www.house.gov/Constitution/Constitution.html>.

Police organizations serve the communities that create them. Every person who works in a police organization needs to know and understand the principles upon which our government is established. Everyone must serve and lead in ways that are consistent with these principles.

The Unanimous Declaration of the Thirteen United States of America, Action of the Second Continental Congress, July 4, 1776 (aka the Declaration of Independence)

Accessible at <http://lcweb2.loc.gov/const/declar.html>.

The most powerful vision statement ever written; that is what the Declaration of Independence really is. The values that this fundamental document reflects are timeless and must become the heart of the values everyone who serves in a police organization lives by as they serve all members of their community justly and with respect and dignity.

How to Be a Star at Work

Robert Kelley. New York: Three Rivers Press, 1999.

There is one thing leaders cannot do without—great followers. As we study and practice leadership it is tempting to focus exclusively on the role of the leader without asking what makes a good follower—but all leaders also have a boss. So no matter where you serve in a police organization, you are still a follower even when you have a leadership role. This book is all about what it takes to be a good follower and why that is the starting point to becoming a great leader. The best followers help their leaders lead to reach shared department or work group goals.

On Killing

Dave Grossman. New York: Back Bay Books, 1996.

In this book, the author explores one of the realities of police work for which all officers and support personnel must prepare themselves. Leaders especially need to know what happens to the shooter and other survivors when one human being takes the life of another. An often overlooked leadership responsibility is helping officers to overcome the psychological consequences of taking life, which, if left unattended, can seriously harm the shooter for life. Overcoming fear in order to do one's duty, coping with incredibly stressful and dangerous situations, and then living as a whole person for the rest of a lifetime are very significant leadership challenges facing potentially everyone who wears a badge.

Emotional Survival for Law Enforcement: A Guide for Officers and Their Families

Kevin Gilmartin. Tucson, Ariz: E-S Press, 2002.

Police work can be dangerous to you and those you love, especially if you make it a career. And leaders have a responsibility to help those who serve take care of themselves emotionally so that cops and other police personnel don't just survive the job but come out as effective and whole human beings afterward. This book is the essential guide not just to officer survival but to holding on to your humanity as you serve the public. Stress is a killer in many ways, and not just the stress from danger. The worst stress often comes from inside your own police organization. Read this book, and do everything it prescribes if you want a normal life during your career and after being a cop.

Level 2: Small-Unit Leaders

This section is intended for Corporals, Sergeants, and non-sworn supervisors.

All of the books at Level 1 are relevant to leaders at Level 2. However, leaders at this level will also benefit from reading three books a year from the following selections. When you are ready to promote, read three books from Level 3.

The Onion Field

Joseph Wambaugh. New York: Dell, 1987.

This true story of two young police officers in southern California in the 1950s raises many leadership issues such as how to handle stress, lead change when policy change is necessary, and develop leadership across all levels of a police department.

On Leadership

John Gardner. New York: Free Press, 1993.

This is the most important and most readable book available today on the subject of leadership. Gardner outlines the tasks of leadership and the qualities that make for better leadership. His most important insight is the necessity in any organization to have dispersed leadership. And to have leaders at all levels, the organization must invest time and money in growing leaders systematically. There are no easy answers when it comes to leadership but Gardner gives as many useful answers and insights as anyone who has written about the topic. This is the one book to read on leadership if you only have time to read one book in the next year.

Leadership: Enhancing the Lessons of Experience, 4th ed.

Richard Hughes, Robert Ginnett, and Gordon Curphy. New York: McGraw-Hill/Irwin, 2002.

The best leadership textbook available, this book will guide the reader through the levels of leadership in any organization from small work teams to the impact of the environment in which the organization exists. There is a section on followership, the role most police officers play at the start of a career but also will play even after they take on formal leadership roles. This book also contains very practical information in a set of appendices about how to develop specific leadership skills.

Small-Unit Leadership: A Common-Sense Approach

Dandridge M. Malone. San Francisco: Presidio Press, 1983.

The author was an army colonel who understood soldiers and how to build fighting teams that could trust each other in battle. He offers insights into how to build and lead effective small units that can work together under stressful conditions. This book is very readable and practical and easily translated into the realities of a police organization.

The Leadership Challenge: How to Keep Getting Extraordinary Things Done in Organizations

James M. Kouzes and Barry Z. Posner. San Francisco: Jossey-Bass, 1997.

This book offers a five-step approach to getting the very best, even extraordinary, performance from your followers. Based on research in the field with leaders on the line, the authors offer the following steps to achieving leadership greatness and reaching your personal best as a leader: Challenge the Process, Inspire a Shared Vision, Enable Others to Act, Model the Way, and Encourage the Heart. This book also dispels many myths about leadership such as only a few can lead. Almost anyone can learn how to be a better leader, including you.

Leadership in Police Organizations

Howard T. Prince II, John F. Halstead, and Larry M. Hesser, eds. New York: McGraw-Hill, 2003.

Developed for use by the IACP with support from the Office of Community Oriented Policing Services, U.S. Department of Justice, and available through the IACP, this book explores leadership at each of four organizational levels: the individual, the group or team, the leader, and the organization as well as its environment. A combination of readings, case studies, and personal journal entries help the reader learn how to apply the knowledge of leadership to his or her role as a leader in a police organization.

Defining Moments

Joseph Badaracco. Boston: Harvard Business School Press, 1997.

People grapple with defining moments at work that call their current values into question and shape their future values and character, depending upon how the issue is handled. Using real world examples from people in work organizations, this book demonstrates how this applies to you as an individual, your own organization, and even larger institutions such as the criminal justice system

Leading Up: How to Lead Your Boss so You Both Win

Michael Useem. New York: Crown Business, 1991.

Organizations that promote communication across levels of leadership and encourage influence to flow both ways between leaders and followers are ultimately far more effective than those that are driven from the top down. Using stories of leaders and followers from many different settings, this book teaches you how to handle both the follower and the leader role at the same time. It relates stories of courage in which followers risked trying to influence their bosses by leading up, and made a huge difference for the better in their organization. You can learn how to do the same and teach others to join in when you lead so your team is a winner.

Level 3: Organizational Leaders

This section is intended for Lieutenants, Captains, and non-sworn supervisors of more than one group. As above, all of the books at Levels 1 and 2 are relevant to leaders at Level 3. However, leaders at this level will also benefit from reading three books a year from the following selections. When you are ready to promote, read three books from Level 4.

Once an Eagle

Anton Myrer. New York: HarperTorch, 2001.

Two officers in the U.S. Army during the first half of the 20th century represent two very different types of leadership. Sam Damon is the caring, respected, dedicated public servant while his rival, Courtney Massengale, represents the selfish leader who uses other people to advance his own career at all costs. This story shows the effects of each style of leadership when it really matters to an organization and provides lessons for today's leaders in police organizations of all kinds.

On Leadership

John Gardner. New York: Free Press, 1993.

This is the most important and most readable book available today on the subject of leadership. Gardner outlines the tasks of leadership and the qualities that make for better leadership. His most important insight is the necessity in any organization to have dispersed leadership or leaders at all levels. To achieve this, the organization must invest time and money in growing leaders systematically. There are no easy answers when it comes to leadership but Gardner gives as many useful answers and insights as anyone who has written about the topic. This is the one book to read on leadership if you only have time to read one book in the next year.

Rules and Tools for Leaders

Perry M. Smith. Garden City Park, N.Y.: Avery, 1998.

If you have been looking for the cookbook approach to leadership, this is it. Easy to read, this book, written by an experienced U.S. Air Force general, offers practical steps to take in a wide range of commonplace organizational situations that you will likely face during a career in policing. The book also includes several checklists that will help you prepare to deal with several recurring leadership situations such as decision making, holding meetings and doing performance counseling.

Five-Star Leadership

Patrick L. Townsend and Joan E. Gebhardt. New York: Wiley, 1997.

The authors draw upon their experience in the U.S. Marine Corps and the leadership literature of the armed services to produce a great translation of the best ideas about leadership from the military. They have succeeded in making the ideas relevant to leaders in any organization. The book has a very strong emphasis on the ethical dimensions of leadership as well as the need for inspiring leadership. There is also a good section on how to be a better follower.

The West Point Way of Leadership: From Learning Principled Leadership to Practicing It

Larry R. Donnithorne. New York: Doubleday, 1993.

When the military draft was abolished in 1973, the U.S. Army and the other armed services had to learn new ways of leading volunteers. And West Point went through its own revolution in leadership that produced the most advanced system of leadership development in the world. This book shows police leaders how to go about growing their own leaders so there will be an unending supply of skilled ethical leaders for their department.

Leadership in Police Organizations

Howard T. Prince II, John F. Halstead, and Larry M. Hesser, eds. New York: McGraw-Hill, 2003.

Developed for use by the IACP with support from the Office of Community Oriented Policing Services, U.S. Department of Justice, and available through the IACP, this book explores leadership at each of four organizational levels: the individual, the group or team, the leader, and the organization as well as its environment. A combination of readings, case studies, and personal journal entries help the reader learn how to apply the knowledge of leadership to his or her role as a leader in a police organization.

Integrity

Stephen Carter. New York: HarperCollins, 1996.

Integrity is the absolute foundation of service to the public. What is integrity? In this book we learn that it requires three things: being able to tell the difference between right and wrong; acting on what you know is right, even if or especially when there is a cost to you; and stating openly that you are acting on your sense of what is right and what is not. This usually takes a large dose of moral courage, and always strengthens character to face future ethical choice situations. You can't be a leader for long without integrity.

Caught between the Dog and the Fireplug: How to Survive Public Service

Kenneth Ashworth. Washington, D.C.: Georgetown University Press, 2001.

Police organizations and their leaders are always in the public limelight, for better or for worse. And there are certain dynamics that occur in any organization that leaders at all levels must master in order to be most effective. This book is about how to lead in all directions, not just survive but thrive in a politicized environment, and, most importantly, never lose sight of the focus on serving the public. From police chief to patrol sergeant, you will find examples of things you have faced in this informative and often humorous book.

Co-Leaders: The Power of Great Relationships

David Heenan and Warren Bennis. New York: Wiley, 1999.

No leader can run a police organization by himself or herself. And many good leaders prefer to operate away from the spotlight. This book is about the importance of the leaders who make up the supporting cast for any really good leader who knows his or her limitations. Using examples from sports, business, politics, and the military such as George C. Marshall, Al Gore, Bill Guthridge, and others, the authors convincingly demonstrate that the best leaders surround themselves with other good leaders who don't necessarily need or want the chief's job

Level 4: Executive Leaders

This section is intended for the Command Staff—Chiefs, Assistant Chiefs, senior non-sworn supervisors, and staff members. As above, all of the books at Levels 1-3 are relevant to leaders at Level 4. However, leaders at this level will also benefit from reading the following selections.

Leaders: The Strategies for Taking Charge

Warren Bennis and Burt Nanus. New York: Harper and Row, 1985.

This book was an instant hit when it appeared in the mid-1980s; it still is a valuable resource for present and future police chiefs. The best top leaders use four strategies to guide their organizations. The strategies are gaining attention through vision, creating meaning through communication, building trust through positioning, and modeling self-confidence while constantly walking a tightrope in full view of the world. The best senior leaders create learning organizations that are constantly striving for improvement and creating a culture of innovation that minimizes resistance to change when faced with new challenges that must be quickly faced such as the war on terrorism.

Leadership

Rudolph Giuliani. New York: Hyperion, 2002.

One of the key relationships for any police chief is the one with his or her leader, either the strong mayor or a city manager. Mayor Giuliani was a strong mayor personally and positionally. He offers his ideas on leading in the public sector based on his experiences as a U.S. attorney and as mayor of New York City. His relationships with his police chiefs and other members of his leadership team offer lessons for chiefs of police who must make similar relationships work for the good of their department and their community.

It's Your Ship: Management Techniques from the Best Damn Ship in the Navy

Michael Abrashoff. New York: Warner Books, 2002.

This bold navy ship's captain proved that creating shared purpose is more powerful than leading based on your rank and positional authority. From the day he took over the USS Benfold, Captain Abrashoff instilled pride and ownership in a crew that had been dead last in the Pacific Fleet the year before in every way that counted. In two years the ship was the best in the fleet. Learn how by reading this book about leadership that is as applicable to police departments as it is to the U.S. Navy.

Requisite Organization

Elliott Jacques. Arlington, Va.: Cason and Hall, 1989.

How should your police department be organized and why? What are the behavioral effects of different kinds of structure on the people who do the work? Which structure will cause your people to perform best? How many layers of rank and bureaucracy would be best for your department? The answers are in this book. If you want to be an effective executive, then this is one book you should heed.

Organizational Culture and Leadership

Edgar H. Schein. San Francisco: Jossey-Bass, 1992.

This is the indispensable book for police chiefs and their command staffs. Leadership at the executive level is indirect and in many ways more difficult than leadership at the service delivery level. Leadership at the executive level is essentially about the creation and maintenance of an environment that fosters the desired attitudes, values, beliefs, and behaviors among the organization's members. This is known as the organization's culture. The ability to perceive the limitations of one's own culture and to develop the culture adaptively is the essence and ultimate challenge of leadership at the top of any organization. This book provides clear, practical steps to make your culture work better in service to your community. As the author writes, executive "leaders create and change cultures, [whereas] managers live within them. If they do not become conscious of the cultures in which they are embedded, those cultures will manage them."

Leading Change

John Kotter. Boston: Harvard Business School Press, 1996.

This is the most widely used book on leading change today. It offers a step-by-step approach to making change possible when it is needed in any organization. The key to making change is good leadership. The author offers one of the best discussions that can be found anywhere about the difference between leadership and management and when to use each. The book also offers a useful approach to developing the leaders you need to make change happen in your organization.

Hope Is Not a Method

Gordon R. Sullivan and Michael V. Harper. New York: Random House, 1996.

Faced with the task of reorganizing the U.S. Army after the end of the Cold War, then Chief of Staff General Gordon Sullivan and his staff had to figure out how to adapt the army to a changed world after the Kremlin took away the enemy of the previous 45 years. Real change takes more than hope, which is not a method of change. Instead, police chiefs and other leaders must do what the army learned. Strategic change requires a way for the organization to learn how well it is doing by creating feedback mechanisms that must be brutally honest, and the organization must focus on developing leaders for the future.

Leadership in Police Organizations

Howard T. Prince II, John F. Halstead, and Larry M. Hesser, eds. New York: McGraw-Hill, 2003.

Developed for use by the IACP with support from the Office of Community Oriented Policing Services, U.S. Department of Justice, and available through the IACP, this book explores leadership at each of four organizational levels: the individual, the group or team, the leader, and the organization as well as its environment. A combination of readings, case studies, and personal journal entries help the reader learn how to apply the knowledge of leadership to his or her role as a leader in a police organization.

Good to Great: Why Some Companies Make the Leap . . . and Others Don't

Jim Collins. New York: HarperCollins, 2001.

Are you satisfied with mediocrity or do you want your organization to be one of the great police departments? In this landmark study of businesses that go from good to great, the author discovered the critical ingredients that make a difference in such transformations. The leaders of the companies that went from good to great were neither flamboyant nor unusually charismatic. They were humble and dedicated. They picked and developed the people they needed to help them achieve greatness. They stuck to their core business and they built a culture of discipline so that they didn't need deadly bureaucratic controls. The same principles can be applied to police organizations to better serve the public.

LAPD Report on the Ramparts Division

Accessible at www.lapdonline.org

This is the self-study of the LAPD published in the aftermath of the Ramparts scandal that erupted in September 1999. It reveals much more than just a few rogue cops. Although the LAPD leadership didn't want to believe this was anything more than a case of a few 'rotten apples,' after months of scrutiny it was clear that the LAPD organizational culture was also a major factor in this breakdown of the criminal justice system and that it would take leadership to change the culture. Leaders in every police organization must be vigilant and strive to establish and maintain a strong culture of ethical leadership. The top leaders bear the primary responsibility for changing the culture, and that isn't easy for anyone to do

Police Unbound: Corruption, Abuse, and Heroism by the Boys in Blue

Anthony V. Bouza. New York: Prometheus Books, 1991.

Written by an experienced police chief who served in New York City and Minneapolis, this book may make you uncomfortable as it presents some of the realities of police work, but reading it will make you more alert to things that can and do happen in police work that could make your department less effective or even cost you your job. The author is also a big fan of police at their best and reminds us of the heroism and good that most police officers do every day, usually with little or no fanfare. He understands and presents much of the complex environment in which police work occurs, developing its significance for the top police leaders in any department.

Meeting the Ethical Challenges of Leadership: Casting Light or Shadow

Craig E. Johnson. Thousand Oaks, Calif.: Sage, 2001.

According to some leaders, the distinguishing feature of the leadership provided by police chiefs and their top team is to influence the ethical behavior of the other people in their police organization. Using relevant and engaging case studies, this book guides you through the exploration of the kinds of situations and challenges that your people will confront regularly as they try to do your bidding. It offers guidelines for leading ethically and for developing others to be more ethical in the public service.

The Cycle of Leadership: How Great Companies Teach Their Companies to Win

Noel M. Tichy and Nancy Cardwell. New York: Harper Business, 2002.

There is a worldwide shortage of good leaders, and police organizations are no exception. This book presents how a few good organizations develop leaders well. Defining the true test of a leader as developing several worthy successors, the authors describe how organizations can create the conditions in which people can learn about leadership from their experience as well as by other means. No other process is more important to police organizations in today's changing world.

The Handbook of Leader Development, 2nd ed.

Cynthia McCauley and Ellen Van Velsor, eds. San Francisco: Jossey-Bass, 2003.

The Center for Creative Leadership that produced this book is rated the best in the world at leadership education year after year. One of the reasons for its success is that it constantly assess what works and what doesn't. This handbook captures the best research and experience on developing leaders available anywhere. It tells you the critical ingredients in developing leaders as well as how to establish your own system for developing leaders within your organization.

Collaborative Leadership: How Citizens and Civic Leaders Can Make a Difference

David D. Chrislip and Carl E. Larson. San Francisco: Jossey-Bass, 1994.

How do you influence and lead people who aren't in your organization and over whom you have no formal position of authority? At the top of police organizations and at the level of service delivery in a community-oriented policing strategy, members of police organization's routinely have to try to lead people over whom they have no formal control unless the others parties have broken the law. Perhaps the purest form of leadership occurs when you have to use persuasion, negotiation, communication, and the power of your ideas to get others to willingly choose to follow you. This book is all about that kind of leadership, which is increasingly important to police leaders from the patrol officer to the police chief

Co-Leaders: The Power of Great Relationships

David Heenan and Warren Bennis. New York: Wiley, 1999.

No leader can run a police organization by himself or herself. And many good leaders prefer to operate away from the spotlight. This book is about the importance of the leaders who make up the supporting cast for any really good leader who knows his or her limitations. Using examples from sports, business, politics, and the military such as George C. Marshall, Al Gore, Bill Guthridge, and others, the authors convincingly demonstrate that the best leaders surround themselves with other good leaders who don't necessarily need or want the chief's job.

Terrorism and Counterterrorism: Understanding the New Security Environment

Russell D. Howard and Reid L. Sawyer, eds. Guilford, Conn.: McGraw-Hill/Dushkin, 2002.

Like everything else, the world of policing turned upside down on September 11, 2001. Since then police leaders have been engaged in learning how to deal with a new threat that affects all of law enforcement nationwide. What is terrorism and how can police organizations play an effective role in dealing with it? What are the leadership implications for police organizations of a global war on terrorism? How can police chiefs and other senior leaders create the changes needed for police organizations to adapt to new circumstances? This book is becoming the standard reference for all who want to win this war

Conclusion

If you take it seriously and commit yourself to being the best leader and most effective follower you can become, leadership development is a lifelong process. Continue to seek out opportunities to participate in formal leadership training, strive for increased leadership roles and responsibilities, and keep reading! A big part of your job as a leader also is to develop others for leadership. In fact, the biggest legacy you can leave is a group of younger leaders who are ready to take your place and become better leaders than you ever were.

You will have many opportunities to act like a leader when the situation needs leadership and you can provide what is missing. This may not always be easy, especially in situations where the others are mostly your peers. You must ask yourself first what the department and the community value and expect from those who serve the public interest. Then you must have the courage to act to influence others to achieve the goals of your organization, while developing individuals, teams, and the organization for the future. And you must also be a good follower by supporting your leaders as they seek to get the organization as a whole to make change, maintain an ethical climate, develop others, and accomplish the goals that will lead to a stronger and healthier community, which is why your police department and your job exist.

4

An Organizational Strategy Guide for an Effective Police Department

Introduction

Three Levels of Staffing

Organizational Services

Administrative Services

Information Management

Professional Standards

Operational Services: Patrol Services & Special
Operations

Organization Strategy: Conclusion

An Organizational Strategy Guide for an Effective Police Department

By Chief Larry Hesser (Ret.)
Georgetown, Texas

The International Association of Chiefs of Police



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Foreword

As your agency's new police chief, you have the responsibility as a leader of creating an environment in which the agency's most valued resource, your employees, will spend more than half of their waking hours working. Will it be an environment open to ideas, personal and professional growth, and where relationships can thrive and succeed? Your success as chief is dependent on the trust and relationships that you develop and nurture within the organization and in the community that your agency serves. You can't do everything or accomplish your organizational goals by yourself. You will need to be able to call upon other leaders within your department that hopefully are identified and dispersed at all levels -- sworn and civilian personnel.

You may be a chief that was promoted from within or coming from outside the agency. In either case, before you bring about substantive change you must learn and determine whether or not the current organizational culture coincides with that of the community it serves. Each and every organization and community has its own unique identity or culture. What needs to be determined is if the current structure accurately reflects the needs and expectations of the community, or one that needs to be changed.

Changing an agency's culture or organizational structure can be a daunting task, especially in policing which has many complexities. *An Organizational Strategy Guide for an Effective Police Department* should stimulate thoughts on how to bring about successful change. There are no easy answers or formulas in which to achieve positive change, which the author succinctly states. However, there are many strategies and ideas in this document that should be considered as you attempt to develop or redesign the organizational structure through value-based leadership.

I strongly recommend that you not only read, but also study and review the piece regularly, as you attempt to develop an effective policing agency to meet the multitude of ever-changing challenges and demands that confront our profession. I'm confident you'll find *An Organizational Strategy Guide for an Effective Police Department* insightful and helpful.

The police chief community welcomes you and is here to support and encourage you along this important journey. We want you to succeed in your chosen profession. The International Association of Chiefs of Police, Services, Support, and Technical Assistance for Smaller Police Departments Project and the New Police Chief Mentoring project are examples of our commitment to you, the new chief!

Harvey Sprafka
Chief of Police (Ret.)
Knoxville Police Department

Harvey Sprafka is an Advisory Board Member to the Services, Support, and Technical Assistance for Smaller Police Departments for The International Association of Chiefs of Police.

Preface

In 1991 Mark H. Moore and Darrel W. Stephens wrote a monograph entitled *Beyond Command and Control: The Strategic Management of Police Departments*. In this book the authors introduce the concept of “corporate strategy” to policing. Professor Moore and Chief Stephens quote from William Spelman’s book, *Beyond Bean Counting: New Approaches for Managing Crime Data*, that “this concept has proven useful to private sector executives facing uncertain and demanding environments and that perhaps it could be useful to police executives who now face the similar challenges.”

Professor Moore and Chief Stephens suggest that the “corporate strategy” might be “one answer, as an analytical tool, for getting police organizations on the right track.” Moore and Stephens’ monograph goes on to quote R. Edward Freeman that the concept of corporate strategy is about “setting some direction for the organization based on an analysis of organizational capabilities and environmental opportunities and threats.”

Phyllis F. Schlesinger and Leonard A. Schlesinger wrote Chapter 8, entitled “Designing Effective Organizations,” in Allan R. Cohen’s book *The Portable MBA in Management*. As stated in this chapter, “To determine the best organizational design for their purposes, managers [*chiefs of police*] must answer many important questions. How do leaders who want to keep ahead of the competition [*make the greatest contribution to the communities the police serve and*] develop the right organization to support their vision? How do they organize in order to ensure that the necessary tasks are performed, the necessary people are in place, the organization has appropriate channels of communication, and the climate of the organization is conducive to achieving the desired results? In short, how do managers [*chiefs of police*] design an organization [*a police department*] to be effective in an ever changing, competitive environment [*community*]?”

Although designing effective police organizations through the “corporate strategy” concept is not all that common, it has been done. Police departments are very complex organizations and every community served by a police department is different. Therefore, this document, entitled “An Organizational Strategy Guide for an Effective Police Department,” is not intended to be “the answer” to designing an effective police department, but food for thought and a guide for the process of designing a police department that meets the demands of our challenging society.

To paraphrase Phyllis and Leonard Schlesinger, police leaders, at any level in a police organization, can use principles to design and build a police organization that operates effectively and efficiently in any community, even when the environment is characterized by change and uncertainty. Influencing the tasks, people, and organizational structures and processes so that they are consistent with each other and with the environment is difficult, but leaders who can do so will develop the adaptive cultures necessary for long-term effectiveness. Constantly monitoring organizational structures and processes can be time-consuming, but the benefits in terms of effectiveness are worth the effort.

Acknowledgments

The organizational design presented in this document incorporates several different approaches from around the country and can be adapted to the circumstances in any police department. The concept is value driven, geared to desired results, and based on the tenet that, in partnership with the community, the police can substantially curb criminal activity, disorder, and fear. Most of the material in this model is not original; it has been adapted from the efforts and accomplishments of many individuals and groups, including those listed below. We appreciate their pioneering work and intend to build upon their efforts.

Police Departments and Public Safety Departments:

- Baltimore County Police Department (Maryland), led by Chief Neal Behan
- Boulder Police Department (Colorado), led by Chief Tom Koby
- Champaign Police Department (Illinois), led by Chief Donald G. Hanna
- Colorado Springs Police Department (Colorado), led by Chief Lorne Kramer
- Houston Police Department (Texas), led by Chief Lee Brown
- Lakewood Department of Public Safety (Colorado), led by Director Ronald G. Lynch
- All employees of Longmont Police Bureau (Colorado), led by Chief Larry M. Hesser
- Madison Police Department (Wisconsin), led by Chief David Couper
- Newport News Police Department (Virginia), led by Chief Darrel Stephens
- City of Georgetown, Texas: The City Manager and the Management Team; Command Staff of the Police Services Division, led by Chief Larry M. Hesser

National Agencies:

- The Police Executive Research Forum
- The National Organization of Black Law Enforcement Executives
- The International Association of Chiefs of Police: Services, Support and Technical Assistance to Smaller Police Departments

Educators:

- Herman Goldstein, University of Wisconsin--Madison: Problem-Oriented Policing
- The staff of the Behavioral Science and Leadership Department of the United States Military Academy at West Point

A special thanks to other academicians around the country that participated - they are too numerous to list.

Part I: Introduction

Overview

There are changes taking place in our society that are creating issues and concerns that drastically affect the policing profession, including the following:

- Shifting of, and uncertainty of, public financing of policing
- New migration and immigration trends
- Concerns for "quality of life," such as:
 - ◆ Safe and clean physical environment, free of crime and fear of crime
 - ◆ Appreciation of racial and cultural differences
 - ◆ Reduced unemployment and poverty
 - ◆ Balance of power and influence
 - ◆ Functional families—responsible parenting and responsible youth
 - ◆ Responsive and challenging school environment
 - ◆ Meaningful recreational resources
 - ◆ Jobs for youth
 - ◆ Healthcare
 - ◆ Adequate housing
- Great influx of information and data, requiring methods of processing same
- Impact of narcotics and substance abuse on families, communities, business, industry, and crime rate
- New high tech crimes
- Trend toward collaboration versus cooperation in response to criminal matters
- Homeland security

The multitude and the complexities of the changes facing policing are creating many challenges for police agencies. The traditional design of police departments is proving inadequate for managing change and maintaining organizational stability and effectiveness. Organizational improvement is too slow in transition.

To paraphrase Ed Tulley in his article, "The New Future Implications for Law Enforcement," *FBI Law Enforcement Bulletin*, July 1986, our challenge is to create a management system and leadership environment that foster the growth of people and offer them the freedom to fully apply their mental talents to the problems at hand. In essence, policing must experience a reformation to effectively perform its purpose in the future.

A police department represents a substantial public investment directed toward the preservation of peace and order in any community. Citizens expect a full return for their annual investment of authority and multi-million dollar assets. Faithful and wise execution of this tremendous public trust is no trivial matter. It requires wise executive stewardship.

Police departments have battled with the age-old problems of improving effectiveness, improving the quality of service to the public, responding to the ever changing environment, and improving the quality of life in the workplace while living with long-term resource scarcities. The staff of each police department, working with members of the community, should put together a plan to address these issues. As recommended in this publication, the staff should conduct comprehensive reexaminations of the overall department and the subdivisions within the department. For each of these reviews, staff should identify problems that need to be addressed and formulate statements that cover the following areas: purpose, mission, values, philosophy, principles, processes, staffing, goals and objectives, success areas, and success factors. This review process will result in the development and adoption of an organizational strategy as the foundation of short-term and strategic (long-term) planning.

The optimal organizational strategy should be advantageous for both the police and the community being served. All members of the police department should be familiar with and consistently help to implement the strategy developed. This strategy explains to employees and citizens what is important to the department, what the department proposes to do, and how it proposes to do it. A major purpose of designing the department's organizational strategy is to decrease uncertainty and minimize organizational dysfunction.

The organizational strategy for an effective police department operates in three areas.

1. **Strategic**—the organization's overriding philosophy
2. **Tactical**—that philosophy in action
3. **Personal**—the philosophy manifested in the behavior of each employee

The organizational plan is not designed or intended to control employees. Instead, it gives them permission to do what they do best, resulting in their courage and confidence to act.

The organizational strategy for an effective police department, developed in partnership with the community and made public to the citizens, helps eliminate the veil of mystique the policing profession sometimes projects. It is the obvious framework for generating awareness and developing a common understanding between the community and the police. It is believed that if the department's overall plan is developed and accepted by departmental personnel, civic leaders, and the community at large, with a deep commitment to its implementation over an extended period of time, the vision of the department will become a reality.

In pursuit of a vision, the most important function of the police department's executive staff becomes the continuous process of examining the department's plan; assessing it against its present and future internal and external environments; and redesigning its components as appropriate by setting, revising, and achieving established goals and objectives.

It is important for people to realize that redesigning the department for optimal effectiveness is an evolving planned change process. The effort is a working, growing, incremental process, instead of an act not completed. The process is continuous and dynamic and will never be completed.

Collaboration with City/Town Government

Clearly, such a reformation is not solely the responsibility of police services. In order for the basis of empowerment and service delivery to be established by the police, the culture of the police department must be developed from and congruent with the mission, vision, values and guiding principles of the city or community being served. The city's mission statement is shown in Figure 1. It is from this global community mission that the police department mission, presented in Part II, was developed.

The mission statement of this city is developed in conjunction with its agreed upon values and principles. The units of government within that jurisdiction, including the police department, must be in sync with the global values and principles of the city as well as with its mission statement. Figure 2 presents a statement of the values and principles of this city.

CITY MISSION STATEMENT

The Mission of this City is to initiate action that will continually enhance the quality of life and the city's unique character by preparing for the future in the following areas:

- ◆ Preservation of the city's rich heritage and natural resources;
- ◆ Promotion of well planned development, cost-effective professional management, and competent, friendly services; and
- ◆ Protection of its citizens, the environment, and all other assets.

Figure 1

CITY'S VALUES AND PRINCIPLES

We, the employees of this city share a dedication and commitment to:

TRUST
A high level of trust between our community and each other. By accepting accountability, acting reliably and responsibility, and demonstrating loyalty, we preserve an environment that supports sincerity, honesty, and ethical behavior.

COMMUNICATION
The use of effective communication through listening and understanding, with care and compassion, to the diversity in our community and our organization. By maintaining and projecting an approachable, open-minded attitude and respecting appropriate confidentiality, we ensure open, two-way communication.

TEAMWORK
The effectiveness of teamwork in achieving our common goals. With flexibility, support, competent leadership, fairness, and respect for cultural and social diversity, we cooperate in an atmosphere of interdependent. While always respecting the value of the individual, we recognize the importance of the common good of our community and organization over that of any one of its members.

PROFESSIONALISM
A high standard of professionalism, which begins with dedication to friendly service through the empowerment of competent, well trained employees. We encourage innovative ideas and solutions, growth of self-esteem, and pride in our work and accomplishments. Our demonstrated integrity provides positive role models for our community.

QUALITY OF LIFE
Improving the quality of life by maintaining an equitable balance between work and family, promoting the democratic process, and treating our fellow employees and citizens with the respect and providing the support that we, in turn, expect. We work to preserve the rich heritage and tradition of our community, to protect the health and safety of, and advocate justice for, all its members. With a positive attitude, respect for others' time and priorities, and use of appropriate humor, we ensure an attractive work and living environment.

The Police Department's Global View

Overall Mission, Purposes, Values, and Vision

Edgar H. Schein, in his book *Organizational Culture and Leadership*, defines an organization's culture as a pattern of shared basic assumptions that the group has learned as it solved its problems of external adaptation and internal integration, that has worked well enough to be considered valid and is, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems.

It is the role of an organization's leader to influence the desired culture by creating it, sustaining it, or changing it. The desired culture is shaped by the organization's mission, specific purposes, core values, vision, and philosophy and must be congruent with the culture of the city or town being served. The below-stated mission, specific purposes, core values, and vision of this police department are written to be consistent with this city's mission, core values and guiding principles presented above.

Mission and Purposes

The mission of the police department is to protect and serve the community's quest for a peaceful and safe existence, free from fear, and with democratic values applied equally to all citizens.

The specific purposes of the department are as follows:

- To contribute to accomplishing the broad goals of the city;
- To prevent and control conduct widely recognized as threatening to life and property (serious crime);
- To aid individuals who are in danger of physical harm, such as the victim of a criminal attack or disaster;
- To protect constitutional guarantees, such as the right of free speech and assembly;
- To facilitate the safe movement of people and vehicles;
- To assist those who cannot care for themselves: the intoxicated, the addicted, the mentally ill, the physically disabled, the old, and the young;
- To resolve conflict, whether it is between individuals, groups of individuals, or individuals and their government;
- To identify and work collaboratively to resolve problems that have the potential for becoming more serious problems for the individual citizen, for the police, or for the government; and
- To interact with the community to generate mutual understanding, thereby facilitating public support and involvement.

Core Values

Values are the most fundamental beliefs by which the organization operates, and they serve as a basic foundation on which leadership and management are provided and decisions are made. The Organizational Strategy of the Police Department articulates the policing or law enforcement value structure in terms of the values of the city.

In formulating its organizational strategy this police department has defined a value as that which is important and fundamental to life and to the organization. The values established by this organization are non-negotiable, are teachable, and are constantly held before the employees and the community. The value areas that this department identified, with a brief description of each, are listed below.

- Human life: believing that every life is precious.
- The principles embodied in our Constitution and the authority of federal, state, and local laws: believing that democratic values apply to all.
- The person: believing that being valued is a basic individual need.
- The strength of personal character: believing that integrity is integrating beliefs with behavior.
- The community we serve: believing that a competent community can develop and maintain a peaceful and tranquil environment in which to live and prosper.
- Individual leadership: believing that each employee is a leader in the department and in the community.
- Quality of life in the workplace: believing that if employees enjoy working for the Police
- Department: they will provide quality service to each other and to the public.

The Vision

After identifying its mission, principles, and values, the department developed this vision statement that concisely encompasses the other above areas:

Competent Communities through Stewardship

Organizational Design and Functional Areas

Organizational Design

To assure quality internal and external results, the Police Department embodies a systems approach to designing and managing the organization. A systems approach, for this purpose, is defined as "interacting processes networking together utilizing information in a logical manner for rational decision making to achieve desired results." To support the systems approach, the police department is organized into five sub-systems:

1. The Organizational Sub-System

That which provides the integrating influences necessary to keep the Information Management, Human Services, Administrative, and Operational systems on track.

2. The Information Management Sub-System

The automated systems or techniques that supply the information necessary to manage and improve the delivery of police services.

3. The Human Services Sub-System

The human resources and all related actions needed to create, staff, and maintain all the sub-systems.

4. The Administrative Sub-System

That which provides the support for managing the purpose of the organization.

5. The Operational Sub-System

The branch of knowledge and operations that produce the desired product or service to the public.

All concerns and issues addressed by the police department are approached according to and through these five sub-systems. Therefore, the organizational structure is designed accordingly.

Five Functional Areas

The products to be provided by the Police Department are divided into five functional Divisions of work.

1. Organizational Services

Charged with the responsibility of providing the integrating influences necessary to keep the other Divisions on mission.

2. Division of Administrative Services

Charged with the responsibilities of planning, budgeting, procuring, employee compensation, and personnel management.

3. Division of Information Management Services

Charged with the responsibilities of collecting, retaining, and analyzing information, and providing feedback and data necessary to manage the Department and resolve problems related to public safety.

4. Division of Professional Standards

Charged with the responsibilities of assuring quality customer service through employee recruitment and selection, internal investigations, employee development, promotion and transfer processes, employee recognition, directives, audits and surveys.

5. Divisions of Patrol Services and Special Operations

Charged with the responsibilities of responding to emergency calls; managing calls for service; conducting initial investigations; developing relationships and partnerships with the people living and working in their assigned areas of responsibility; identifying and resolving problems; minimizing criminal activities through directed activities, problem solving and successful prosecution of criminal offenders.

Parts **III through VII** of this document provide more in-depth information on each of these major Divisions, including each Division's purpose, functional goal and objectives, philosophy, guiding principles, processes, and success measures.

Part II: Three Levels of Staffing

In a police organization, major elements hold certain roles and responsibilities that are essential to the success of the organization. In many police organizations, the roles and responsibilities are divided into three primary interdependent levels: **Executive, Management, and Service Delivery.**

Although police organizations are involved in a team effort, individuals are regularly held accountable for fulfilling the specific roles and responsibilities of their assigned levels. Roles and responsibilities in this document speak to the proper action of a person, not to the function or purpose for a unit to exist. In addition to roles and responsibilities, activities important for success are listed below for the three levels of staff in the Department. Four general categories of activities (planning, organizing, controlling, and leading) apply to each staffing level. What varies, as seen below, is the detail of the activities in each level.

Executive Level: Chief of Police

Role

- ◆ To develop values, philosophies, principles, policies and strategies that are supported by the community and the department and that afford the department the capacity to fulfill its agreed upon mission.

Responsibilities

- ◆ The list below includes values, philosophies, principles, policies, and strategies that are supported by the community and the department
 - View the organization as a total entity operating in a larger environmental setting.
 - Accurately assess the climate of the organization and the community.
 - Establish a vision and clearly define the mission and goals based on today's needs and future forecasts.
 - Recognize and adapt the department to internal and external forces for change.
 - Formulate and update the on-going overall strategies of the department on an as needed basis.
 - Establish goals for implementing department values, philosophies, and principles that provide for an improved quality of life in the community and in the work place.
 - Assure a structure and systems that address division and community needs; define management objectives, responsibilities, authority; measure performance; and utilize feedback to enhance results.
 - Establish mechanisms that recruit the most competent personnel to join the department team; increase the competence of all employees; develop and promote our own personnel to higher levels of responsibility; and recognize employee and team contributions to the organization's success.
 - Provide an atmosphere that encourages teamwork and mutual support recognizing that achievement of department goals is a higher priority than a self-centered work product.
 - Establish a climate that facilitates an open sharing of information and resources while encouraging creative and responsible risk-taking with accountability.
 - Assure and hold employees accountable to standards of conduct and performance that have foundations in sustained professional excellence regardless of adverse internal or external conditions.

- Within the governmental system, to the extent possible, provide the resources necessary to achieve department objectives (in terms of personnel operating expenses, equipment and capital assets).

Activities

- ♦ **Planning:** Analyzing external climate, data and information; forecasting; establishing goals; scheduling; budgeting; establishing the mission, values, philosophy, and principles; developing policy at the department level.
- ♦ **Organizing:** Developing department structure, establishing relationships, delegating responsibilities and authority.
- ♦ **Controlling:** Establishing performance standards, measuring performance, evaluating results, and correcting undesirable performance.
- ♦ **Leading:** Influencing others, initiating, decision-making, communicating, motivating, selecting people, and developing personnel.

Management Level: Division Commanders

Role

To turn the values, philosophies, principles, policies and strategies into some form of action to achieve desired results.

Responsibilities

- Communicate accurately the values, philosophies, principles, policies, and strategies of the department while at the same time being sensitive to the needs, issues, and concerns of employees through positive interaction and communicate them to the executive level.
- Translate the values, philosophies, and principles into strategies that insure quality service delivery through achievement of operational objectives.
- Coordinate the work efforts of staff and peers to achieve desired results.
- Organize and assign all available resources for optimum results.
- Requisition resources when needed and ensure that they are used effectively to accomplish unit objectives.
- Be sensitive to work and people conflicts and proactively seek solutions to resolve any conflicts.

Activities

- ♦ **Planning:** Analyzing internal climate, supporting data and information, forecasting, establishing objectives, scheduling, budgeting, and developing strategies, developing systems, establishing procedures at the Division level.
- ♦ **Organizing:** Establishing staffing levels, balancing resources, delegating responsibilities and authority, identifying needed skills and skill levels.
- ♦ **Controlling:** Establishing performance standards, measuring performance, evaluating results, and correcting undesirable performance.
- ♦ **Leading:** Influencing others, initiating, decision-making, communicating, motivating, selecting people, and developing personnel.

Service Delivery Level

First Line Supervisor

Role

The First Line Supervisor's role is to translate the values, philosophies, principles and strategies into on-the-job compliance.

Responsibilities

The Supervisor's responsibilities are to:

- Mediate between management and service delivery staff and;
- Coach, direct and control methods, techniques, and technical skills that deliver the services necessary to fulfill the mission and specific purposes of the Department.

Activities

The supervisors of the service delivery staff are engaged in a number of activities.

- ◆ **Planning:** Analyzing operational data and information, forecasting, developing recommendations for constructive changes, establishing operational programs and strategies, scheduling, budgeting at the service delivery level.
- ◆ **Organizing:** Balancing resources, delegating responsibilities and authority, maintaining relationships.
- ◆ **Controlling:** Measuring performance, evaluating results, and correcting undesirable performance.
- ◆ **Leading:** Influencing others, initiating, decision-making, communicating, motivating, and developing personnel.

Service Delivery Staff

Role

The Service Delivery Staff's role is to provide the services that fulfill the mission and specific purposes of the Department.

Responsibilities

The Service Delivery Staff has numerous responsibilities, including the following.

- Afford all citizens highly efficient and professional protection and service.
- Accept responsibility for crime prevention/awareness, recognizing that it is more desirable to deter crime than react to it.
- Investigate crime and incidents impartially using every legal means and make the truth known.
- Strive for voluntary compliance to laws and ordinances through the use of enforcement, public education, and role modeling.
- Promote an attitude of friendliness, helpfulness, tact, understanding, and caring in the performance of assigned duties.
- Communicate cooperatively and openly with the community.
- Communicate openly within the organization; be a team player and offer mutual support to facilitate the accomplishment of higher goals of community protection and service over individual accomplishments. This same spirit of inter-organizational cooperation is carried further to cooperate with other law enforcement agencies and other governmental units.

- Identify problems develop solutions, and implement strategies that attain desired results to crime, fear, disorder and incidents of concern brought to the attention of the police.

Activities

The service delivery staff is engaged in a number of activities.

- ♦ **Planning:** Analyzing issues and concerns; forecasting; developing strategies and scheduling at the point of serving the community in terms of emergency calls, calls for service, directed activities, and problem-solving.
- ♦ **Organizing:** Establishing partnerships, balancing community resources, and delegating responsibilities around issues and concerns in the community with appropriate community resources.
- ♦ **Controlling:** Establishing performance standards, measuring performance, evaluating results, and correcting undesirable performance around community issues and concerns.
- ♦ **Leading:** Influencing others, initiating, decision-making, communicating, and motivating.

The roles and responsibilities described in the three interdependent levels of staffing listed above are true to Organizational, Administrative and Operational functions of the Department. These functions are described in more detail in Parts **III, IV, and VII**.

Authority

The philosophy of authority subscribed to in the Department is that of three levels:

Report before Acting

Act, then Report

Complete Authority (meaning responsible for the overall results)

The level of authority can move from reporting to complete authority as individuals exhibit the ability to accept responsibility.

Participation

Effective management, supervision and service delivery include the active participation of all department members in the development of purpose, values, philosophy, principles, and strategy design and implementation. Each of these organizational levels must provide a process, utilizing the Department's organizational philosophies and principles, which encourage employees and citizens to become involved.

Guiding Principle

The overall guiding principle relevant to staffing roles, responsibilities, and activities is to manage processes and provide leadership to the people involved.

Part III: Division of Organizational Services

Purpose

The Division of Organizational Services is congruent with the Office of the Chief of Police. It is a Division in its own right with the responsibility to oversee all organizational services throughout the Department. Being the Office of the Chief of Police, it also serves an umbrella function, overseeing the other Divisions in the Department (see Parts IV through VII) to ensure that they are on track.

Thus, the primary purpose of this dual role Division is to provide the integrating influences necessary to ensure that the Divisions of Administrative Services, Information Management, Professional Standards, and Operations are effectively fulfilling their responsibilities.

Functional Goal and Objectives

Goal

The functional goal of the Organizational Services Division is to create and maintain an organizational culture where the leadership treats employees as customers and views them as local experts in the pursuit of quality police services with the expectation that the employees will do the same in their relationships with the public.

Objectives

1. To accomplish the above goal for the Organizational Services Division, the following functional objectives were developed.
2. To develop and maintain an organizational culture characterized by change, flexibility, self-management, and continuous improvement, while maintaining stability and security.
3. To create team spirit and harmony among divisions, sections, units and individuals.
4. To turn the mission statement into a guiding force for the entire organization.
5. To get the employees aligned with a strategy so that everyone in the organization is as committed to the strategy as those who formulated it.
6. To unleash the creativity, resourcefulness, talent, and energy of the employees and the community.
7. To assure honest and on-going feedback for course correction in pursuit of the organizational mission.
8. To avoid the failures of the past in our profession.
9. To attract and keep quality personnel through job satisfaction, motivation, and performance.
10. To enhance employees' opportunities to participate in decision-making processes.
11. To improve communication in working relationships between divisions, sections, units and individuals.
12. To afford all employees self-management opportunities.
13. To assure that the systems and processes are relative to the chosen values, principles, and philosophies and are effective toward quality services.

Philosophy

The police department's philosophy for keeping the systems of the organization in tune with the internal and external environments is based on the idea that policing is the management of information for a result that is of value to the individual customer and the public at large. Being responsive to the demands of the day means focusing primarily on processes (whole pieces of work) rather than tasks, jobs, people or structure.

We believe that motivating people through ethical leadership and enabling them to manage themselves achieve the best results.

We believe in individualism that is continually and strongly balanced with the concept of "competent community". The competency of a community can be measured through the application of sound principles that have proven effective over time. A competent community can be actualized through the attitude of stewardship.

Guiding Principles

As the employees in this police department reviewed the framework of the department and of each division, they adopted "guiding principles" relevant to each environment. They identified a number of principles that serve as guides to the actions and behaviors in the units being reviewed.

- Many problems facing police departments result not from the departments' organizational structure, but from their structure of systems and processes and the absence of dispersed leadership.
- Employees look beyond functional units to a set of activities that, taken together (a process), produces a result that is of value to a customer.
- When establishing missions, programs or tasks, the objectives, standards of success, and duration are pre-determined.
- Processes are developed in terms of performance, quality, service, speed, and cost.
- In order to meet the policing demands of quality, service, flexibility, and low cost, processes must be kept simple.
- Viewing policing, as information management does not necessarily change what we do, but means rearranging what we do and how we do it.
- Employees actually perform a whole job, a process, or a sub-process that by definition produces a result that somebody cares about.
- Employees perform whole processes where knowledge, skills, and time permit.
- The focus of employees is on customers—and satisfaction is their aim.
- Employees are permitted and required to think, interact, use judgments, and make decisions.
- Employees are self-directed within the boundaries of their roles and responsibilities within the department, agreed-upon timelines, goals/objectives, and standards of success.
- Employees work best within a supportive working environment.
- Employee participation in the decision making process increases their freedom and improves the quality of the decisions. At the same time, holding employees accountable for the decisions they make is critical to sustained superior performance.

- Valuing the person is a basic truth of life that seeks to apply a universal principle to the workplace: "People function best when the environment in which they live and work incorporates the values of **Acceptance** (affirmation), **Dignity** (appreciation), and **Respect** (recognition)," (Alderson 1983). Woven into every human relationship, whether in the workplace or in another area of life, is the need to have others acknowledge and affirm our presence, appreciate us as a person, and recognize and respond to the contributions we make.
- For police-public partnerships and cooperation to flourish, the police must respect the citizens and the public must trust the police. This is best ensured by the personal character and competency of each employee and optimum openness of the department in its operations. A general perception and reality of openness must pervade the police organization.
- The ability of the police to effectively perform their duties is dependent upon public approval of police existence, actions, and behavior, as well as securing and maintaining the public's respect.
- Primarily, service delivery personnel perform the tasks for which police organizations were created. They are the operating professionals. Supervisors, managers and executives exist to create and maintain a quality of life in the workplace that is necessary for service delivery personnel to accomplish the police mission.
- The evaluation of supervisors, managers and executives should be based on the improvement of staff, structure, systems and strategies in the achievement of the Department's pursuit of fulfilling its public value.
- The ability of a police agency to perform its functions in an effective and efficient manner is based on its ability to establish and communicate the values, principles, mission, and philosophies of the organization and its ability to align the organization's structure, systems and strategies with those values, principles, philosophy statements and mission.
- Since employees are greatly influenced by decisions that are made and strategies that are established, it is important for them to be able to share their thoughts and ideas in a process utilized to problem solve and/or reach decisions realizing the decision will be made by the individual(s) with appropriate responsibility and commensurate authority.
- The police at all times should maintain a relationship with the public that gives reality to the historic tradition that the police are the public and that the public is the police; the police are the only members of the public who are paid to give full-time attention to duties that are incumbent on every citizen in the interest of community welfare.
- For many reasons, some specialization of work is necessary. Specialization should be created only when vitally necessary and when the mission, goals, and objectives can be clearly defined. When specialization is created, the organization should ensure that the specialists and generalists who serve the same citizens work closely together on the common problems. This will tend to ensure a unity of effort, resources, and the effective service to a common goal.
- A well-informed citizenry is vital to the effective functioning of a democracy. Police operations profoundly affect the public and therefore arouse substantial public interest. Likewise, public interest and public cooperation bear significantly on the successful accomplishment of any police purpose. The police should make every reasonable effort to serve the needs of the media in informing the public about crime and other police problems. This should be done with an attitude of openness and frankness whenever possible. The media should have access at the lowest level in a department to personnel who are fully informed about the subject of a press inquiry. The media should be told all that can be told that will not impinge on a person's right to a fair trial, seriously impede a criminal investigation, imperil a human life, or seriously endanger the security of the people.

Processes

Structure

Because of the complexity of the issues facing the Police Department and because effective communication between functions is critical to the services we provide, the structure of the Department is established around the idea of **product** and the **processes** that produce the desired result. The structure is grouped in terms of responsibility toward a specific service and/or product. The **product** orientation of the structure will enable the department to:

- More easily respond to the increased environmental uncertainties;
- More effectively process the increased amount of information and data necessary to make decisions;
- Manage and apply the ever increasing knowledge base of our profession and the multiple and complex skills demanded of us.

Five Functional Areas

The products to be provided by the Police Department are divided into five divisions of work defined in Part I: Organizational Services, Division of Administrative Services, Division of Information Management Services, Division of Professional Standards, and Divisions of Patrol Services and Special Operations. Each of these functional areas is further discussed in **Parts III through VII**.

Success Measures

Success Areas

To determine if the organizational function is achieving desired results, we look at qualities that we call success areas and determine the level to which they are present. The department's success areas that can be measured by this division are Competency, Confidence, and Trust.

Success Factors

The division further chooses specific issues or items of interest to measure as indicators of success. These success factors might include the following.

- Personal commitment to self-development through increasing knowledge and improving skills
- Loyalty
- Kindness and courtesy
- Seeking first to understand
- Keeping promises
- Clarifying expectations
- Being willing to admit our mistakes and make up for them
- Accepting feedback
- Leading and teaching by example, on and off duty

Part IV: Division of Administrative Services

Purpose

The primary purpose of the Division of Administrative Services is to provide the support for managing the mission of the department.

Functional Goal and Objectives

Goal

The functional goal of the Administrative Services Division is to enable the department to be change-oriented, flexible and adaptive in overcoming problems in pursuit of our goals with minimum organizational instability.

Objectives

- To accomplish the above goal for the Administrative Services Division, the following functional objectives were developed.
- To effectively manage the resources and operations of the department relative to the city's goals and objectives through the budget process.
- To effectively manage the planning process.
- To accurately measure and report our progress toward our goals and objectives.
- To assure that management retains critical management rights in regard to personnel issues in order to direct the department effectively.

Philosophy

The police are not autonomous. The public gives us tax dollars and authority by law to fulfill our purpose. We must remain accountable to both the citizens and the law. The police department is held to account through the planning, budget, policy, and feedback processes. Full accountability is best assured through combined public and police participation processes.

Guiding Principles

The following principles serve as guides for the actions and behaviors in the Administrative Services Division:

- Developing the budget, reflecting operational expenditures, investing in improvements of future performance of the organization, and measuring organizational activities and accomplishments are critical to controlling the resources and operations of the department and accounting to external authorities.
- An effective planning process is systemic and based on the values of the organization.
- Planning is essential to effective change.
- Decision-making is improved by bringing together the expectations about the future and data/information from the past.
- The team approach is essential to effective planning.
- Accepting all people as valued individuals and treating them with dignity and respect are important factors to keep in mind as policy and strategy decisions are made.

Processes

The Division of Administrative Services identified the following processes:

- Planning—one-year, three-year, and five-year planning: Facilitate the development of department goals, objective, strategies and measures and provide oversight to the annual citywide reporting process.
- Budget—Provide overall management of the department budget process and procure all purchase of supplies and equipment in cooperation with requesting employees.
- Employee Management—Provide management and oversight for all compensation issues to include salary, benefits and FLSA issues.
- Directives—Provide organizational oversight and management of the Organizational Strategy. Write and publish all Personnel Orders as necessary for all personnel actions in the department.
- Support—Purchase, improve, maintain and provide maintenance for all department facilities and equipment.

Success Measures

Success Areas

To determine if the administrative function is achieving desired results, we look at qualities that are called success areas and determine the level to which they are present. This Department has identified the following success areas to be measured by the Administrative Services Division:

- Stability
- Improvement through change, and
- Problem solving

Success Factors

Each Division further chooses specific issues or items of interest to measure as indicators of success. The success factors for the Administrative Services Division are as follows:

- The allocation and deployment of resources and programs in operation are effective.
- The planning process is effective.
- The progress towards our goals and objectives are accurately measured and reported.
- The quality of service to the public is by and large acceptable.
- The quality of service to the employees is by and large acceptable.
- The salaries and benefits are fair and equitable.

Part V: Division Of Information Management

Purpose

The purpose of the Division of Information Management is to provide the automated systems or techniques that supply the information necessary to manage and improve the delivery of police services.

Functional Goal and Objectives

Goal

The functional goal of the Information Management Division is to facilitate the acquisition, storage, analysis, and utilization of data and information necessary to manage the department and resolve community problems related to public safety.

Objectives

To accomplish the above goal for the Information Management Division, the following functional objectives were developed:

- To provide the best possible configurations and operation of the system given the level of resources allocated.
- To provide information appropriate to the tasks in a complete, accurate and timely manner.
- To provide for the exchange of accurate information about crime, the community, and policing.

Philosophy

We believe that there are three levels of information important to managing a police department: strategic, management, and service delivery. We further believe that effective decisions are dependent upon relative, timely, accurate and readily accessible data and information.

Guiding Principles

The following principles serve as guides for the actions and behaviors in the Information Management Division:

- The best decisions are made when data and logic, not emotions, drive the decision.
- Decisions are only as good as the information upon which they are based.
- The impact of computers on effective decision-making is the quality of information produced, as well as the quantity.
- Systems planning and integration are critical to effective information management.
- The foundation for an effective information management system must be built on and relative to the chosen philosophy for delivery of police services.
- The information provided by an information management system must match the information required to accomplish desired tasks.

Processes

The Division of Information Management identified the following processes for all data and information relative to the delivery of police services:

- Collection
- Retention
- Retrieval

The above processes apply to two levels in the organization:

- **Management Information** that is relative to the administration of the department in support of operational services.
- **Operational Information** that is relative to the delivery of direct services to the community in two areas:
 - ♦ Call Management
 - ♦ Problem Solving
- **Analysis** in terms of data and information as to time, place, and activity as well as knowledge (or relationships) as to place, persons, activity, gangs, vehicles, and weapons.
- **Feedback** in terms of operational and management information.

Success Measures

Success Areas

To determine if the information management function is achieving desired results, we look at qualities that we call success areas and determine the level to which they are present. This department's success areas that can be measured by the Information Services Division are

- Quality of information,
- Planning and integration, and
- Information relative to policing philosophy

Success Factors

The division further chooses specific issues or items of interest to measure as indicators of success. The success factors for this division are as follows:

- The appropriate information is available for strategic planning.
- The appropriate information is available for management of resources and service delivery.
- The information acquired, stored, analyzed and utilized is relative, timely, accurate, and readily available.

Part VI: Division of Professional Standards

Purpose

The purpose of the Division of Professional Standards is to assure quality police services through the human resources by managing all related actions needed to create, staff and maintain all of the divisions.

Functional Goal and Objectives

Goal

The functional goal of the Division of Professional Standards is to directly affect the desired department culture through balancing and aligning the human resource system and processes with the other systems and processes of the organization.

Objectives

To accomplish the above goal, the Division of Professional Standards developed the following functional objectives:

- To assure that all EEOC guidelines are followed and that all Affirmative Action issues are properly addressed.
- To hold employees personally accountable, through the chain of command, for their actions or inactions.
- To assure due process to all employees in matters of discipline.
- To assure fair and equitable career development processes to include training, transfers, and promotions.
- To fill vacant positions in a timely manner while insuring the employment of quality people.
- To audit and report on the quality of our services to our employees and the public.
- To develop and publish the approved policies, procedures, rules of the department.

Philosophy

The police department's philosophy for assuring quality police services is based on the belief that the overall effectiveness of the department is directly related to the manner in which our employees sustain superior performance.

Therefore, we believe that the people that we employ are our most important resource. We continually strive to maintain a positive working environment that encourages each individual to continually produce his or her highest quality of service or product. Quality products and/or services benefit the employee, the department, and the customer.

Guiding Principles

The following principles serve as guides for the actions and behaviors in the Division of Professional Standards:

- The effectiveness of a police department is directly related to the **recruitment and selection** of quality people, the competency levels maintained by police department employees through quality integrated **training** programs, and the **promotion** of the most competent personnel.

- The four basic minimum requirements of a **quality police officer** are:
 - ♦ Integrity,
 - ♦ Civility and courtesy,
 - ♦ Effectiveness, and
 - ♦ Health and physical fitness.
- If a police department is to have the trust and confidence of the community it serves, it must establish clear standards of behavior for its employees. Employees must know, unequivocally, the standards to which they will be held accountable
- The Police Department must handle citizen complaints promptly and impartially. There must be acceptable and thorough procedures for investigating citizen complaints, no matter what the source, and those procedures must be perceived as unbiased.
- Planning for how future personnel needs are to be met is critical to human resource management.
- Human resource processes should reinforce the values, principles, and philosophies identified in the other four organizational systems.
- Every manager and supervisor shares the responsibility for recruiting, developing, and retaining quality individuals.
- All processes within the Division of Professional Standards are free of intentional and unintentional bias.
- The organizational **discipline process** must be aligned with the department's value system and translate into commitment, professionalism, and individual responsibility.

Processes

The Division of Professional Standards identified the following processes.

- **Employee Recruitment and Selection:** Develop and conduct all employee recruitment and selection processes insuring that the demographics of the department reflect the demographics of the community we serve.
- **Directives:** Research, write, publish and maintain the original working files on all Department General Orders, Special Operating Procedures, and Special Orders.
- **Citizen Complaints:** Review all citizens' complaints; assign all complaints for proper review and action and assure that all complaints are processed in a timely manner and in compliance with all written directives. Maintain all files referencing citizen complaints.
- **Internal Investigations:** Provide oversight and management of internal investigations, conducting only those investigations as provided for in the internal investigations directive.
- **Quality Review:** Conduct annual audits of all organizational strategies and programs in terms of effectiveness and efficiency. Conduct an organizational leadership and management survey every three years and conduct a community survey every three years.
- **Recognition:** Assure proper and appropriate recognition of employees through fair and equitable promotional processes, department awards programs, City Employee Recognition Program, and outside authority recognition.
- **Personnel And Training Records Management:** Maintain accurate and up-to-date personnel and training records, conducting employee review of each record on the employee's employment anniversary date.

- **Employee Development:** Insure the career long development of all employees, civilian and sworn, through an employee career tracking process, continued education, the integrated need-based training program, training manuals, and training bulletins.
- **Necessary Knowledge Base And Skills:** In order to fulfill the roles and responsibilities necessary to execute our philosophy, personnel assigned to the Executive, Management, and Service Delivery levels of the Department need to be able to demonstrate the following skills, provided in a need-based training program.
 - ♦ The ability to develop employees by identifying and providing adequate and thorough training on the appropriate issues of the times.
 - ♦ The ability to appropriately use the network of informal leaders at the operational level to institutionalize the Organizational Strategy.
 - ♦ The ability to measure police successes and report accurately the status updates.
 - ♦ The ability to utilize non-traditional police leadership methods that encourage problem solving and decision-making rather than traditional authority and control methods.
 - ♦ The ability to balance efficiency and effectiveness.
 - ♦ The ability to resolve conflicts.
 - ♦ The ability to facilitate group processes.
 - ♦ The ability to persuade others effectively using reason and logic.
 - ♦ The ability to appropriately utilize individual strengths to solve problems with a team approach.
 - ♦ The ability to delegate work effectively and hold self and others accountable.
 - ♦ The ability to manage time around what is important.
 - ♦ The ability to remove barriers and coordinate efforts across watches, beats, districts, units, and outside agency boundaries.
 - ♦ The ability to demonstrate positive attitudes toward the success of others while at the same time allowing for failure.
 - ♦ The ability to base decisions on facts after effectively analyzing problems and data.
 - ♦ The ability to influence others, coordinate their efforts, and direct them to proper personal and professional goals in such a way as to ensure their motivation, job satisfaction and high performance.
 - ♦ The ability to foster teamwork supporting the systems that drive the organization or work positively to change the system.
 - ♦ The ability to perform the skills pertinent to the profession and related to an assigned function.

Success Measures

Success Areas

To determine if the professional standards area is achieving desired results, we look at qualities that we call success areas and determine the level to which they are present. This department's success areas that can be measured by the Professional Standards Division are:

- Fair and equitable treatment of all employees,
- Employee success,
- Employee job satisfaction,
- Employee motivation, and
- Employee commitment to the ideals and practices of the department.

Success Factors

The division further chooses specific issues or items of interest to measure as indicators of success. These are the success factors for the Division of Professional Standards:

- The absence of EEOC, Affirmative Action, and Due Process complaints.
- Employee success at assigned roles and responsibilities.
- Reduced negative turnover with positive turnover at the top.
- Fair and equitable adjudication of complaints.
- The policies, procedures and rules are aligned with the values, philosophies and principles of the organization.
- The discipline is administered and perceived as fair and equitable.

Part VII: Division of Operational Services

Purpose

Purpose of the Division

The purposes of the Division of Operational Services are to produce the desired policing products or services to the public as defined in the department's Mission and specific Purpose and develop partnerships with the citizenry. Each of the two sub-sections of this Division, the Patrol Services and the Special Operations Services, has a more specific purpose as shown below.

Patrol Services Purpose

Patrol Services fulfill the department's responsibility to respond efficiently and effectively to the public's initial requests for services. Where time, knowledge, and skill permit, to perform follow-up investigations; problem solve through education, prevention and intervention strategies; and successfully prosecute criminal offenders.

Special Operations Purpose

To fulfill the division's responsibility to conduct follow-up investigations, conduct special investigations, perform directed enforcement activities, problem solve through education, prevention and intervention strategies, and successfully prosecute criminal offenders.

Functional Goal and Objectives

Goal

To provide the community with a total spectrum of policing, spanning a full range of services to include the responses to emergencies, responding to calls for service, directed activities, and problem solving with a human touch that only police and community interaction can offer.

Objectives

To accomplish the above goal, the Division of Operational Services developed the following functional objectives:

- To assure public and officer safety during police operations through the application of police tactical best practices.
- To make the police an integral part of the community.
- To provide the community with an increased sense that the police care.
- To establish trust and harmony between the community and the police.
- To utilize the community as a major resource with enormous problem-solving potential and actively engage the community in the resolution of crime, fear and disorder problems.
- To establish and improve communication in working relationships between departments, divisions, sections, and units.
- To devote time and energy, by Department initiative, to prevent or reduce community problems that contributes to crime, fear and disorder.
- To effectively manage the responsibilities of responding effectively to emergencies, responding to requests for service, directed activity, and problem solving.
- To respond to the problems of crime and policing activities through efficient utilization of department and community resources.

- To enhance employees' opportunities to participate in the decision-making process utilizing their creative problem-solving and decision-making skills in resolving public safety problems.
- To increase information flow from the police to the community and from the community to the police about crime, the community and policing.

Philosophy

The police department's philosophy for delivering police services is based on the belief that we are a department consisting of individuals who are paid to give full-time attention to duties that are incumbent on every citizen in the interest of community welfare.

We believe that policing should be an interactive, results-oriented process between the police and the community. The process is information driven and should create partnerships between the police employees, the department, and those we serve; identify problems that impact the quality of life in the community; devise strategies to address those problems; and work collaboratively to solve them by utilizing all resources available.

The goal of the process is that the community we serve be competent in the pursuit of peace and tranquility.

Guiding Principles

The following principles serve as guides for the actions and behaviors in the Division of Operational Services:

- Police officers are first and foremost full-fledged law enforcement officers, armed symbols of leadership and authority visible within the community. Our officers have the added commitment to address community problems contributing to crime, fear and disorder in ways that may not require engaging the rest of the expensive criminal justice system.
- Employees produce something of value for another. (A Product)
- Service delivery teams made up of individuals with specialties deliver police services.
- In service delivery, the first priority must be given to situations that threaten life.
- In the use of force, only that force which is necessary and justified given the individual circumstances at the moment is acceptable.
- The police and community must work closely together to find new ways to solve the problems of crime, fear of crime, and disorder.
- Putting our officers in direct daily face-to-face contact with the public decreases isolation and fosters mutual trust.
- Since crime is a social phenomenon, crime prevention is the concern of every person living in society. The police are responsible for interacting with the community to generate mutual understanding so that there may be public support for crime prevention. The prevention of crime remains as a basic obligation of society, to the degree that when it becomes necessary to rely on police action to secure compliance with the law, society has failed in this responsibility.
- All of the citizens of this community receive equal protection and service.

- Creativity, innovation, and experimentation are hallmarks of our philosophy. Officers are encouraged to try imaginative solutions to community problems.
- The pro-active results-oriented element is in addition to the reactive role the police traditionally play in responding to calls for service. It embraces the need for a quality product delivered to the community, not more time.
- Police officers accept a leadership role in the community networking process that applies the resources of other public and private agencies to resolve community public safety problems.
- All elements of the organization are directed toward achieving specific results.
- Accountability in the Police Department implies that the geographical area commanders are responsible for public safety problems occurring in their areas during their tour of duty, and that the remainder of the organization is accountable for supporting them in their efforts.
- Geographical area commanders/patrol commanders/beat officers develop and maintain a knowledge base regarding the problems, characteristics, and resources of assigned geographical areas.
- Problem identification and problem solving can only occur when the police share with the community accurate information on local crime problems and the results of ongoing efforts to address them.
- Problem-solving processes can be applied to whatever type of problem is consuming police time and resources.
- The problem-solving process is reliant on the expertise and creativity of employees to collaboratively study problems and develop innovative solutions.
- The keystone of the problem-solving process is the "crime analysis model."
- Officers must ask far more questions than usual and in a more logical sequence to develop a comprehensive picture of the problem and provide information in a systematic/comprehensive fashion.
- The process requires officers to collect information from a wide variety of sources beyond the police department.
- The process involves narrowly identifying problems and systematically analyzing information about those problems.
- A problem is the basic unit of police work rather than a crime, a case, a call, or an incident. A problem is a group or pattern of crimes, cases, calls, or incidents, or it can be a single incident that has the potential for long-term negative consequences.
- A problem is something that concerns or causes harm to citizens, not just the police.
- Addressing problems means more than quick fixes: It means dealing with conditions that create problems.
- The effectiveness of new responses is evaluated so the results can be shared with other police officers and so that the department can systematically learn what does and does not work.

Processes

The Division of Operational Services identified the following processes:

- Reactive:** The responsibilities of police officers that are critical to maintaining order and combating crime. The product is usually the result of responding to needs of the customer after the fact. Activities include answering calls for service, arresting offenders, conducting initial investigations, and enforcing traffic laws and ordinances.
- Proactive:** The responsibilities of police officers that are critical to developing directed or structured policing strategies in response to identified service, crime, disorder, and fear of crime problems that exist within neighborhoods or geographical areas. The product is usually the result of intervening before the fact. Activities include preventive patrol, directed patrol, tactical planning, crime analysis, and follow-up investigations.
- Coactive:** The responsibilities of police officers that are critical to active outreach and systematic engagement between the police and the public to identify and address causes of fear of crime, crime and disorder. The product is usually the result of short-and long-term planning. Activities include problem solving; strategic planning; self-directed activities; police/citizen partnership.

Service Delivery Strategies Within the Processes

- Education:** To provide the knowledge in order to persuade or condition people to believe or act in a way that will reduce crime, fear and disorder.
- Prevention:** Steps to be taken to keep crime, fear and disorder from happening.
- Intervention:** To compel or prevent an action or to maintain or alter a condition of persons or circumstances in order to prevent undesirable behavior that leads to crime, fear and disorder
- Treatment:** To care for or act upon one's behavior
- Law Enforcement:** To effectively apply and prosecute federal, state and local laws and ordinances.

Success Measures

Success Areas

To determine if the operational services area is achieving desired results, we look at qualities that we call success areas and determine the level to which they are present. This department's success areas that can be measured by the Operational Services Division are

- Quality of life in all neighborhoods, as jointly defined by citizens and police
- Reactive response strategies
- Proactive response strategies
- Coactive response strategies
- Citizen satisfaction

Success Factors

This Division compiled the following issues as possible items of interest to measure as indicators of success. Each year the Division selects a number of these issues to measure as determined by the current issues of priority in the community and budget constraints.

- The absence of crime
- The absence of disorder
- Absence of fear
- Safe conditions
- Quality initial investigations
- Calls for routine service effectively managed
- Calls for emergency service handled effectively
- Effective on-view criminal interventions and disorder interventions
- Crime analysis success
- Number of cases/incidents chosen to continue to resolution
- Number of cases referred to non-enforcement resolution
- Effectiveness of tactically planned operations
- The effective resolution of identified problems
- Effective crime prevention efforts
- Desired results through strategic planning
- Quality citizen/police partnerships
- Acceptable cost of police services
- Elected officials' awareness of the efforts of the police and approval of and appreciation for their efforts
- Community support of the Department's activities and programs by a substantial majority
- Community support of police behavior and judgments by a substantial majority

Part VIII: Development of Organizational Strategy

Conclusion

Law Enforcement, or policing, is about organizational content that drives our relationships with each other and those we serve. Organizational content is about the organizational character.

Politics, economic conditions, technology, best practices, and the psychological/sociological makeup of each jurisdiction served by a police organization will shape the package in which the police services are delivered.

Ethics are an essential element to the execution of an organizational strategy.

Police agencies across the country must also be aware of the importance of organizational character. The character of a police department is the quality of being approved by the citizens we serve and by the employees in our organizations who serve the community. This approval is paramount to the success of the department as a whole and to its five divisions (or functional areas of the department described in this document), as well as its sections and units.

The type of character throughout the department is a defining factor in the quality of the services provided. All departments should make it a priority to strive for an organizational character that is well respected in the community and to develop an effective organizational strategy as detailed in this document.

The task of creating an organizational strategy requires:

- Facilitation Skills
- Time
- Commitment, and
- Perseverance

Developing an effective organizational strategy (or organizational content) will result in the following benefits and is well worth the effort.

- A shared vision and/or values
- An understanding of and commitment to the mission at all levels of the organization
- A strategic direction or an effectively developed strategic path
- Improved alignment between shared vision, values, structure and systems
- An organizational structure (functions, roles, responsibilities, and levels of authority) and systems that serve and reinforce the strategies of the department
- A management philosophy that is congruent with shared vision and values and a style that consistently embodies the vision and values of the mission statement
- Employees whose knowledge, skills and attitude match the desired style
- High trust among staff that results in open communications, effective problem-solving and the presence of cooperation and teamwork
- Personal integrity in that the values of the organization and the habits of individuals are integrated

Appendix A: Climate Survey

The Climate Survey identified external and internal environment issues that need to be addressed as identified by employees and members of a Citizens Advisory Committee. The comments of the employees are from one-on-one interviews and are grouped by the five functional areas of the department.

Issues Identified by Employees

(From one-on-one interviews)

Organizational System

1. The command staff needs to speak with one voice.
2. The culture of the police division and the style of policing require change.
3. There is an absence of guiding values and principles in the division.
4. Department managers need to accelerate development of their managerial skills.
5. Roles, responsibilities and functions need to be defined.
6. The organizational structure needs realignment.
7. The vertical and lateral communications within the department need improvement.
8. Morale problems exist because of lack of direction and leadership.
9. There is a lack of consistency in the carrying out of established procedures.
10. Too many procedures exist from custom.
11. There is a lack of consistency in addressing problems and issues within the division.
12. There is a lack of follow through on commitments/promises.

Professional Standards System

The need for promotions to be made

Communications

Patrol (corporals and sergeants)

Resolve the issue of making Investigators sergeants.

Need for better and more appropriate training.

Training for dispatchers.

Cross-training for records clerks.

High turnover rate

Employees not treated right.

Minimum staffing needs to be increased.

The need for fair and equal treatment of all employees

The internal affairs process is not working.

Administrative System

1. Staffing levels are too low. (Budgetary)
2. Officers want more options in the weapons they carry. (Budgetary)
3. The manner in which employee time is tracked needs improvement.
4. Pay scale—no incentive to stay for long time. (Budgetary)
5. Image problem in city hall.
6. Image problem in community—especially black community.
7. Need to be proactive relative to city growth.
8. Mandatory handcuff policy.
9. Lieutenants need training on budget process.
10. Work space not adequate—getting cramped. (Budgetary)
11. Too much specialization.
12. Need to combine resources and efforts with the Sheriff's Office and other agencies in the county.
13. Lack of rotation policy and opportunities for detectives.
14. Some desire to change leather gear to web gear.
15. Some officers want to see tinted windows enforced, which requires a tint meter.
16. Some officers desire that the off-duty weapons policy be changed.
17. Some officers desire that CID work closer with patrol on surveillances.

Information Management System

1. The report writing procedures and process need changes for effectiveness and efficiency.
2. Duplication of effort, too long to assign reports to detectives, case clearance procedures, and report writing skills.
3. Need for better and more appropriate training.
4. CAD needs to be brought on-line.
5. PC's needed to be upgraded and added to different positions.
6. The telephone system needs to be upgraded.
7. 9-1-1 needs to be taught to the public.
8. Minimum staffing needs to be increased.
9. There is a need for a process to facilitate problem solving within the division.
10. Managers need to be developed.
11. Personnel records and training records need to be reworked, separated and automated.
12. Training for dispatchers needs to be improved.

Operational System

1. Rookie officers are not getting necessary direct supervision and leadership.
2. Sergeants are not customer-oriented and not team players.
3. Supervisors are not willing to carry load and assist in handling calls.
4. Not all sergeants and lieutenants are approachable.
5. Not all officers are satisfied with the weapons they are authorized to carry.
6. Too many officers are taking part in medical assists when not needed.
7. Alarm company cancellation procedures need to be revised.
8. Abandoned vehicles—only tagged by code enforcement. (Operational issue for another city department)
9. The restrictions on off-duty employment need to be loosened.
10. Notice of Family Violence Cards are not in stock and need to be replenished; same with flares.
11. Officers are being held accountable to a lot of unwritten rules.
12. Each shift in patrol is operating differently and often inconsistently with department mission and philosophy.
13. Warrants are not being served consistently over time.
14. The only contact patrol has with the community is negative.
15. The mandatory handcuff policy needs to be revisited.
16. Too often CID doesn't respond when called out.
17. There is a lack of teamwork, including turf issues.
18. The employees are not expected to, or encouraged to be, self-managed.
19. There is a need for employee incentive programs.
20. There is a lack of experience.
21. The hiring process is too slow in filling vacancies.
22. The dedicated employees are not recognized.
23. There is a lack of trust between employees.
24. Supervisors and managers are not dealing with personnel issues timely and effectively.
25. The department is not dealing with problem employees timely and effectively.
26. There are employees with poor work ethics.
27. There is a lack of teamwork among executive staff.
28. There is a need to develop managers.
29. There is an absence of in-service training. Not meeting 40-hour mandates.
30. Core courses for intermediate certificates are not available.

31. There are no remedies for employee complaints about systems and procedures.
32. Lieutenants need training on budget process.
33. The rumor mill is having a negative effect on the division.
34. Overworked staff because of a tremendous amount of overtime.
35. The internal affairs process is not working.
36. Lack of rotation policy for detectives.
37. There is a need for physical training for officers.
38. There are dual standards—Good Ole Boy System.

Issues Identified by Citizen Advisory Committee

1. Desire city to support zero tolerance policy in school district.
2. Desire effective truancy enforcement.
3. Resolve the curfew issue.
4. Effectively handle the runaway problem.
5. Develop many more Neighborhood Watch Programs.
6. Utilize volunteer police officers.
7. Develop ways (community functions) for citizens to meet beat cops.
8. Cops should set a good example.
9. Conduct Citizen Police Academies.
10. Conduct directed activities to curb undesirable behavior of youth.
11. Develop a bike patrol program for improved public relations.
12. Regionalize 9-1-1 Communication System.
13. Bring a “scared straight” type program to youth.
14. Increase number of Spanish-speaking officers and dispatchers.
15. Provide officers and civilian employees with cultural awareness training.
16. Develop a sound policy in regard to officers making contact with complainants and officers’ misconduct.
17. Deal effectively with issues in city parks (vandalism, speeding, holiday celebrations).
18. Employ more women and minority officers.
19. Develop trust between minority communities and police officers.
20. Inconsistent policing—favoritism toward particular community members by officers.
21. Officers setting bad examples (running red lights and speeding).

22. Deal effectively with drug trafficking.
23. How can cops interact with families to help parents enforce household rules?
24. Improve policing through technology.
25. City to provide places for youth to spend their time.
26. Enhance youth services.
27. Develop partnerships with the community.
28. Citizen group to study the Organizational Strategy.

Appendix B: Divisions First Year Work Plans Action Plans

Following the administration of the survey, each division (functional area) of the police department prepared a work plan. Below are the first year's work plans for each of the divisions.

Divisions of Organizational and Administrative Services

1. Develop the Police Department's Organizational Strategy for Effective Policing.
 - Organize a group of citizens and department employees to develop the Department's mission, values, philosophy, principles, goals and objectives.
 - Develop the organizational structure, roles, responsibilities, activities, authority, success areas and success factors.
 - Develop goals and objectives.
 - Develop Division Action Plans.
 - Teach and publish the results of the above.
2. Organize an active Citizen Advisory Committee.
 - Integrate the Police Department with the community and work in partnership with the community to facilitate the problem-solving process.
3. Participate in the Citywide Year of the Family initiative. "A Greater Community through Neighborhood Wellness."
 - Integrate the initiative into the Neighborhood Watch Program.
4. Develop and implement an Employee Bridge Team.
5. Enhance the Volunteer Program.
6. Assure that the systems and processes are relevant to the chosen values, philosophies, and principles, and are effective.
7. Increase the sense that the police care.
 - Participate in community activities.
 - Develop a planning process that is conducted prior to the budget process.
8. Improve the salaries and benefits of employees.
9. Review and make appropriate changes in the disciplinary process.
10. Address in a timely and meaningful manner the internal and external issues and concerns that arise as a course of doing business.
11. Increase and improve workspace to meet organizational needs.
12. Procure staffing levels per Division necessary to manage workload.
13. Purchase equipment and uniforms necessary to meet organizational needs.
14. Increase the professional development skills of the managers and supervisors.

Division Of Information Management

1. Define and evaluate the present Information Management System.
 - Improve the use of technology.

2. Develop and implement strategies for integrating the information processes in the department.
 - The report writing process.
 - The supervision and management processes.
 - Crime analysis process.
3. Evaluate current records management technology and software in order to make them more effective and compatible with the citywide system.
4. Upgrade personal computers to improve office productivity and decision-making.
5. Convert to and utilize the city's 800 MHz radio system.
6. Address, in a timely and meaningful manner, the internal and external issues and concerns that arise as a course of doing business.
7. Promote 9-1-1 presentations in the school system, special events, and neighborhood meetings to help the citizens save time and lives in emergencies.
8. Provide timely and accurate information on police activities, referencing our mission and specific purposes.
9. Increase the sense that the police care.
10. Improve staffing and distribution relative to workload.
11. Develop and implement the process for managing the serving of warrants on file.
12. Present a more professional appearance by having communication specialists wear uniforms.

Division of Professional Standards

14. Increase the professional development skills of the staff.
15. Develop and implement a Need-Based Training Process.
16. Develop and implement a Quality Review Process.
17. Review and make appropriate changes to the citizen complaint process.
18. Review and make appropriate changes to the internal affairs investigation process.
19. Review and make appropriate changes to the personnel recruitment and selection processes.
20. Conduct an audit of the directives of the Department and rewrite the directives to align its policies, procedures and rules with the values, philosophies and principles as established in the Organizational Strategy.
21. Develop Training Bulletins for specific training needs.
22. Separate and improve the employee Personnel and Training records systems.
23. Integrate the Police Department with the community and work in partnership with the community to facilitate the problem-solving process.
24. Conduct Citizen Police Academies on a regular basis.
25. Enhance the promotional process.
26. Participate in community activities.
27. Develop a written process for employees to request training.

Division of Operational Services: Patrol Services

1. Effectively manage the responsibilities of responding effectively to emergencies, responding to requests for service, directed activity, and problem solving.
2. Enhance the staffing allocation and distribution processes.
 - Assign patrol officers to specific beats for long periods of time.
 - Establish realistic and acceptable staffing levels.
3. Address, in a timely and meaningful manner, the internal and external issues and concerns that arise as a course of doing business.
4. Integrate the Police Department with the community and work in partnership with the community to facilitate the problem-solving process.
 - Implement a Police Reserve Program.
 - Develop and implement a pamphlet program for new arrivals to community.
 - Conduct Neighborhood Watch meetings to address area issues.
 - Identify and resolve problems by beats utilizing appropriate community resources.
5. Increase the community perception that the police care.
6. Participate in community activities.
7. Provide sponsorship, support, and assistance to youth programs, activities and organizations.

Division of Operational Services: Special Operations

1. Reorganize the Criminal Investigation Division (CID) to address a more generalized, problem-solving approach.
2. Improve the Victim Assistance Program.
3. Develop service delivery strategies to meet the needs of the community in terms of crime, fear of crime, and disorder.
4. Create a runaway investigation program that treats runaways as victims.
5. Develop and effectively manage responsibilities of directed activities and problem solving with Patrol Services and in partnership with the community.
6. Address, in a timely and meaningful manner, the internal and external issues and concerns that arise as a course of doing business.
7. Improve public awareness through public education.
 - Expand DARE program
 - Promote public safety
 - Promote crime prevention
 - Improve Neighborhood Watch
 - Conduct a Police Fair
8. Provide the community with timely, accurate information about police activities, crime and disorder.
9. Participate in community activities.
10. Provide sponsorship, support, and assistance to youth activities.

Appendix C: Police Department's First Year Accomplishments

Organizational Services

1. Organized Citizens Advisory Committee.
2. Developed and taught Organizational Strategy:
 - Mission statement
 - Values
 - Principals
 - Structure
 - Functional goals and objectives
 - Success areas/factors
3. Developed volunteer program.
4. Established administrative function in the Chief's office/Administrative Assistant.
5. Developed and implemented Volunteer Chaplains Program.

Administrative Services

1. Resolved Federal Standards Labor Act (FSLA) issues of both civilian and sworn personnel.
2. Involved the management team in the annual budget process.
3. Corrected concerns of the Victim Assistance Program per audit.
4. Restructured the salary grid.
5. Conducted Audit of Special Account in CID.
6. Raised issue of paying jail cost for municipal court violations.
7. Rearranged and remodeled offices on second floor of the Operational Services Division.
8. Provided all field officers with pepper mace and training.
9. Resolved the issue of Statement of Elected Officers with Secretary of State.
10. Vaccinated all employees wanting Hepatitis B vaccinations.
11. Brought online new generator large enough to power the building in case of emergency.
12. Increased staffing level with two dispatchers and three police officers.

Information Management

1. Identified and developed priority list for Information Management Division issues.
2. Participated in countywide training efforts.
3. Developed and promoted Team Leaders in Records and Communications.
4. Resolved the records check issue with the City and the Department of Public Safety.
5. Chose to discontinue to bring old Computer Aided Dispatch on-line

6. Implemented call card process until new CAD can be brought up on-line and eliminated the radio log.
7. Developed the maintenance program for the reel-to-reel recording.
8. Changed the policy of dispatcher handling walk-in traffic during day watch.

Professional Standards

1. Improved citizen complaint and internal affairs process.
2. Developed new employment process for officers and civilians.
3. Developed new promotional processes for sworn and civilian personnel.
4. Developed Use of Force policy and reporting process.
5. Rewrote the Field Training Evaluation Program.
6. Develop and implemented four hours a week of in-service training from May through September.
7. Developed and taught the Problem Solving Process for new patrol officers.
8. Resolved TECLIOSE certification issues with Dispatchers.
9. Revised the Internship Program.
10. Trained three Corporals as Field Training Officers.
11. Restructured the Directives Manual and rewrote several General Orders.
12. Started the Need-Based Training Program.
13. Got the Police Department certified for training for CAPCO.
14. Reorganized all Internal Affairs files.
15. Trained several personnel on PC use.
16. Conducted Cultural Awareness training.

Operational Services

1. Resolved manpower and distribution issues in Patrol.
2. Developed new CID case clearance policy and procedures.
3. Developed procedure on handling Brady Bill implementation.
4. Resolved issues with Municipal Court.
5. Conducted a study on runaway juveniles in the city.
6. Implemented corporals as field training officers (FTOs) and acting watch commanders.
7. Enhanced training for Canine Unit I; purchased new uniform for unit.
8. Established a workstation in the lobby to accommodate volunteers.
9. Redirected the efforts for Safety City to non-management personnel.
10. Implemented a new process for municipal court warrants.
11. Rewrote the Neighborhood Watch Program.
12. Got crosswalk on Austin Avenue at the High School.
13. Provided for two three-on-three basketball tournaments.
14. Completed pilot POP project.

15. Restructured the beat system by workload.
16. Resolved issue of wreckers at accident scenes.
17. Conducted major drug investigation and raid with ten defendants.
18. Wrote Explorer Post manual.
19. Set up new evidence processing room.
20. Purchased two police bicycles and implemented a Bike Patrol Program for Special Events.
21. Resolved hospices issue/general order.

Appendix D: Divisions Second Year Work Plans Action Plans

Divisions of Organizational and Administrative Services

1. Revise old Orders and Procedures Manual to fit new Directives Manual and align old policies, procedures and rules with the new values, philosophies, and principles as established in the Organizational Strategy.
2. Continue participation in the citywide "Year-of-the-Family" initiative: "A Greater Community through Neighborhood Wellness."
3. Assure that the systems and processes are relevant to the chosen values, philosophies and principles, and are effective in providing quality services.
4. Continue to integrate the Police Department with the community and work in partnership with the community to facilitate the problem-solving process.
5. Continue management training for Division Commanders.
6. Enhance the Department's ability to work on drug problems in the community through law enforcement.
7. Work with Development Services to prepare the Facilities and Services Plan Element of the City Century Plan.

Division of Information Management

1. Promote E911 media programs for the school system, special events, and neighborhood meetings to help the citizens save time and lives in an emergency.
2. Continue to upgrade the personal computer system for office productivity and decision-making.
3. Improve the report writing process manually prior to automation.
4. Develop a crime analysis process.
5. Purchase and begin to use Public Safety software that will enable Communications to dispatch the appropriate units to all types of emergencies in an expeditious and accurate manner.
6. Improve productivity of Information Services Director by employing an Administrative Specialist to provide support services.

Division of Professional Standards

1. Develop and organize a Division Training Plan by implementing the Need-Based Training Program for
2. Division personnel.
3. Develop and implement Quality Review Processes.
4. Implement a quarterly reporting process for the Internal Affairs Investigation Summary Report.
5. Conduct a Citizen Police Academy on a regular basis.
6. Improve office design and productivity of Administrative Specialist by providing modular furniture.

Division of Operational Services: Patrol Services

1. Conduct Neighborhood Watch meetings to address area issues and transition to the Neighborhood Wellness concept.
2. Integrate the Police Department with the community and work in partnership with the community to facilitate the problem-solving process.
3. Implement a Police Reserve Program.
4. Increase the community perception that the police care.
5. Improve productivity of Patrol Services Commander by employing an Administrative Specialist to provide support services (to be shared with Information Management).

Division of Operational Services: Special Operations

1. Ensure prompt, quality service delivery by employing a civilian Property/Evidence Custodian, thereby being able to return two-thirds of one detective's available hours for investigations.
2. Enhance the Victim Assistance Program through follow-up contact and support.
3. Enhance the service delivery strategies to meet the needs of the community in terms of crime, fear of crime, and disorder.
4. Improve communications in working relationships among departments, divisions, sections, and units.
5. Improve Youth Services.
6. Continue working with the youth to reduce the number of runaways reported each year.
7. Develop the Neighborhood Wellness concept around the Neighborhood Watch Program.
8. Expand employee involvement in targeted youth activities.

Glossary of Terms

Accountability	Subject to giving a reckoning or explanation for one's actions.
Authority	Power to influence or command thought, opinion, or behavior.
Competent Community	The application of sound principles that have proven effective over time.
Functional Goal	The long-term end toward which effort is directed by an organizational Bureau, Division, Section, or Unit.
Functional Objective	The shorter-term end toward which effort is directed by an organizational Bureau, Division, Section or Unit.
Leadership	In a police organization, the process of influencing human behavior to achieve organizational goals that serve the public, while developing individuals, teams, and the organization for future service.
Mission	A specific purpose with which an organization is charged. It is comprised of the What, How and Why.
Organizational Character	All those qualities that make a person, group, organization or thing what he or it is and different from others. The qualities of being approved. The character of a police department and its sub-units is the defining factor of the delivery of police services.
Organizational Strategy	An organizational design that is most advantageous for the police and community served and is shared and held in common by all members of the organization.
Philosophy	A system of ideas concerning a particular subject. A system of principles for describing the desired conduct of a police organization.
Principle	A basic truth that is used as a basis of reasoning or a guide to action or behavior.
Process	A series of actions or operations used in making or achieving something.
Product	Something of value for another.
Responsibility	Something for which one is held accountable.
Role	An expected behavior pattern determined by the position occupied in the organization.
Stewardship	The attitude of managing something for another, i.e., the community, the next generation.
Strategic Planning	Developing long-term directions in order to achieve something.

Success Measures	A point of view for determining the achievement of desired results.
Success Areas	What you would look at to determine if the organizational function is achieving desired results.
Success Factors	Specific issues or items of interest chosen to measure at a given time.
Systems	Interacting processes networking together utilizing information in a logical manner for rational decision making to achieve a desired result.
Task	An assignment to produce a specified output (including quantity and quality) within a targeted completion time, with allocated resources and methods and within prescribed limits (core values, principles, policies, procedures and rules).
Value	That which is important and fundamental to life and the organization. Fundamental beliefs by which the organization operates. A state of being.
Vision	An imaginative insight into a subject or problem; foresight and wisdom in planning.
Work	What the person has to do in order to achieve the task; use judgment, discretion, and make decisions in overcoming obstacles.

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5

Policy & Procedures

A Best Practices Guide: Developing a Police
Department Policy-Procedure Manual

Model Policies

Policy Manual Resources

Best Practices Guide



International Association of Chiefs of Police

Services, Support and Technical Assistance for
Smaller Police Departments

Developing a Police Department Policy-Procedure Manual

by Chief W. Dwayne Orrick

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Best Practices Guide for Developing a Police Department Policy-Procedure Manual

By Chief W. Dwayne Orrick, Cordele, Georgia Police Department

Introduction

This guide has been designed to assist police agencies in smaller communities with the development and revision of their policy-procedure manuals. The policy and procedures manual is the foundation for all of the department's operations. When properly developed and implemented, a policy-procedure manual provides staff with the information to act decisively, consistently, and legally. It also promotes confidence and professional conduct among staff.

Service delivery by agencies in smaller communities is often more responsive than departments in larger communities due to knowledge of the community and partnerships within the community. In addition, officers working in smaller agencies must be prepared for the same challenges and situations as their colleagues in larger organizations. The only real difference between large and small is the degree of specialization in job assignments in smaller departments. Smaller agency officers are generalists, often seeing the case through from start to finish. Because of this, officers in smaller departments are provided more latitude to perform their jobs and are not locked into the same routine every day, allowing for more growth, job enhancement and satisfaction for the employees of these departments. Therefore, policies and procedures for smaller agencies must be as thorough and complete as in their larger counterparts.

The remainder of this guide will focus on the process of developing a manual in smaller departments. It will explore the general rules for developing policies, how to form a policy committee, sources of information, how to organize the manual, steps for writing a policy, implementing a new policy, and for compliance inspections.

Definitions

Organizations call their policy and procedures manual different names – policy and procedures, operations manual, standard operating procedures. Regardless of the name, the document provides staff with the guidance necessary to perform department operations. Before outlining the process for developing an operations manual, it is necessary to provide a baseline of terminology. Several terms will be used during the development of a manual. It is necessary to distinguish between each:

- Standard - Guidelines or performance requirements that establish benchmarks for agencies to use in developing the organizational structure and measuring its service delivery system.
- Policy - A course or line of action adopted and pursued by an agency that provides guidance on the department's philosophy on identified issues.
- Procedure - A detailed description of how a policy is to be accomplished. It describes the steps to be taken, the frequency of the task, and the persons responsible for completing the tasks.
- General Orders - Written directives related to policy, procedures, rules and regulations involving more than one organizational unit. General orders typically have a broad statement of policy as well as the procedures for implementing the policy.

- Special Orders - Directives regulating one segment of the department or a statement of policy and procedure regarding a specific circumstance or event that is temporary in nature.
- Personnel Orders - Announcements of changes in status of personnel such as transfers or promotions.
- Rules and Regulations - Procedures that apply each and every time a situation occurs with specific guidelines for staff to follow. Rules and regulations usually proscribe specific behavior that will result in employees being disciplined for failing to follow the guidelines provided.¹
- Employee Handbook - Manual provided by the governing authority that introduces employees to the organization, its benefits/compensation package, and an abbreviated listing of policies.

Rules for Effective Manual Development and Implementation

When developing operational policy and procedures, several general principles should be remembered.

- First, the operations manual should be comprehensive, providing staff with direction and guidance for all aspects of the department's operations.
- Second, the manual should be clearly written and easy to use.
- Third, the manual should be consistent with and mirror the organizational philosophy, legal requirements and applicable standards.
- Fourth, staff should be involved in the development of the manual and kept informed of any changes.
- Fifth, staff should receive adequate training and participate in open, frank discussions about the policy and the reasons for its requirements.
- Sixth, the operations manual should be considered a living document. Routine inspections and reviews should be completed to ensure compliance with its directives so that the manual remains current.²
- Seventh, The manual should reflect and incorporate accepted state and national best practices, for example, model policies like those developed by the IACP's National Law Enforcement Policy Center or other law enforcement organization's general guidelines for policy-procedure manuals as developed by CALEA (Commission on Accreditation for Law Enforcement), state law enforcement associations and others.
-

Formation of the Policy Committee

Developing a policy manual is a critical undertaking. One of the first tasks to be completed is the selection of a policy project coordinator. The selection of the proper person for this position is critical to the success of the development and implementation of the operations manual. In most agencies, this appointment is not a full-time assignment. Instead, the person must complete these responsibilities in addition to their current duties. As the leader, the policy project coordinator must have the authority, knowledge, and motivation to make assignments, draft policies, coordinate meetings, and complete the process. In addition, the coordinator must have sufficient administrative or clerical support to expedite the development process.

While one person can write the manual, the final product will likely be more complete, comprehensive and accepted by staff, if the document is developed with contribution from both sworn and civilian representatives of the agency. Diverse, heterogeneous groups tend to be more effective with complex problems and assignments than a homogeneous group or an individual.³ Therefore, it is strongly suggested

that as many staff as practical be involved in the manual's development and implementation. To accomplish this, many departments have organized policy committees to assist with development of the manual.

Involving staff in the developmental process provides a vehicle for employees' abilities and potentials to be both challenged and recognized. It is recommended that the chief post a memorandum or intra-office e-mail explaining the development/revision process of the operations manual. Supervisors should ask persons who are interested to assist with the effort. In addition to volunteers, the policy committee should involve employees who may be critical of the department's operations. Many times, these officers provide information to improve the department operations. Inclusion of those with vocal opposition provides a safe avenue for discussion and promotes resolution. Alternatively, alienation of those critics of policy and procedures only undermines agency cohesion and morale. Finally, there may also be a need to involve persons from other agencies, particularly those with special knowledge areas.

Sources of Information

When preparing to develop each area of the manual, a variety of sources should be reviewed for information to be included in the policy.

The local government's charter usually outlines the department's authority. Similarly, local, state, and federal laws and applicable court decisions proscribe standards of performance for department compliance.

Collective bargaining agreements, consent orders, and court decrees often:

- List requirements for the employment process;
- Describe individual duties and responsibilities;
- Outline discipline and grievance procedures, compensation and benefits programs.

The governing authority's procedures are binding upon the department's operations in many areas, particularly employment procedures and compensation benefits. The department's procedures cannot be in conflict with policies of the governing authority or they will automatically be considered null and void.

Intergovernmental agreements and contracts for services, such as detention of inmates or dispatch operations, may include requirements that should be considered and included in the operational procedures.

Mutual aid agreements, emergency operation plans and previously agreed upon protocols (i.e. child abuse/molestation investigations) often outline binding procedures for officers to follow while working with other agencies. Because these documents are often updated on a schedule different than the review of the manual, it is good to place the latest copy of the agreements in the appendices and refer to them in the body of the policy.

Standards such as the [Standards for Law Enforcement Agencies](#) by the Commission on Accreditation for Law Enforcement Agencies (CALEA) or standards promulgated for state certification programs provide the benchmarks for professional conduct and are an excellent cornerstone for department operations.

Existing departmental policies, procedures, and general orders, oftentimes provide ample direction for officers and should not be arbitrarily abandoned. With a little modification to ensure consistency in structure with the new manual, these procedures can be easily included in the manual. In many cases, the informal manner in which the department is operating simply needs to be recorded.

Since police operations are similar throughout the United States, there is no need to reinvent the wheel. Policies from other departments are an excellent resource for expediting the development process. Copies of manuals may be acquired from neighboring departments that have completed state certification or national accreditation. In addition, manuals can be obtained or requested on internet sites such as IACP Net. In

many cases, these policies can be downloaded in an electronic format, which simplifies the editorial process. The tendency is for departments to copy manuals from other communities verbatim. This process is completely acceptable if the manual represents the department's philosophy and procedures and is consistent with legal guidelines. However, this is usually not the case and considerable editing is usually required.

Model policies provide a basic document to use as a starting point in the development of a manual. There are a number of sources for model operating policies including the IACP National Law Enforcement Model Policy Center and the National Center for Rural Law Enforcement. In addition, some state agencies and state police chiefs' associations have developed policies to assist agencies in their area. Because of the diversity in the size of communities, state laws, and operational philosophies between agencies, it is difficult to develop a policy that is applicable in all departments. Consequently, model policies should be thought of as general guidelines to be used in the development of the department's manual.

Tips:

- Academic research journals, trade magazines, and training lesson plans are a good source for policy and procedure background information and address areas that may be overlooked in particular subjects. Examples: Journal of Criminal Justice and, An International Journal of Police Strategies and Management
- Interview subject matter experts such as records clerks, evidence custodians, and narcotic agents, or persons whose contributions are critical to the manual's success, such as other chiefs, legal counsel.

Organization of the Manual

Before beginning to write the manual, several issues relating to formatting must be discussed and decided including scope, headers, pagination, key phrases, and index.

The scope of the manual must be identified. Most smaller agencies have a comprehensive manual that regulates all of the department's administration and operations. Larger agencies have found it necessary to have more than one manual for functional areas such as administration, patrol, investigations, and detention.⁴

The beginning of each new section of the manual should be divided with a tab that readily identifies the chapter's subject or number. Each policy must have a header that includes the Agency's Name, Chapter/Policy number, Title, Effective Date (originally implemented), Revised Date (Current Revision), Number of Pages in the section, and to whom the policy is distributed. Before the policies can be finalized, the format for the header must be designed and approved.

Because manuals tend to be rather voluminous, it is necessary to develop a pagination system. This system should identify the exact policy and page. For example, 5-1.3 indicates the location is Chapter 5.1, page 3. There are several derivations of this format, but the pagination must allow staff to easily identify and locate the policy and page number.

To ensure consistency, key phrases such as detention facility vs. jail, investigator vs. detective, must be identified, discussed, and decided upon for consistency throughout the entire manual.

As the policy manual is being developed, broad topic areas to be covered must be identified. Reviewing model manuals or other departments' policies may provide insight into developing these categories and the specific policies to be included in each area. Each policy should be organized in the sequential order they are to appear in the manual. Some policies may not be finalized until issues are addressed and resolved in other policies. Therefore, it may be necessary for the coordinator to prioritize the order in which the policies must be composed.

Finally, some departments have found it useful to provide an index in the appendices of the manual to assist in readily locating relevant policies. The index cannot be compiled until the manual is completed.

Committee Review

After the topics to be included in the manual have been identified and finalized, the drafting of policies can begin. To ensure the manual is developed in a timely manner, a schedule should be developed to outline the tasks to be completed, time expected to complete the tasks, persons responsible, and deadlines for completing each task. This schedule helps the committee to prioritize their work activity and focus their attention on the manual's development. For the same reasons, an agenda should be developed and distributed at every committee meeting. Otherwise, the meetings will likely get off track and fail to accomplish anything. There are a number of ways to compose an operations manual. The process of policy development typically includes the following steps:

Policy Development Steps

1. The policy committee meets and members reach a consensus regarding what should be included in each section. Any discussion points, questions, and concerns identified during meetings should be noted by the coordinator and provided at next meeting.
2. Using the information provided by committee, the project coordinator (or the designated committee member) develops all draft policy (see "Steps for Developing an Operations Manual" below). The policy development committee should not be used to write the manual. If members were expected to compose the manual as a collective group, it would never get done.
3. Copies of the draft policy are sent to committee members for review and comment.
4. Committee members may individually return their draft copies with comments to the coordinator or meet as a group to discuss their concerns. As the manual is reviewed, committee members should be primarily concerned with the validity of the policies. That is, does the policy regulate or direct department operations and employee conduct in the manner in which it was intended. Any contradictions, gaps, or inconsistencies should be identified and corrected. This review should also ensure each policy is grammatically correct, correctly spelled, and easily understood.
5. The coordinator reviews the comments by the committee and makes the necessary changes to the drafts.
6. Copies of the second draft are sent to the committee members for review. In some cases, it may be necessary to repeat Steps 4 and 5.
7. The coordinator submits the final draft to the department's legal counsel to ensure the proposed policy is in compliance with current local, state, and federal laws. There are differing opinions about the decision to have legal counsel review each policy or restricting the review to areas of high liability and where legal questions exist. This is a decision that should be made by leaders in each community.
8. When the legal review is complete, any comments or changes may be sent to the committee for final review. In some communities, it may be necessary to send the approved policy to the City Manager for review.
9. Upon final review, the coordinator places the policy in final form and prepares it for distribution to department staff.

Procedure Development Steps

Before embarking upon the procedure development, it is recommended the committee take the time to identify and articulate the department's core values, mission statement and vision statement. Of course the department's manual can be developed without these documents, but they can prove invaluable to developing the organization and its culture. Embedding the organizational values throughout the manual will encourage desired behaviors by officers and encourage a strong and consistent value system throughout the department.

Some departments have found it necessary to contract with a facilitator to assist with the development of these statements. An excellent source for developing these documents in-house can be obtained from the IACP Services, Support and Technical Assistance for Smaller Agencies Project Staff at IACP. Contact Elaine Deck at (800) THE-IACP extension 262 for more information.

When writing the procedures, the use of scenarios can be helpful tools in the development process, clarifying each component of the procedure and the supporting agency values and mission. Completing the scenario helps to identify the duties and functions that must be completed with each task.

Steps for Writing Operating Procedures

1. Start with the end in mind. Assuming an officer completes the scenario successfully, identify the desired outcome. (Goal)
2. Review the literature/research material for issues that should be addressed in the policy being developed. Also review the committee's notes of discussion points, questions, and concerns.
3. Outline the actions/steps to be completed to achieve the goal or complete the function successfully. (What)
4. Place the outline steps in sequential order. (When)
5. Identify the person/positions to be involved in completing the tasks in Steps 2 and 3. (Who)
6. Be sure to identify and include any special equipment, supplies and material to be used with the procedure.
7. Compose the draft directive and submit it to the policy committee for review.⁵

It should be noted the tone of the language used in the manual subtly impacts the organizational culture. Unreasonable restrictions in operational policy have oftentimes been the source of dissension between line and supervisory staff. The purpose of the manual is to empower the staff. So it is important to recognize every possible scenario cannot be identified and officers should be allowed the latitude they need for making decisions in unusual circumstances. If a negative tone is used in the manual (e.g., shall not, will not, are not, forbidden) it can permeate the ranks and promote cynical attitudes in staff. Consequently, the text of the manual should avoid focusing on prohibited acts, but rather emphasize conduct the department expects and supports of officers. Finally, there are very few absolutes in law enforcement. The courts have ruled that terms such as should, are to, and directed to, are not absolute. Only "shall" means under all circumstances and conditions. It is difficult to identify when officers are to act in the same manner without regard to the circumstances. Therefore, the use of absolute language should be avoided whenever possible.

Implementation and Confidentiality

After the manual has received final approval, it is ready to be implemented. Each officer should be issued a copy. Before this can occur, sufficient copies must be produced. In small agencies this can be accomplished by printing copies with a high capacity laser printer or photocopy machine. Larger agencies have found it necessary to contract with an outside copy center or commercial printer. If an outside printer is used, organizational security may dictate a contract agreement with the printer to ensure extra or disregarded copies are destroyed or returned to the department. Some agencies also post their manual on the department's computer server to ensure accessibility and allow easy search and reference at all times. Check with City Hall or an attorney for assistance.

Most departments issue their manuals in a three ring binder. This allows easy modification and addition to existing policy. As each manual is issued it should be stamped with a sequential serial number that is recorded as being assigned to the officer. As with most department equipment, officers may be required to

sign for the manual when it is issued to them. Many agencies inappropriately require officers to sign a form indicating they have received, read, understand and agree to follow its requirements.

Once the manuals are issued, staff should be given ample time to read it before the training program begins. Since most manuals are rather substantial, officers will need a minimum of several days and likely weeks to thoroughly read the material. This gives officers time to note legitimate questions regarding the policy requirements and expectations of their performance.

After being provided sufficient opportunity to read the policy, officers must be trained on the manual and fully understand its requirements before it can be implemented. This training should cover administrative and operational topics, with particular emphasis being placed on high-liability issues. This process usually requires several sessions and may include both classroom as well as practical exercises. To ensure officers understand the policy and its expectations, some agencies test officers after the training. If an officer fails a test or several officers miss the same question, additional training is required. In addition to introductory training, time should be designated during every in-service training class to review the department's operational procedures relating to the topic of instruction and the department's performance standards. This is a convenient way to ensure training is relevant and staff remains current on the department's standards of conduct.

Some departments issue the policies to officers as they are developed and approved. This incremental approach has the advantage of allowing staff more time to digest requirements of the policy. At the same time, tracking and maintaining records of distribution are more cumbersome.

When the training is complete, documentation should be maintained that officers have been issued their manuals, trained on the content and understand its requirements. This documentation may include a copy of the manual, lesson plan, sign-in attendance sheets, tests given to measure comprehension and officers' test scores.

Inspection and Review

Once the new manual has been implemented, only half of the work is completed. Department officials must ensure the policies are being followed. If the work is not done in accordance with the policy, the manual is meaningless because the custom is the policy. This situation is more problematic than not having a policy. Informal customs attack the credibility of the department's operational procedures and administration. It also increases the department's exposure to potential liability.

What gets inspected is what gets done. There are several ways to ensure compliance with the manual. One way is to form a check sheet that lists various inspections that are to be conducted, by staff and the frequency of the inspections. It is a simple process of checking off when the inspection is complete. In some cases, policy may require internal and external inspections.

In the event officers are not in compliance with the department policy, a decision must be made as to the appropriate corrective action, ranging from remedial training to counseling to punishment. In some cases, a change in policy may be required.

Finally, the entire manual should be reviewed on at least an annual basis. This review helps to ensure the manual is in compliance with current management, operational, and legal standards. Instead of trying to eat the elephant in one bite, it is best to coordinate this review with key personnel over several weeks. As the review is conducted, listen to the staff persons who are closest to the service delivery. They know the problems and often times have the best ideas for addressing them. If modifications are necessary, the same procedures outlined in this guide should be followed for updating, distributing, and training staff of the changes.

Conclusion

Developing, maintaining, and revising a police department's operations manual is a monumental undertaking. However, if completed properly, the community, its governing authority, chief executive, and department's staff can be assured their operations are in compliance with current standards. It will ensure staff act in a consistent, professional and legal manner. It will also ensure department staff are prepared for unusual circumstances and the correct course of action is identified.

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Sample Organization of Department Operations Manual

Chapter 1	Introduction
Chapter 2	Agency Jurisdiction and Mutual Aid
2-1	Law Enforcement Role and Authority
2-2	Contract Services
Chapter 3	Organization and Direction
3-1	Management of Information
3-2	Goals and Objectives
3-3	Fiscal Management
3-4	Hiring Standards
3-5	Promotion/Appointment Procedures
3-6	Performance Evaluations
3-7	Career Development
3-8	Job Analysis and Classification
3-9	Planning and Research
Chapter 4	Training
4-1	Fitness Standards
Chapter 5	Conduct
5-1	Discipline
5-2	Internal Investigations
5-3	Conduct Review Board
5-4	Outside Employment
5-5	Sexual Harassment
5-6	Receiving Civil Process Served Department/Employees
5-7	Polygraph
Chapter 6	Uniform and Dress Code
Chapter 7	Arrest
7-1	Taking Suspects into Custody
7-2	Processing of Juvenile Offenders
7-3	Family Violence
Chapter 8	Search and Seizure
Chapter 9	Firearms
Chapter 10	Use of Force
10-1	Use of Force Reports
10-2	Investigation of Use of Deadly Force
10-3	Critical Incident/Post Critical Incident
10-4	Line of Duty Seriously Injured/Death of Officer
Chapter 11	Vehicle Operations
11-1	Vehicle Pursuits
11-2	Interjurisdictional Pursuits
11-3	Vehicle Inspections and Maintenance
11-4	Personally Assigned Patrol Vehicles
11-5	In-Car Video Camera Film Procedures
Chapter 12	Property and Evidence
12-1	Departmental Property Control
12-2	Vehicle Inventory/Impound
12-3	Blood and Urine Test Kits
Chapter 13	Records Division Operations
13-1	Release of Information

Chapter 14	Traffic and Parking Enforcement
14-1	Traffic Citations (Special Processing)
14-2	Traffic Accident Investigation
14-3	Traffic Direction and Control
14-4	Use of Radar
Chapter 15	Patrol Functions
15-1	Investigating Suspicious Activity
15-2	Foot Pursuits
15-3	Racial Profiling
15-4	Blood Borne Pathogens
15-5	Courtroom Building Security
15-6	Taxicab Inspections
15-7	Administrative Notification
15-8	Hazardous Materials
15-9	On-Call Procedures
15-10	Citizen Ride-Along Program
15-11	Handling Mentally Ill Persons
15-12	Unusual Occurrences
15-13	Missing Persons
15-14	Rights of Victims and Witnesses
Chapter 16	Criminal Investigation Division
16-1	Covert and Raid Operations
16-2	Crime Analysis
16-3	Arson Protocol
16-4	Crime Scene Processing
16-5	Civil Condemnation Actions
16-6	Informants
Chapter 17	Animal Control
Chapter 18	Communications
18-1	Tactical Dispatch Plans

Model Policies



IACP National Law Enforcement Policy Center

(<http://www.theiacp.org/pubinfo/modpolalpha.htm>)

A wide variety of model law enforcement policies incorporate the research findings, input of leading subject experts and the professional judgment of the IACP National Law Enforcement Policy Center's advisory board members who have combined this information with their extensive practical field and management experience. The end product is some of the best contemporary thinking in the field.

The policies addressed are selected because they represent some of the most difficult issues facing law enforcement administrators. The Policy Center continues to develop models in other priority areas.

To receive model policies as they are published, you may join the center as a subscribing member (order form available online www.theiacp.org/pubinfo/MPorderform.pdf). In addition, the center publishes a quarterly newsletter designed to keep readers informed of recent research, legal decisions and related information affecting law enforcement agency policy. Model Policies are available in four volumes; a fifth volume is in process. They are available on CD-ROM or in a three-ring binder format at a cost is \$149 per volume (IACP members receive 15% discount: \$126.65). All other model policies are only available on an individual basis. The cost is \$6.25 each for subscribers, \$9.25 for non-subscribers. To subscribe, call 1-800-THE-IACP, ext 319, or email the project staff at gorey@theiacp.org.

Please visit <http://www.theiacp.org/pubinfo/PolCtr.htm> for the most up-to-date listing of model policies. As of September 2004, the Policy Center mailings will be sent electronically, any new subscribers must provide a valid email address to receive the emailing in PDF and Word formats. As of October 2004, departments will be able to subscribe to the Policy Center or renew their subscription online. They will also be able to place an order for Policies online using their credit card.

Model Policies

(In alphabetical order with date of publication)

Arrests 2/03	Cooperative Drug Enforcement 5/90
Bank/Financial Alarm Response 7/92	Corruption Prevention 10/96
Bike Patrol 8/04	Court Protection Orders 10/93
Body Armor Devices 4/99	Crime Analysis 10/93
Bomb Threats and Searches 3/96	Crime Scene Processing 2/03
Career Development 10/92	Criminal Court Appearance 10/96
Cellular Telephones 6/04	Criminal Intelligence 2/98
Civil Disturbances 2/92	Criminal Investigation 2/03
Civilian Personnel 10/93	Dealing with the Mentally Ill 4/97
Communicable Disease Prevention 6/04	Deaf and Hard of Hearing, The 6/03
Conducting Stakeouts 2/92	Death Notification 12/95
Confidential Funds of Arrest 12/89	Domestic Violence 10/96
Confidential Informants 12/89	Early Warning System 3/02

Electronic Messaging 2/98
Electronic Weapons Control 5/04
Electro-Muscular Control Weapons 6/04
Emergency Vehicular Warning 5/90
Employee Drug Testing 8/99
Employee Mental Health Services 1/94
Encounters with the Developmentally Disabled 6/03
Evacuations 12/02
Evidence Control in the Workplace 10/96
Executing a Search Warrant 12/89
Family and Medical Leave 12/95
Field Interviews and Pat-Down Searches 8/00
Firearms 4/97
Foot Pursuits 2/03
Grievance Procedures 7/92
Harassment and Discrimination - Workplace 4/00
Hate Crimes 8/91
HIV/AIDS Prevention 12/99
Hostage/Barricaded Subject Incidents 10/91
Identity Theft 1/02
Inspections 4/02
Interrogations and Confessions Policy 1/04
Interrogations and Confessions Paper 4/04
Investigating Child Abuse 10/93
Investigating Sexual Assault 11/99
Investigation of Employee Misconduct 7/01
Investigation of Officer Involved Shootings 8/99
Juvenile Curfew Enforcement 10/92
Juvenile Enforcement and Custody 10/92
Law Enforcement Canines 7/00
Less-than-Lethal Weapons 4/02**
Line-of-Duty Deaths 7/92
Lockups and Holding Facilities 4/95
Major Crime Scenes 4/95
Micro-Cassette Recorders 3/01
Missing Children 7/00
Missing Persons 9/94
Mobile Video Recording Equipment 10/92
Motor Vehicle Crash Review Process 10/96
Motor Vehicle Impoundment 2/97
Motor Vehicle Inventories 1/94
Motor Vehicle Searches 6/00
Motor Vehicle Stops 12/03
MOU: Interagency Assistance 7/00
Multi-Agency Investigation Teams 2/95
Obtaining a Search Warrant 4/95
Off-Duty Conduct: Powers of Arrest 10/96
Overtime 3/00
Pepper Aerosol Restraint Spray 9/94
Performance Recognition Awards 4/02
Personnel Transfer and Rotation 9/94
Police Officer Domestic Violence (No Charge) 4/99
Police Victim Assistance 10/91
Police-Citizen Contacts 8/00
Police-Media Relations 10/91
Polygraph Examinations 3/96
Post-Shooting Incident Procedure 5/90
Preliminary Death Investigation 4/97
Protection of Firearms and Explosives 1/94
Reporting Use of Force 8/00
Responding to Suspicious Mail – Biological Threats Policy Paper 6/04
Response to Civil Litigation 10/96
School Liaison 2/97
Secondary Employment 10/96
Showups, Photographic Identifications and Lineups 2/92
Standards of Conduct 8/97
Strikes and Labor Disputes 9/94
Strip and Body Cavity Searches 12/95
Temporary Light Duty 12/95

Transportation of Prisoners 10/96

Unbiased Policing 6/04

Use of Force 8/01

Vehicular Pursuit (No Charge) 10/96

Volunteers 6/04

Written Directives System 4/02

Model Policy

USE OF FORCE

<i>Effective Date</i> August 2001		<i>Number</i>
<i>Subject</i> Use of Force		
<i>Reference</i>		<i>Special Instructions</i>
<i>Distribution</i>	<i>Reevaluation Date</i> August 2002	<i>No. Pages</i> 2

I. Purpose

The purpose of this policy is to provide law enforcement officers of this agency with guidelines for the use of deadly and non-deadly force.

II. Policy

It is the policy of this law enforcement agency that officers use only the force that reasonably appears necessary to effectively bring an incident under control, while protecting the lives of the officer and others. It must be stressed that the use of force is not left to the unfettered discretion of the involved officer. This is not a subjective determination. The use of force must be objectively reasonable. The officer must only use that force which a reasonably prudent officer would use under the same or similar circumstances.

III. Definitions

Deadly Force: Any use of force that is reasonably likely to cause death.

Non-deadly Force: Any use of force other than that which is considered deadly force. This includes any physical effort used to control or restrain another, or to overcome the resistance of another.

Objectively Reasonable: This term means that, in determining the necessity for force and the appropriate level of force, officers shall evaluate each situation in light of the known circumstances, including, but not limited to, the seriousness of the crime, the level of threat or resistance presented by the subject, and the danger to the community.

IV. Procedures

A. Use of Deadly Force

1. Law enforcement officers are authorized to use deadly force to
 - a. Protect the officer or others from what is reasonably believed to be a threat of death or serious bodily harm; and/or
 - b. To prevent the escape of a fleeing violent felon who the officer has probable cause to believe will pose a significant threat of death or serious physical injury to the officer or others. Where practicable prior to discharge of the firearm, officers shall identify themselves as law enforcement officers and state their intent to shoot.

B. Deadly Force Restrictions

1. Officers may use deadly force to destroy an animal that represents a threat to public safety, or as a humanitarian measure where the animal is seriously injured, when the officer reasonably believes that deadly force can be used without harm to the officer or others.
2. Warning shots may be fired if an officer is authorized to use deadly force and only if the officer reasonably believes a warning shot can be fired safely in light of all circumstances of the encounter.
3. Decisions to discharge a firearm at or from a moving vehicle shall be governed by this use-of force policy and are prohibited if they present an unreasonable risk to the officer or others.

C. Use of Non-deadly Force

1. Where deadly force is not authorized, officers may use only that level of force that is objectively reasonable to bring an incident under control.
2. Officers are authorized to use department-approved, non-deadly force techniques and issued equipment to
 - a. Protect the officer or others from physical harm;
 - b. Restrain or subdue a resistant individual; and/or
 - c. Bring an unlawful situation safely and effectively under control.

D. Training

In addition to training required for firearms qualification, officers shall receive agency-authorized training designed to simulate actual shooting situations and conditions and, as otherwise necessary, to enhance officers' discretion and judgment in using deadly and non-deadly force in accordance with this policy.

This project was supported by Grant No. 2000-DD-VX-0020 awarded by the Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice. The Assistant Attorney General, Office of Justice Programs, coordinates the activities of the following program offices and bureaus: the Bureau of Justice Assistance, the Bureau of Justice Statistics, National Institute of Justice, Office of Juvenile Justice and Delinquency Prevention, and the Office of Victims of Crime. Points of view or opinions in this document are those of the author and do not represent the official position or policies of the United States Department of Justice or the International Association of Chiefs of Police.

Every effort has been made by the IACP National Law Enforcement Policy Center staff and advisory board to ensure that this model policy incorporates the most current information and contemporary professional judgment on this issue. However, law enforcement administrators should be cautioned that no "model" policy can meet all the needs of any given law enforcement agency. Each law enforcement agency operates in a unique environment of federal court rulings, state laws, local ordinances, regulations, judicial and administrative decisions, and collective bargaining agreements that must be considered. In addition, the formulation of specific agency policies must take into account local political and community perspectives and customs, prerogatives and demands; often divergent law enforcement strategies and philosophies; and the impact of varied agency resource capabilities, among other factors.

Policy Manuals Resources

There are many other resources available to help you get started in writing an entire Policy and Procedures Manual or to just review on written on a certain subject. Visit some of the following websites for more information.

1. The **IACPNet** website (is an information web-based network designed specifically for law enforcement professionals. It is a paid membership site offering a free tour of the website and a free sample Model Policy and Training Key. (www.iacpnet.com)
2. The **Florida State Highway Patrol** is a nationally accredited law enforcement agency whose website features a sample manual. (www.fhp.state.fl.us/Manuals/)
3. **IACP's National Law Enforcement Policy Center** has developed more than 95 policies on a wide range of topics. A free sample is available from the IACPNet website mentioned above. There is a small charge for these documents. (<http://www.theiacp.org/pubinfo/modpolalpha.htm>)
4. The Highway Safety Committee's "Traffic Safety Strategies for Law Enforcement," can be found on the **IACP Website**. Prepared to assist agencies in developing operational tactics and innovative approaches to reduce the number and frequency of traffic collisions, this document consists of forty-six strategies covering a broad range of management and technology topics. (www.theiacp.org)
5. The **IACP Technology Clearinghouse** lists multiple Policy and Standards resources at no charge. (www.iacptechnology.org)
6. The National Center for Rural Law Enforcement (NCRLE) Criminal Justice Institute – Model Policy and Procedures Manual, listed on the IACP Technology Clearinghouse site. (<http://www.cji.net/CJI/model/index.htm>)
7. The **Sample Directives for Virginia Law-Enforcement Agencies** is a collection of approximately sixty sample orders on important administrative and operational topics developed by the Commonwealth of Virginia Department of Criminal Justice Services. The sample directives manual is intended to help local agencies develop their own comprehensive, written guidance. The administrative component of the manual is oriented towards small law-enforcement agencies with little specialization beyond patrol personnel and a few investigators. The operational component consists of orders on common law-enforcement tasks. (www.dcjs.virginia.gov/cple/sampleDirectives)
8. The Commonwealth of Virginia Department of Criminal Justice Services website (above) also lists a variety of resources helpful to policy writers. The list includes references to help build a useful library on developing written administrative guidance. This list is not all-inclusive but represents many useful sources.

6

Accreditation

Introduction & CALEA Overview

CALEA Standards

Accreditation

What is Accreditation?

Accreditation is a progressive and time-proven way of helping law enforcement agencies calculate and improve their overall performances. The foundation of accreditation lies in the promulgation of standards containing a clear statement of professional objectives. Participating agencies conduct a thorough self-analysis to determine how existing operations can be adapted to meet these objectives. When the procedures are in place, a team of trained assessors verifies that applicable standards have been successfully implemented. The process culminates with a decision by a committee that the agency has met the requirements for accreditation.

Accreditation status represents a significant professional achievement. Accreditation acknowledges the implementation of policies and procedures that are conceptually sound and operationally effective.

Benefits of Accreditation

Following are the major benefits of accreditation:

Greater Accountability within the Agency

Accreditation standards give the Chief Executive Officer a proven management system of written directives, sound training, clearly defined lines of authority, and routine reports that support decision-making and resource allocation.

Controlled Liability Insurance Costs

Accredited status makes it easier for agencies to purchase law enforcement liability insurance; allows agencies to increase the limit of their insurance coverage more easily; and, in many cases, results in lower premiums, or receive other financial incentives.

Stronger Defense against Civil Lawsuits

Accredited agencies are better able to defend themselves against civil lawsuits. Also, many agencies report a decline in legal actions against them, once they become accredited.

Staunch Support from Government Officials

Accreditation provides objective evidence of an agency's commitment to excellence in leadership, resource management, and service-delivery. Thus, government officials are more confident in the agency's ability to operate efficiently and meet community needs.

Increased Community Advocacy

Accreditation embodies the precepts of community-oriented policing. It creates a forum in which law enforcement agencies and citizens work together to prevent and control challenges confronting law enforcement and provides clear direction about community expectations.

State and National Programs

Accreditation programs are available on the national level and in some areas on the state level. Each program varies in regards to requirements, the costs, and time commitment. To find out if your state has a program, contact your state association of chiefs of police. The national program, the Commission on Accreditation for Law Enforcement Agencies, Inc. ® (CALEA) is detailed in the following sections.

About CALEA®

(www.calea.org)

The Commission on Accreditation for Law Enforcement Agencies, Inc. (CALEA®), was established as an independent accrediting authority in 1979 by the four major law enforcement membership associations: International Association of Chiefs of Police (IACP); National Organization of Black Law Enforcement Executives (NOBLE); National Sheriffs' Association (NSA); and Police Executive Research Forum (PERF). The Executive Directors of these four associations appoint members to the Commission annually; an endorsement requires a majority vote for each appointment.

The Commission has 21 members; 11 members are law enforcement practitioners; the remaining 10 members are selected from the public- and private-sectors. Commissioners are appointed to a term of three years. The position of Commissioner is voluntary and receives no salary, although travel and per diem expenses are provided when conducting Commission business.

CALEA® maintains a small, professional staff managed by an Executive Director. The staff conducts all administrative and operational duties as directed by the Commission. Commission staff is available to assist applicant and accredited agencies through a toll-free telephone number.

CALEA® produces a newsletter, the *CALEA® Update*, three times a year and offers workshops to explain the accreditation process and standards during the Commission Conference held three times annually.

The Commission's Authority

CALEA® derives its general authority from the four major law enforcement membership associations mentioned above. Their members represent approximately 80% of the law enforcement profession in this nation. The Commission derives its accreditation authority from those agencies that voluntarily participate in the accreditation program.

The Purpose of the Commission

The overall purpose of the Commission's accreditation program is to improve delivery of law enforcement service by offering a body of standards, developed by law enforcement practitioners, covering a wide range of up-to-date law enforcement topics. It recognizes professional achievements by offering an orderly process for addressing and complying with applicable standards.

The Voluntary Nature of the Accreditation Program

Successful completion of the accreditation program requires *commitment* from all levels of the organization, starting with the chief executive officer. To foster commitment, a decision to participate should be *voluntary*. To this end, the Commission insures that law enforcement accreditation™ is and will continue to be a voluntary program.

Benefits

Besides the recognition of obtaining international excellence, the primary benefits of accreditation include controlled liability insurance costs, administrative improvements, greater accountability from supervisors, increased governmental and community support.

The Standards

The standards address nine major law enforcement subjects:

- Role, responsibilities, and relationships with other agencies
- Organization, management and administration
- Personnel structure
- Personnel process
- Operations
- Operational support
- Traffic operations
- Prisoner and court-related activities
- Auxiliary and technical services

Goals

The standards help law enforcement agencies:

- Strengthen crime prevention and control capabilities
- Formalize essential management procedures
- Establish fair and nondiscriminatory personnel practices
- Improve service-delivery
- Solidify interagency cooperation and coordination
- Boost citizen and staff confidence in the agency.

Compliance

Agencies that seek accreditation are required to comply only with those standards that are specifically applicable to them. Applicability is based on two factors: an agency's size and the functions it performs. Applicable standards are categorized as mandatory (M) or other-than-mandatory (O). Agencies must comply with all applicable mandatory standards and 80% of applicable other-than-mandatory standards. If an agency cannot comply with a standard because of legislation, labor agreements, court orders, or case law, waivers can be sought from the Commission.

"What" not "How"

Seeking to establish the best professional practices, the standards prescribe "what" agencies should be doing, but not "how" they should be doing it. That decision is left up to the individual agency and its Chief Executive Officer.

The principal publication of standards is the Standards for Law Enforcement Agencies. The first edition was issued in August 1983, the second edition in May 1987, the third edition in April 1994 and the fourth edition in January 1999. This last edition contains 446 standards organized into 38 chapters. The chapters are grouped according to similarities or topic areas. Unused numbers allow for new chapters or future realignment.

The Accreditation Process

The voluntary accreditation program can generally be divided into two parts: the standards and the process. The standards, discussed in the Standards Manual (Standards for Law Enforcement Agencies), are the building blocks from which everything else evolves. Left to themselves, however, the standards, as with all of the previous law enforcement standard-setting endeavors, would be nothing more than a pile of bricks. The process provides the blueprint and mortar to shape the standards into forms that are sturdy, useful, and lasting for the agency. The process provides order, guidance, and stability to those going through the program and ensures that the Commission can recognize professional achievement in a consistent, uniform manner.

There are five phases in the accreditation process:

1. Application
2. Self-assessment
3. On-site Assessment
4. Commission Review, and
5. Maintaining Compliance and Reaccreditation.

Application Phase

Agencies usually begin with a simple request for information. Staff will provide a free Information Package to the agency. The contents give descriptive information about the standards and program as well as explain how to get involved and order CALEA® manuals and products.

The next step is to purchase an Application Package for \$250. This package contains everything necessary to study and enroll in the program. The price of the package will be applied to the agency's accreditation fee if the agency signs an Accreditation Agreement within six months. While not officially working on accreditation, an agency is listed in Commission records as being "in the process" once it purchases an Application Package. Staff is available to answer questions or provide general assistance.

The accreditation process begins formally when an agency executes an Accreditation Agreement, which specifies the obligations of the agency and the Commission. Entry into the program is voluntary but requires the commitment of the agency's Chief Executive Officer, who signs the Agreement on behalf of the agency. Along with its signed Agreement, the agency submits a completed Application Form, Legal Basis and Eligibility Statement, and its accreditation fee, which is based on the agency's size.

After reviewing the agency's application materials, the Commission makes a preliminary determination of its eligibility to participate in the accreditation program. The Commission's Executive Director then signs the Accreditation Agreement, which is returned to the agency with an Agency Profile Questionnaire (APQ). The agency has thirty-six months from the date the Commission's Executive Director signs the Accreditation Agreement to perform its self-assessment.

The agency sends to staff the completed APQ containing agency-specific information to facilitate interaction with the accreditation manager to determine applicability of standards, interpret standards, and provide program-related assistance. The APQ is generally completed by the accreditation manager and is forwarded over the signature of the CEO. The information requested is for staff use only. Answers should be provided as conveniently as possible and "best estimate" may supersede research for precise accuracy in all cases.

Self-assessment Phase

The return of the APQ triggers the delivery of all necessary materials for the accreditation manager to use in conducting the agency's self-assessment. The manager initiates agency self-assessment, which involves a thorough examination by the agency to determine whether it complies with all applicable standards (see Self - assessment Manual).

The agency prepares forms and develops "proofs of compliance" for applicable standards (including brief explanations for not complying with other standards) and assembles the forms and "proofs" in a manner that will facilitate a review by Commission assessors. The agency also develops plans for accomplishing its public information requirements and on-site assessment, which pertain to activities for the next phase.

When the agency is satisfied that it has completed all compliance, preparation, and planning tasks, it notifies the Commission that it is ready to become a candidate for accreditation. The Commission approves the agency's candidate status, requests public information and on-site plans, and invoices the agency for its estimated on-site costs.

On-site Assessment Phase

The agency pays its on-site fees and submits its public information and on-site plans. The Commission selects a team of trained assessors, free of conflict with the candidate agency, and schedules all activities for the assessment team's travel, accommodations, and on-site review of the agency during a period mutually agreeable to all parties.

During the on-site visit, the assessors, acting as representatives of the Commission, review all standards and, in particular, verify the agency's compliance with all applicable standards. The assessors' relationship with the candidate agency is non-adversarial. Assessors provide the agency with verbal feedback on their progress during, and at the conclusion of, the assessment.

Later, the assessors submit a formal, written report of their on-site activities and findings through staff; a copy is forwarded to the agency. If the final report reflects compliance with all applicable standards and with required on-site activities, the agency is scheduled for a Commission review. If compliance issues remain unresolved, the agency may return to the self-assessment phase to complete unfinished work, or it may choose other options, e.g., appeal or voluntary withdrawal. A final assessment report is forwarded to the Commission when all applicable standards and required activities have been complied with. The Commission schedules a hearing at one of its meetings, usually the meeting immediately following the on-site assessment. The agency and its Chief Executive Officer are invited to attend, although attendance is not required.

Commission Review and Decision Phase

The agency makes plans (optional) to attend the scheduled hearing. At the hearing, the Commission reviews the final report and receives testimony from agency personnel, assessors, staff, or others. If satisfied that the agency has met all compliance requirements, the Commission awards the agency accredited status. Accreditation is for a period of three years. The agency is given an opportunity to critique the entire process following the award of accredited status.

The Commission furnishes the agency with a certificate of accreditation and encourages the agency to make arrangements for a formal presentation ceremony in its community.

Maintaining Compliance and Re-Accreditation Phase

To maintain accredited status, the accredited agency must remain in compliance with applicable standards. The agency submits Annual Reports to the Commission attesting to continued compliance and reporting changes or difficulties experienced during the year, including actions taken to resolve noncompliance. If necessary, the Commission reserves the right to schedule interim hearings to consider continuing accredited

status if noncompliance becomes a serious issue. At the conclusion of the three-year period, the Commission offers the agency an opportunity to repeat the process and continue accredited status into the future.

The Costs

Law Enforcement Accreditation Application Fee

An Accreditation Application Package costs \$250 and includes Commission publications, application forms, and accreditation agreements. This fee is not refundable unless an agency is ruled ineligible to participate in the accreditation program. However, it will be credited toward the agency's initial accreditation fee if an agreement is signed within six months.

Accreditation and On-Site Fees

The initial accreditation fee is due when the agency signs its accreditation agreement, and may be paid in a lump sum or in two or three installments. Once an agency achieves Accreditation, it pays annual continuation fees. The following chart depicts current accreditation fees:

Number of Authorized Full-Time Employees*	Lump-Sum Payment Of:	Two Installments Of:
1-24	\$ 4,675	\$ 2,455
25-199	7,650	4,015
200-999	12,325	6,470
1000+	16,150	8,480

**Authorized full-time employees include the sworn and nonsworn personnel; if your agency maintains a jail that houses sentenced prisoners or is a department of public safety that employs fire, emergency medical, or other personnel, please call the Commission for information about whether to include them in the total.*

Estimated on-site fees are paid prior to the assessment, and cover the charges associated with the assessor's on-site assessment: travel, lodging and per diem, assessors' honorariums, and related costs. Currently the estimated cost is \$7,500, but agencies with more than 1000 personnel can expect to pay more.

Contract-Extension Fees

Most agencies take 24 months to complete self-assessment. Recognizing that some agencies may require more time, the Commission has placed a three-year time limit on the accreditation contract. If an agency reaches the 36th month of self-assessment and has not become accredited, its contract may be extended annually for 35% of its original fee.

Commission on Accreditation for Law Enforcement Agencies, Inc

Law Enforcement Accreditation Application Request Form

Please send me an Application Package @ \$250.00 to include:

- A descriptive and instructional letter
- Application forms
- Accreditation Agreements
- 1 copy of the **Accreditation Process Book**
- 2 copies of the **Standards for Law Enforcement Agencies** manuals
- 1 copy of the **Self-assessment Manual**

This application package is valid for six (6) months from the date of purchase. If the Agreements are returned **with payment** during the six-month period, you may deduct the application fee from either the lump sum or first installment.

Agency Information:

Requestor Name & Title: _____

CEO Name & Title: _____

Agency Name: _____

Street Address: _____

City: _____ State/Province: _____ Postal Code: _____

Requestor's Phone Number: _____ E-Mail Address: _____

Agency's Phone Number: _____ Fax Number: _____

Method of Payment: CALEA® offers three easy ways to remit payment:

1. Agency Purchase Order _____
2. Check made payable to **CALEA®**
3. VISA/MasterCard # _____ Expiration Date: _____

**Send to: CALEA®, 10302 Eaton Place, Suite 100, Fairfax, VA 22030-2215
or Fax to (703) 591-2206**

CALEA® Recognition Program

The Recognition Program was developed to serve as a stepping-stone for smaller law enforcement agencies that wish to participate in a professional credentialing program, but may not have the resources to participate in the Accreditation Program. The **process** for achieving Recognition is the same as the Accreditation Program: Application, Self-assessment, On-site Assessment, Commission Review, and Maintaining Compliance and Re-recognition.

The CALEA Recognition Program is based on 97 standards selected by the Commission from the Law Enforcement Accreditation Program standards. The standards address (1) life, health, and safety issues, (2) critical management issues, and (3) conditions that reduce major risk and high liability exposure. All the standards in the Recognition Program are designated **mandatory (M)**, so participating agencies must meet all the standards that are applicable to its statutory role or mission.

Once an agency earns the award of CALEA Recognition, the award period is for three years; maintaining compliance, the submission of an annual report, and re-assessment are required to continue the award. The agency may remain in **recognition** status or opt to enter the Law Enforcement Accreditation Program, comply with the appropriate remaining standards, and achieve **accredited** status.

THE COSTS

CALEA® Recognition Application Fee

A Recognition Application Package costs \$150 and includes Commission publications, application forms, and accreditation agreements. This fee is not refundable unless an agency is ruled ineligible to participate in the accreditation program. The Application Package is valid for six months.

Recognition and On-Site Fees

The initial recognition fee is due when the agency signs its recognition agreement. Once an agency achieves CALEA Recognition, it pays annual continuation fees. The following chart depicts current fees:

Number of Authorized Full-Time Employees*	Initial Recognition Fee:	Re-recognition Annual Continuation Fees:
1-24	\$ 1,035	\$ 3,435
25-199	\$ 1,680	\$ 4,030
200-999	\$ 2,700	\$ 4,965
1000+	\$ 3,555	\$ 5,730

**Authorized full-time employees include the sworn and nonsworn personnel; if your agency maintains a jail that houses sentenced prisoners or is a department of public safety that employs fire, emergency medical, or other personnel, please call the Commission for information about whether to include them in the total.*

Estimated on-site fees are paid prior to the assessment, and cover the charges associated with the assessment: assessor's travel, lodging and per diem, honorarium, and related costs. Currently, the estimated cost is \$2,500.

Commission on Accreditation for Law Enforcement Agencies, Inc

**CALEA® Recognition
Application Request Form**

Please send me an Application Package @ \$150.00 to include:

- A descriptive and instructional letter
- Application forms
- Recognition agreements
- **Accreditation Process Book**
- Two **Standards for Law Enforcement Recognition** manuals
- **Self-assessment Manual**

This application package is valid for six (6) months from the date of purchase.

Agency Information:

Requestor Name & Title: _____

CEO Name & Title: _____

Agency Name: _____

Street Address: _____

City: _____ State/Province: _____ Postal Code: _____

Requestor's Phone Number: _____ E-Mail Address: _____

Agency's Phone Number: _____ Fax Number: _____

Method of Payment: CALEA® offers three easy ways to remit payment:

1. **by** Agency Purchase Order _____
2. **by** check made payable to **CALEA®**
3. **by** VISA/MasterCard # _____ Expiration Date: _____

Mail to: CALEA®, 10302 Eaton Place, Suite 100, Fairfax, VA 22030-2215 **or Fax to:** (703) 591-2206

Contacting CALEA

(www.calea.org)

For additional information contact the Commission on Accreditation for Law Enforcement Agencies, Inc. (CALEA) at 10302 Eaton Place, Suite 100, Fairfax, VA 22030, phone: 800-368-3757 or 703-352-4225, Fax: 703-591-2206 or by email: calea@calea.org.

Information is current as of June 15, 2004. Fees are subject to change, as are the CALEA® Standards.

CALEA Standards for Smaller Law Enforcement Agencies*

Overview

Steps for Smaller agencies seeking CALEA Accreditation:

1. Review all Standards to determine which ones are applicable to your agency (according to functions your agency performs and size of your agency).
2. Must comply with all applicable mandatory standards. (waiver can be sought in certain cases.
3. Must comply with any 80% of the applicable other-than-mandatory standards.
4. If a smaller agency chooses to perform the function required by a N/A standard, it becomes applicable and the standard must be met.

The standards address nine major law enforcement subjects:

- role, responsibilities, and relationships with other agencies
- organization, management and administration
- personnel structure
- personnel process
- operations
- operational support
- traffic operations
- prisoner and court-related activities
- auxiliary and technical services

Goals

The standards help law enforcement agencies:

- strengthen crime prevention and control capabilities
- formalize essential management procedures
- establish fair and nondiscriminatory personnel practices
- improve service-delivery
- solidify interagency cooperation and coordination
- boost citizen and staff confidence in the agency.

Compliance

Agencies that seek accreditation are required to comply only with those standards that are specifically applicable to them. Applicability is based on two factors: an agency's size and the functions it performs. Applicable standards are categorized as mandatory (M) or other-than-mandatory (O). Agencies must comply with all applicable mandatory standards and 80% of applicable other-than-mandatory standards. If an agency cannot comply with a standard because of legislation, labor agreements, court orders, or case law, waivers can be sought from the Commission.

"What" Not "How"

In the Commission's view, the standards reflect the best professional requirements and practices for a law enforcement agency. The requirements in each standard provide a description of "WHAT" must be accomplished by the applicant agency, but allows that agency wide latitude in determining "HOW" it will

** defined as having 1-24 authorized full time personnel, sworn and unsworn*

achieve its compliance with each applicable standard. That decision is left up to the individual agency and its Chief Executive Officer. This approach allows independence and is the key to understanding the universal nature and flexibility of the standards approved by the Commission for this manual. Compliance should never be limited to a single means of achievement. Consequently, compliance is always attainable.

Nature and Scope of the Standards

The principal publication of standards is the Standards for Law Enforcement Agencies. The first edition was issued in August 1983; the second edition in May 1987, the third edition in April 1994 and the fourth edition in January 1999. This last edition contains 445 standards organized into 38 chapters. The chapters are grouped according to similarities or topic areas. Unused numbers allow for new chapters or future realignment.

The Commission expects accredited agencies to maintain compliance and live by the letter and spirit of the standards. There is a presumption on the part of the Commission that agencies operate in compliance with their written directives. Successful agencies, then, focus single-mindedly upon complying with standards in a manner that most effectively meets the needs of their individual agency and the citizens they serve. The agency must consider its mission, its legally mandated responsibilities, and the demands of its service community in determining which standards are applicable to it and how it will comply with them.

Each standard is composed of three parts: The standard statement, the commentary, and the levels of compliance.

The standards statement is a declarative sentence that places a clear-cut requirement, or multiple requirements, or an agency. The standard statement (if applicable) is binding on the agency.

The commentary supports the standard statement but is not binding. It serves as a prompt, as guidance to clarify the intent of the standard, or as an example of one possible way to comply with the standard. Since the agency has the latitude to determine "HOW" it will comply with the applicable standards to effectively meet its needs, and since the burden of proof to verify this compliance is also the responsibility of the agency, it can choose to ignore the commentary and comply with the standard on its own terms.

The level of compliance denotes the relative importance assigned to each standard, if applicable, based upon agency size. For each of four agency-size categories, the levels of compliance indicate whether a given standard is mandatory (M), other-than-mandatory (O), or not applicable (N/A). Standards dealing with life, health, safety issues; legal matters; of which are considered essential law enforcement requirements are classified as mandatory. Standards dealing with important or desirable law enforcement requirements or with exemplary activities are classified as other-than-mandatory. Standards not required of agencies because of their size are classified as not applicable.

Agency size is defined as the total number of authorized full-time personnel (sworn and non sworn). The four agency-size categories are A (1-24 personnel), B (25-74), C (75-299), and D (300 or more).

Standards are grouped in chapters by subject areas. Each chapter begins with an introduction. In much the same way as the commentary, each introduction may provide important guidance to an agency regarding the subject area, its applicability, or the related standards. Key terms used throughout the Standards Manual are defined in the glossary.

Chapter #	# of Mandatory Standards	# of Other-than-mandatory Standards	# of N/A Standards	# of Standards to be Observed
1	22	1		
2	1	3		
3	2			
11	8	5	1	
12	5	1		
15			2	
16	9	3	4	1
17	6	2	2	
21	1	2	1	
22	12	2		
24	2			
25	2	1		
26	8			
31	8	1		
32	17			
33	19	5	1	
34	6	1		
35	12	2		
41	15	3		1
42	6	6	2	
43	3	2	1	
44	4	3	1	
45		4	3	
46	12	1	2	
51	2			
52	6	6		
53		1	1	
54	1	2		
55	5	3	1	
61	16	10	2	
71	15			2
72	44	1		6
73	6	1		3
74	7			
81	19	2		10
82	15	5	2	
83	10			
84	6	1		2
TOTALS:	332	80	26	25

80% = 64

NOTE: Remember that the standards need to be reviewed to determine which ones are APPLICABLE for your agency. Of that group, all of the Mandatory standards and 80% of the other-than-mandatory standards must be met for accreditation.

Categorization

Codes used in the “Descriptions of Standards”:

(from CALEA Standards, 4th Edition, January 1999)

M = mandatory

O = other than mandatory

N/A = not applicable due to size of agency

CALEA = Commission of Accreditation for Law Enforcement Agencies

Smaller agencies seeking CALEA Accreditation:

1. Review all Standards to determine which ones are applicable to your agency (according to functions your agency performs and size of your agency).
2. Must comply with all applicable mandatory standards. (waiver can be sought in certain cases.
3. Must comply with any 80% of the applicable other-than-mandatory standards.
4. If a smaller agency chooses to perform the function required by a N/A standard, it becomes applicable and the standard must be met.

Descriptions of Standards Approved for Publication by the Commission

Chapters 1-3: Law Enforcement Role, Responsibilities and Relationships

Chapter 1: Law Enforcement Role and Authority

Standards related to the role, authority, and discretion of agency personnel. Clear, written policy on the use of force and deadly force are required. Specific standards deal with the authorization, training and proficiency testing of agency weapons. Standards also address report and review requirements for incidents where force or weapons are used.

1. Law Enforcement Role and Authority:

- ♦ Law Enforcement Agency Role: 2 M 1 O
- ♦ Limits of Authority: 8 M
- ♦ Use of Force: 12 M

Chapter 2: Agency Jurisdiction and Mutual Aid

Defining geographical boundaries and areas of concurrent jurisdiction are required. Mutual aid agreements, in the absence of controlling legislation are requested, as well as procedures for assistance in emergency situations.

2. Agency Jurisdiction and Mutual Aid

- ♦ Agency Jurisdiction and Mutual Aid: 1 M 3 O

Chapter 3: Contractual Agreements for Law Enforcement Services

If law enforcement assistance is provided, standards in this chapter lay out the specifications for contractual agreements that should be in existence.

3. Contractual Agreements for Law Enforcement Services

- ◆ Contractual Agreements: 2 M

Chapters 4-10 are reserved for future use.

Chapters 11-17: Organization, Management and Administration

Chapter 11: Organization

Standards address agency organization with specific attention to unity of command, span of control, delineation of responsibility, and delegation of authority. Programs for more efficient agency use of personnel and resources, including accreditation maintenance are covered. The planning function is presumed in all agencies. Standards address describing functional activities, organizational placement, and distribution of analytical reports, if used.

11. Organization and Administration

- ◆ Organizational Structure: 2 M
- ◆ Unity of Command: 2 M
- ◆ Authority and Responsibility: 2 M
- ◆ General Management and Administration: 2 O
- ◆ Goals and Objectives: 1 M 1 O
- ◆ Planning and Research: 1 M 2 O 1 N/A

Chapter 12: Direction

Standards guide the agency chief executive officer's responsibility to establish specific agency policies. Standards also address designation of command during the absence of the CEO and accountability of supervisors for performance of subordinates. Standards require that an employee follow written procedures when he/she receives a conflicting order or directive. Establishment of a written directive system is also required.

12. Direction

- ◆ Direction: 3 M 1 O
- ◆ Written Directives: 2 M

Chapter 13 and 14 are reserved for future use.

Chapter 15: Crime Analysis

These standards address the collection, collation, analysis, and dissemination of data relating to crime. The factors included in the analysis should also be identified.

15. Crime Analysis

- ◆ Crime Analysis: 2 N/A

Chapter 16: Allocation and Distribution of Personnel and Personnel Alternatives

This chapter calls for a position management system and provides guidelines for the allocation and distribution of personnel within the agency. Standards address the identification and review of specialized assignments, as well as how these positions might be filled. Specific standards require reserve selection and

training comparable to that of full-time officers; auxiliaries are not commissioned as officers; and encourage the use of civilian employees, where appropriate.

16. Allocation and Distribution of Personnel and Personnel Alternatives

- ◆ Allocation and Distribution of Personnel: 2 N/A
- ◆ Specialized Assignment: 2 O 1 N/A
- ◆ Reserves: 6 M 1 O
- ◆ Auxiliaries: 3 M **(Observed)**
- ◆ Civilians: 1 N/A

Chapter 17: Fiscal Management and Agency-Owned Property

Standards in this chapter relate to administration, budgeting, purchasing, accounting, and procedures for the inventory and control of agency-owned property.

17. Fiscal Management and Agency-Owned Property

- ◆ Fiscal Management: 1 O
- ◆ Budget: 2 N/A
- ◆ Purchasing: 1 M
- ◆ Accounting: 3 M
- ◆ Agency-Owned Property: 2 M 1 O

Chapters 18-20 are reserved for future use.

Chapters 21-26: The Personnel Structure

Chapter 21: Classification and Delineation of Duties and Responsibilities

Standards in this chapter relate to task analysis, classification and processes and procedures used to describe the nature of the work performed by the agency.

21. Classification and Delineation of Duties and Responsibilities

- ◆ Task Analysis: 1 O
- ◆ Classification: 1 M 1 O 1 N/A

Chapter 22: Compensation, Benefits, and Condition of Work

Standards address policies on salaries, leave, health, disability, retirement and liability protection programs. The standards also address the clothing and equipment provided by the agency as well as a description of any educational benefits. Finally, standards address physical examinations, general health requirements, and secondary employment.

22. Compensation, Benefits, and Condition of Work

- ◆ Compensation: 1 M
- ◆ Benefits: 8 M 1 O
- ◆ Conditions of work: 3 M 1 O

Chapter 23: Reserved

Chapter 24: Collective Bargaining

The standards in this chapter apply to those law enforcement agencies in which collective bargaining, by law, is an ongoing practice. Standards address the agencies role in the process the CEO's responsibility once the labor agreement is ratified.

24. Collective Bargaining

- ◆ Collective Bargaining and Contract Management: 2 M

Chapter 25: Grievance Procedures

These standards establish formal procedures by which employees resolve their grievances with management in a fair and expeditious manner. Standards specify the criteria for determining if the agency has a viable grievance procedure and if the elements of that procedure are in accord with contemporary personnel practices. Specific standards address the position responsible for coordinating grievances, the maintenance and control of records, and an annual analysis of grievances.

25. Grievance Procedures

- ◆ Grievance Procedures: 2 M 1 O

Chapter 26: Disciplinary Procedures

Standards are oriented toward a "systems" approach to discipline. They are dependent on standards contained in other chapters such as selection, training, and direction. Specific standards require a written code of conduct, including appearance, for agency personnel. Other standards address rewards, counseling, and training as forms of discipline or establish procedures for punitive action, including oral and written reprimands, loss of leave, suspension, demotion, and dismissal.

26. Disciplinary Procedures

- ◆ Grievance Procedures: 8 M

Chapters 27-30 are reserved for future use.

Chapters 31-35: The Personnel Process

Chapter 31: Recruitment

Standards address the methods, techniques and policies relied upon by agencies to attract and enlist qualified applicants. Accredited agencies are expected to be equal opportunity employers and working toward achieving a sworn work force that is representative of the available work force in the agency's service area.

31. Recruitment

- ◆ Administrative Practices and Procedures: 2 M
- ◆ Equal Employment Opportunity and Recruitment: 3 M
- ◆ Job Announcement and Publicity: 3 M 1 O

Chapter 32: Selection

Standards address describing all elements of the selection process and insuring their job relatedness in content, administration and implementation. Standards stress informing the candidates and security of

records and selection materials. Specific standards deal with background investigations, polygraph examinations, medical and psychological examinations and probationary status.

32. Selection

- ◆ Professional and Legal Requirements: 7 M
- ◆ Administrative Practices and Procedures: 10 M

Chapter 33: Training and Career Development

This is a large chapter and deals with general administration of training by the agency, an outside entity providing training for the agency, or both. Administrative issues such as attendance, lesson plans and records are addressed. Standards address the agency's academy or its relationship with an outside academy. The training of full-time instructors is required. Sections of this chapter deal with entry-level, inservice, specialized and civilian training. This chapter also includes training for personnel assigned to career development and provides for skills development training to personnel upon promotion.

33. Training and Career Development

- ◆ Administration: 5 M 1 O 1 N/A
- ◆ Academy: 4 M 1 O
- ◆ Training Instructors: 1 O
- ◆ Recruit Training: 3 M
- ◆ In-Service, Shift Briefing, and Advanced Training: 2 M 1 O
- ◆ Specialized In-Service Training: 2 M
- ◆ Civilian Training: 2 M
- ◆ Career Development: 1 M 1 O

Chapter 34: Promotion

This chapter addresses the agency's role in the promotional process, requires a description of all elements used in the process as well as insuring that each element used is job related and nondiscriminatory. Written announcements of the promotional process are to be given to candidates and procedures for the development and use of eligibility lists are to be established. A probationary period for newly promoted employees is encouraged.

34. Promotion

- ◆ Professional and Legal Requirements: 6 M 1 O

Chapter 35: Performance Evaluation

Standards define the agency's performance evaluation system. Specific standards require an annual, documented performance evaluation of each employee, to cover a specific period and provide for interaction between the supervisor and the employee.

35. Performance Evaluation

- ◆ Administration: 12 M 2 O

Chapters 36-40 are reserved for future use.

Chapters 41-46: Law Enforcement Operations

Chapter 41: Patrol

Standards in this chapter relate to the administration, operations and equipment of the patrol function of a law enforcement agency. Key standards in this chapter require a policy on motor vehicle pursuits and the provision of body armor to all uniformed officers.

41. Patrol

- ◆ Administration: 3 M 1 O
- ◆ Operations: 5 M 1 O
- ◆ Equipment: 7 M 1 O (Observed)

Chapter 42: Criminal Investigation

Standards address the criminal investigation function from the perspective that both uniformed officers and specialized investigators perform this function. No attempt is made to detail step-by-step procedures for individual crime categories such as homicide, rape, robbery, burglary, larceny, or arson: rather, the standards approach criminal investigations with the understanding that the agency has discretion in determining the degree of specialization required to accomplish effective investigations. Standards in this chapter are closely related to topical areas addressed in other chapters, including Vice, Drug and Organized Crime (43), Juvenile Operations (44), Criminal Intelligence (51), and Collection and Preservation of Evidence (83).

42. Criminal Investigation

- ◆ Administration: 1 M 4 O
- ◆ Operations: 5 M 2 O 2 N/A

Chapter 43: Vice, Drugs, and Organized Crime

Standards in this chapter relate to the control of vice, drugs and organized crime. These functions deal with activities that may or may not be related but use investigative methods that are closely related. While some agencies may separate the functions, others may place them in a single organizational component or as additional sub-functions within the criminal investigations function.

43. Vice, Drugs, and Organized Crime

- ◆ Administration and Operations: 3 M 2 O 1 N/A

Chapter 44: Juvenile Operations

Standards address both enforcing the law with respect to juvenile offenders and developing programs designed to prevent juvenile delinquency. Specific standards relate to the organizational and operational aspects of juvenile operations.

44. Juvenile Operations

- ◆ Administration: 1 M 1 O 1 N/A
- ◆ Operations: 3 M 2 O

Chapter 45: Crime Prevention and Community Relations

Standards in this chapter relate to crime prevention and community relations. While these concepts are

different, they often merge when law enforcement services are provided. Crime prevention standards call for some basic functions for citizens and business. Community relations standards require some minimum functions, reports to keep the CEO apprised, and a survey of citizen attitudes.

45. Crime Prevention and Community [Involvement] Relations

- ♦ Crime Prevention: 2 O 1 N/A
- ♦ Community Involvement: 2 O 2 N/A

Chapter 46: Unusual Occurrences and Special Operations

Standards in this chapter relate to major incidents on the order of natural/man-made disasters, civil disturbance and special events which are encountered by a law enforcement agency. Whether the agency has the capability to handle these situations solely or as a "first-responder" until specialized assistance arrives, the chapter emphasizes advanced planning, preparedness, and operational readiness. A second section deals with special operations and tactical teams, their selection, training and equipment.

46. Unusual Occurrences and Special Operations

- ♦ Unusual Occurrences: 7 M 1 O 2 N/A
- ♦ Special Operations: 5 M

Chapters 47-50 are reserved for future use.

Chapters 51-55: Operations Support

Chapter 51: Intelligence

If the agency performs criminal intelligence, standards address procedures to ensure legality and integrity of the operation as well as the security of information and records.

51. [Criminal] Intelligence

- ♦ Administration: 2 M

Chapter 52: Internal Affairs

The agency is required to investigate all complaints against it and its employees. Standards provide for organizational placement to ensure CEO accessibility, written investigative procedures, complainant notification, maintenance and security of records as well as annual summary and public availability.

52. Internal Affairs

- ♦ Administration and Operations: 6 M 6 O

Chapter 53: Inspectional Services

This chapter addresses the procedures for line inspections and staff inspections.

53. Inspectional Services

- ♦ Line Inspections: 1 O
- ♦ Staff Inspections: 1 N/A

Chapter 54: Public Information

Standards in this chapter relate to the public information function. Specific standards require some minimum functions, encourage input from the media in establishing policy and procedures, and setting up procedures for media access to the scenes of major events.

54. Public Information

- ◆ Public Information: 1 M 2 O

Chapter 55: Victim/Witness Assistance

The victim/witness assistance standards establish the agency's commitment to assistance through fair, compassionate and dignified treatment and development, implementation and continuation of victim/witness programs and activities. In addition, the standards require an analysis of appropriate services that the agency can provide without duplicating services offered elsewhere in the community. Based on these findings, standards address victim/witness services offered prior to preliminary investigations, during preliminary and follow-up investigations, and following arrest of the suspect. The goal of this chapter of standards is to ensure that victims and other witnesses, including agency members and their families, receive professional assistance and handling consistent with their important investigative and prosecutory role.

55. Victim/Witness Assistance

- ◆ Administration: 1 M 1 O 1 N/A
- ◆ Operations: 4 M 2 O

Chapters 56-60 are reserved for future use.

Chapter 61: Traffic

This is another large chapter aimed at governing the process and procedures that enable the agency to execute its traffic-related responsibilities and services. The Agency may choose its own organizational approach to this responsibility and assign functions to the patrol function or to other specialized functions. Specific sections of standards address traffic enforcement, accident investigation, traffic direction and control and ancillary services.

61. Traffic

- ◆ Traffic Enforcement: 7 M 4 O 2 N/A
- ◆ Traffic Collision Investigation: 3 M 1 O
- ◆ Traffic Direction and Control: 3 M 4 O
- ◆ Ancillary Services: 3 M 1 O

Chapters 62-70 are reserved for future use.

Chapters 71-74: Prisoners and Court-Related Activities

Chapter 71: Prison Transportation

Standard address procedures for transporting persons in the custody of the agency. Two general time periods are involved: immediately after arrest, prior to booking, holding or transfer to another facility; and movement of prisoners from one detention facility to another, to the hospital, to court, or elsewhere. Specific standards govern the use of handcuffs and restraining devices and require that vehicles used to transport prisoners be searched before and after each trip.

71. Prison Transportation

- ◆ Transport Operations: 8 M
- ◆ Restraining Devices: 1 M
- ◆ Special Transport Situations: 3 M
- ◆ Transport Equipment: 2 M (Observed, 2)
- ◆ Documentation: 1 M

Chapter 72: Holding Facilities

This is the largest chapter in the manual. The standards in this chapter are applicable to law enforcement agencies who have holding facilities under their control for the short term custody of detainees, usually 72 hours or less, between the time a person is arrested and the occasion of their first judicial appearance. These standards are not applied to facilities operated as a jail or other correctional institution whose primary purpose is to house detainees for periods exceeding 72 hours.

Specific sections of this chapter address administration and management, physical plan, safety and sanitation, security and control, detainee processing, medical and health care services, and detainee rights. Some standards in this chapter are marked (*) to assist agencies who have special purpose holding cells (e.g., cells in the court).

The last section of this chapter is intended to apply to those agencies who have no holding facilities, but who use interview or waiting rooms to detain persons for short periods of time, usually not exceeding 2 hours, while they are being processed, questioned, tested, or awaiting release. This section requires those agencies to establish some basic safety and security procedures as well as exercising supervision of detainees while under their control.

72. Holding Facility [Facilities]

- ◆ Organization, Administration, and Management: 3 M
- ◆ Physical Plant: 1 M (Observed)
- ◆ Safety and Sanitation: 3 M
- ◆ Security and Control: 11 M (Observed, 2)
- ◆ Detainee Processing: 9 M (Observed)
- ◆ Medical and Health Card Services: 4 M 1 O (Observed, 2)
- ◆ Detainee Rights: 1 M
- ◆ Supervision of Detainees: 5 M
- ◆ Temporary Detention: 7 M

Chapter 73: Court Security

Standards apply to those law enforcement agencies with responsibilities for the security of a courtroom, courthouse, or both. Specific standards require written description of the agencies role and responsibility as well as its policies and procedures for this function. Security functions should be based on court needs. Equipment should be identified and maintained in a state of operational readiness. Courtrooms should be equipped with a means of external communication.

73. Court Security

- ◆ Administration: 1 M

- ◆ Operations: 1 M
- ◆ Security Policy and Procedures: 2 M
- ◆ Equipment: 2 M 1 O (Observed, 3)

Chapter 74: Legal Process

Standards address court-originated legal processes which are addressed to the agency for service. The agency must maintain accurate records on all civil or criminal process received and served. Specific standards require procedures for serving both types of process, calls for execution by sworn officers and requires accounting and disposition on all property acquired through the civil process.

74. Legal Process

- ◆ Records: 2 M
- ◆ Civil Process: 2 M
- ◆ Criminal Process: 2 M
- ◆ Property: 1 M

Chapters 75-80 are reserved for future use.

Chapters 81-84: Auxiliary and Technical Services

Chapter 81: Communications

Standards within this chapter are concerned with law enforcement communications either provided by the agency or by a shared or regional entity. The standards are divided into three sections: administration, operations, and facility and equipment. Specific standards require that the agency's communications be conducted in compliance with the Federal Communication (FCC) requirements. Operational standards requires 24-hour, toll-free access, continuous, two-way radio capability, uninterrupted recording of emergency transmissions and telephone conversations, instant playback capability that the agency establish procedures for recording radio transmissions and emergency telephone conversations.

81. Communications

- ◆ Administration: 2 M
- ◆ Operations: 15 M (Observed, 6)
- ◆ Facilities and Equipment: 2 M 2 O (Observed, 4)

Chapter 82: Records

This chapter addresses the law enforcement agency's central records function. The administration section addresses privacy and security issues, records retention, 24-hour accessibility and a report accountability system. The second section basically requires a field reporting system with case numbering and report review procedures. The third section addresses various types of records systems, including master name index, traffic records, citations and wanted persons.

82. Records

- ◆ Administration: 6 M 3 O
- ◆ Field Reporting and Management: 4 M 1 O
- ◆ Records: 5 M 1 O 2 N/A

Chapter 83: Collection and Preservation of Evidence

This chapter addresses the crime scene processing and evidence collecting function of an agency. Standards require 24-hour availability of technicians, establish evidence collection and submission procedures and ensure the availability of equipment and supplies.

83. Collection and Preservation of Evidence

- ◆ Administration: 2 M
- ◆ Operations: 6 M
- ◆ Evidence Handling: 2 M

Chapter 84: Property Management

Standards address property which is evidentiary, recovered or found and how it is handled, including storage and disposition of special materials such as narcotics, firearms and hazardous materials. Specific standards require all property stored by the agency be kept secure and require semi-annual, unannounced inspections of storage areas, and final disposal as soon as practical.

84. Property Management

- ◆ Administration and Operations: 6 M 1 O (Observed, 2)

CALEA Standards for Smaller Law Enforcement Agencies*

Overview

Steps for Smaller agencies seeking CALEA Accreditation:

1. Review all Standards to determine which ones are applicable to your agency (according to functions your agency performs and size of your agency).
2. Must comply with all applicable mandatory standards. (waiver can be sought in certain cases.
3. Must comply with any 80% of the applicable other-than-mandatory standards.
4. If a smaller agency chooses to perform the function required by a N/A standard, it becomes applicable and the standard must be met.

The standards address nine major law enforcement subjects:

- role, responsibilities, and relationships with other agencies
- organization, management and administration
- personnel structure
- personnel process
- operations
- operational support
- traffic operations
- prisoner and court-related activities
- auxiliary and technical services

Goals

The standards help law enforcement agencies:

- strengthen crime prevention and control capabilities
- formalize essential management procedures
- establish fair and nondiscriminatory personnel practices
- improve service-delivery
- solidify interagency cooperation and coordination
- boost citizen and staff confidence in the agency.

Compliance

Agencies that seek accreditation are required to comply only with those standards that are specifically applicable to them. Applicability is based on two factors: an agency's size and the functions it performs. Applicable standards are categorized as mandatory (M) or other-than-mandatory (O). Agencies must comply with all applicable mandatory standards and 80% of applicable other-than-mandatory standards. If an agency cannot comply with a standard because of legislation, labor agreements, court orders, or case law, waivers can be sought from the Commission.

"What" Not "How"

In the Commission's view, the standards reflect the best professional requirements and practices for a law enforcement agency. The requirements in each standard provide a description of "WHAT" must be accomplished by the applicant agency, but allows that agency wide latitude in determining "HOW" it will

** defined as having 1-24 authorized full time personnel, sworn and unsworn*

achieve its compliance with each applicable standard. That decision is left up to the individual agency and its Chief Executive Officer. This approach allows independence and is the key to understanding the universal nature and flexibility of the standards approved by the Commission for this manual. Compliance should never be limited to a single means of achievement. Consequently, compliance is always attainable.

Nature and Scope of the Standards

The principal publication of standards is the Standards for Law Enforcement Agencies. The first edition was issued in August 1983; the second edition in May 1987, the third edition in April 1994 and the fourth edition in January 1999. This last edition contains 445 standards organized into 38 chapters. The chapters are grouped according to similarities or topic areas. Unused numbers allow for new chapters or future realignment.

The Commission expects accredited agencies to maintain compliance and live by the letter and spirit of the standards. There is a presumption on the part of the Commission that agencies operate in compliance with their written directives. Successful agencies, then, focus single-mindedly upon complying with standards in a manner that most effectively meets the needs of their individual agency and the citizens they serve. The agency must consider its mission, its legally mandated responsibilities, and the demands of its service community in determining which standards are applicable to it and how it will comply with them.

Each standard is composed of three parts: The standard statement, the commentary, and the levels of compliance.

The standards statement is a declarative sentence that places a clear-cut requirement, or multiple requirements, on an agency. The standard statement (if applicable) is binding on the agency.

The commentary supports the standard statement but is not binding. It serves as a prompt, as guidance to clarify the intent of the standard, or as an example of one possible way to comply with the standard. Since the agency has the latitude to determine "HOW" it will comply with the applicable standards to effectively meet its needs, and since the burden of proof to verify this compliance is also the responsibility of the agency, it can choose to ignore the commentary and comply with the standard on its own terms.

The level of compliance denotes the relative importance assigned to each standard, if applicable, based upon agency size. For each of four agency-size categories, the levels of compliance indicate whether a given standard is mandatory (M), other-than-mandatory (O), or not applicable (N/A). Standards dealing with life, health, safety issues; legal matters; of which are considered essential law enforcement requirements are classified as mandatory. Standards dealing with important or desirable law enforcement requirements or with exemplary activities are classified as other-than-mandatory. Standards not required of agencies because of their size are classified as not applicable.

Agency size is defined as the total number of authorized full-time personnel (sworn and non sworn). The four agency-size categories are A (1-24 personnel), B (25-74), C (75-299), and D (300 or more).

Standards are grouped in chapters by subject areas. Each chapter begins with an introduction. In much the same way as the commentary, each introduction may provide important guidance to an agency regarding the subject area, its applicability, or the related standards. Key terms used throughout the Standards Manual are defined in the glossary.

Chapter #	# of Mandatory Standards	# of Other-than-mandatory Standards	# of N/A Standards	# of Standards to be Observed
1	22	1		
2	1	3		
3	2			
11	8	5	1	
12	5	1		
15			2	
16	9	3	4	1
17	6	2	2	
21	1	2	1	
22	12	2		
24	2			
25	2	1		
26	8			
31	8	1		
32	17			
33	19	5	1	
34	6	1		
35	12	2		
41	15	3		1
42	6	6	2	
43	3	2	1	
44	4	3	1	
45		4	3	
46	12	1	2	
51	2			
52	6	6		
53		1	1	
54	1	2		
55	5	3	1	
61	16	10	2	
71	15			2
72	44	1		6
73	6	1		3
74	7			
81	19	2		10
82	15	5	2	
83	10			
84	6	1		2
TOTALS:	332	80	26	25

80% = 64

NOTE: Remember that the standards need to be reviewed to determine which ones are APPLICABLE for your agency. Of that group, all of the Mandatory standards and 80% of the other-than-mandatory standards must be met for accreditation.

Categorization

Codes used in the “Descriptions of Standards”:

(from CALEA Standards, 4th Edition, January 1999)

M = mandatory

O = other than mandatory

N/A = not applicable due to size of agency

CALEA = Commission of Accreditation for Law Enforcement Agencies

Smaller agencies seeking CALEA Accreditation:

1. Review all Standards to determine which ones are applicable to your agency (according to functions your agency performs and size of your agency).
2. Must comply with all applicable mandatory standards. (waiver can be sought in certain cases.
3. Must comply with any 80% of the applicable other-than-mandatory standards.
4. If a smaller agency chooses to perform the function required by a N/A standard, it becomes applicable and the standard must be met.

Descriptions of Standards Approved for Publication by the Commission

Chapters 1-3: Law Enforcement Role, Responsibilities and Relationships

Chapter 1: Law Enforcement Role and Authority

Standards related to the role, authority, and discretion of agency personnel. Clear, written policy on the use of force and deadly force are required. Specific standards deal with the authorization, training and proficiency testing of agency weapons. Standards also address report and review requirements for incidents where force or weapons are used.

1. Law Enforcement Role and Authority:

- ♦ Law Enforcement Agency Role: 2 M 1 O
- ♦ Limits of Authority: 8 M
- ♦ Use of Force: 12 M

Chapter 2: Agency Jurisdiction and Mutual Aid

Defining geographical boundaries and areas of concurrent jurisdiction are required. Mutual aid agreements, in the absence of controlling legislation are requested, as well as procedures for assistance in emergency situations.

2. Agency Jurisdiction and Mutual Aid

- ♦ Agency Jurisdiction and Mutual Aid: 1 M 3 O

Chapter 3: Contractual Agreements for Law Enforcement Services

If law enforcement assistance is provided, standards in this chapter lay out the specifications for contractual agreements that should be in existence.

3. Contractual Agreements for Law Enforcement Services

- ◆ Contractual Agreements: 2 M

Chapters 4-10 are reserved for future use.

Chapters 11-17: Organization, Management and Administration

Chapter 11: Organization

Standards address agency organization with specific attention to unity of command, span of control, delineation of responsibility, and delegation of authority. Programs for more efficient agency use of personnel and resources, including accreditation maintenance are covered. The planning function is presumed in all agencies. Standards address describing functional activities, organizational placement, and distribution of analytical reports, if used.

11. Organization and Administration

- ◆ Organizational Structure: 2 M
- ◆ Unity of Command: 2 M
- ◆ Authority and Responsibility: 2 M
- ◆ General Management and Administration: 2 O
- ◆ Goals and Objectives: 1 M 1 O
- ◆ Planning and Research: 1 M 2 O 1 N/A

Chapter 12: Direction

Standards guide the agency chief executive officer's responsibility to establish specific agency policies. Standards also address designation of command during the absence of the CEO and accountability of supervisors for performance of subordinates. Standards require that an employee follow written procedures when he/she receives a conflicting order or directive. Establishment of a written directive system is also required.

12. Direction

- ◆ Direction: 3 M 1 O
- ◆ Written Directives: 2 M

Chapter 13 and 14 are reserved for future use.

Chapter 15: Crime Analysis

These standards address the collection, collation, analysis, and dissemination of data relating to crime. The factors included in the analysis should also be identified.

15. Crime Analysis

- ◆ Crime Analysis: 2 N/A

Chapter 16: Allocation and Distribution of Personnel and Personnel Alternatives

This chapter calls for a position management system and provides guidelines for the allocation and distribution of personnel within the agency. Standards address the identification and review of specialized assignments, as well as how these positions might be filled. Specific standards require reserve selection and

training comparable to that of full-time officers; auxiliaries are not commissioned as officers; and encourage the use of civilian employees, where appropriate.

16. Allocation and Distribution of Personnel and Personnel Alternatives

- ◆ Allocation and Distribution of Personnel: 2 N/A
- ◆ Specialized Assignment: 2 O 1 N/A
- ◆ Reserves: 6 M 1 O
- ◆ Auxiliaries: 3 M **(Observed)**
- ◆ Civilians: 1 N/A

Chapter 17: Fiscal Management and Agency-Owned Property

Standards in this chapter relate to administration, budgeting, purchasing, accounting, and procedures for the inventory and control of agency-owned property.

17. Fiscal Management and Agency-Owned Property

- ◆ Fiscal Management: 1 O
- ◆ Budget: 2 N/A
- ◆ Purchasing: 1 M
- ◆ Accounting: 3 M
- ◆ Agency-Owned Property: 2 M 1 O

Chapters 18-20 are reserved for future use.

Chapters 21-26: The Personnel Structure

Chapter 21: Classification and Delineation of Duties and Responsibilities

Standards in this chapter relate to task analysis, classification and processes and procedures used to describe the nature of the work performed by the agency.

21. Classification and Delineation of Duties and Responsibilities

- ◆ Task Analysis: 1 O
- ◆ Classification: 1 M 1 O 1 N/A

Chapter 22: Compensation, Benefits, and Condition of Work

Standards address policies on salaries, leave, health, disability, retirement and liability protection programs. The standards also address the clothing and equipment provided by the agency as well as a description of any educational benefits. Finally, standards address physical examinations, general health requirements, and secondary employment.

22. Compensation, Benefits, and Condition of Work

- ◆ Compensation: 1 M
- ◆ Benefits: 8 M 1 O
- ◆ Conditions of work: 3 M 1 O

Chapter 23: Reserved

Chapter 24: Collective Bargaining

The standards in this chapter apply to those law enforcement agencies in which collective bargaining, by law, is an ongoing practice. Standards address the agencies role in the process the CEO's responsibility once the labor agreement is ratified.

24. Collective Bargaining

- ◆ Collective Bargaining and Contract Management: 2 M

Chapter 25: Grievance Procedures

These standards establish formal procedures by which employees resolve their grievances with management in a fair and expeditious manner. Standards specify the criteria for determining if the agency has a viable grievance procedure and if the elements of that procedure are in accord with contemporary personnel practices. Specific standards address the position responsible for coordinating grievances, the maintenance and control of records, and an annual analysis of grievances.

25. Grievance Procedures

- ◆ Grievance Procedures: 2 M 1 O

Chapter 26: Disciplinary Procedures

Standards are oriented toward a "systems" approach to discipline. They are dependent on standards contained in other chapters such as selection, training, and direction. Specific standards require a written code of conduct, including appearance, for agency personnel. Other standards address rewards, counseling, and training as forms of discipline or establish procedures for punitive action, including oral and written reprimands, loss of leave, suspension, demotion, and dismissal.

26. Disciplinary Procedures

- ◆ Grievance Procedures: 8 M

Chapters 27-30 are reserved for future use.

Chapters 31-35: The Personnel Process

Chapter 31: Recruitment

Standards address the methods, techniques and policies relied upon by agencies to attract and enlist qualified applicants. Accredited agencies are expected to be equal opportunity employers and working toward achieving a sworn work force that is representative of the available work force in the agency's service area.

31. Recruitment

- ◆ Administrative Practices and Procedures: 2 M
- ◆ Equal Employment Opportunity and Recruitment: 3 M
- ◆ Job Announcement and Publicity: 3 M 1 O

Chapter 32: Selection

Standards address describing all elements of the selection process and insuring their job relatedness in content, administration and implementation. Standards stress informing the candidates and security of

records and selection materials. Specific standards deal with background investigations, polygraph examinations, medical and psychological examinations and probationary status.

32. Selection

- ◆ Professional and Legal Requirements: 7 M
- ◆ Administrative Practices and Procedures: 10 M

Chapter 33: Training and Career Development

This is a large chapter and deals with general administration of training by the agency, an outside entity providing training for the agency, or both. Administrative issues such as attendance, lesson plans and records are addressed. Standards address the agency's academy or its relationship with an outside academy. The training of full-time instructors is required. Sections of this chapter deal with entry-level, inservice, specialized and civilian training. This chapter also includes training for personnel assigned to career development and provides for skills development training to personnel upon promotion.

33. Training and Career Development

- ◆ Administration: 5 M 1 O 1 N/A
- ◆ Academy: 4 M 1 O
- ◆ Training Instructors: 1 O
- ◆ Recruit Training: 3 M
- ◆ In-Service, Shift Briefing, and Advanced Training: 2 M 1 O
- ◆ Specialized In-Service Training: 2 M
- ◆ Civilian Training: 2 M
- ◆ Career Development: 1 M 1 O

Chapter 34: Promotion

This chapter addresses the agency's role in the promotional process, requires a description of all elements used in the process as well as insuring that each element used is job related and nondiscriminatory. Written announcements of the promotional process are to be given to candidates and procedures for the development and use of eligibility lists are to be established. A probationary period for newly promoted employees is encouraged.

34. Promotion

- ◆ Professional and Legal Requirements: 6 M 1 O

Chapter 35: Performance Evaluation

Standards define the agency's performance evaluation system. Specific standards require an annual, documented performance evaluation of each employee, to cover a specific period and provide for interaction between the supervisor and the employee.

35. Performance Evaluation

- ◆ Administration: 12 M 2 O

Chapters 36-40 are reserved for future use.

Chapters 41-46: Law Enforcement Operations

Chapter 41: Patrol

Standards in this chapter relate to the administration, operations and equipment of the patrol function of a law enforcement agency. Key standards in this chapter require a policy on motor vehicle pursuits and the provision of body armor to all uniformed officers.

41. Patrol

- ◆ Administration: 3 M 1 O
- ◆ Operations: 5 M 1 O
- ◆ Equipment: 7 M 1 O (Observed)

Chapter 42: Criminal Investigation

Standards address the criminal investigation function from the perspective that both uniformed officers and specialized investigators perform this function. No attempt is made to detail step-by-step procedures for individual crime categories such as homicide, rape, robbery, burglary, larceny, or arson: rather, the standards approach criminal investigations with the understanding that the agency has discretion in determining the degree of specialization required to accomplish effective investigations. Standards in this chapter are closely related to topical areas addressed in other chapters, including Vice, Drug and Organized Crime (43), Juvenile Operations (44), Criminal Intelligence (51), and Collection and Preservation of Evidence (83).

42. Criminal Investigation

- ◆ Administration: 1 M 4 O
- ◆ Operations: 5 M 2 O 2 N/A

Chapter 43: Vice, Drugs, and Organized Crime

Standards in this chapter relate to the control of vice, drugs and organized crime. These functions deal with activities that may or may not be related but use investigative methods that are closely related. While some agencies may separate the functions, others may place them in a single organizational component or as additional sub-functions within the criminal investigations function.

43. Vice, Drugs, and Organized Crime

- ◆ Administration and Operations: 3 M 2 O 1 N/A

Chapter 44: Juvenile Operations

Standards address both enforcing the law with respect to juvenile offenders and developing programs designed to prevent juvenile delinquency. Specific standards relate to the organizational and operational aspects of juvenile operations.

44. Juvenile Operations

- ◆ Administration: 1 M 1 O 1 N/A
- ◆ Operations: 3 M 2 O

Chapter 45: Crime Prevention and Community Relations

Standards in this chapter relate to crime prevention and community relations. While these concepts are

different, they often merge when law enforcement services are provided. Crime prevention standards call for some basic functions for citizens and business. Community relations standards require some minimum functions, reports to keep the CEO apprised, and a survey of citizen attitudes.

45. Crime Prevention and Community [Involvement] Relations

- ♦ Crime Prevention: 2 O 1 N/A
- ♦ Community Involvement: 2 O 2 N/A

Chapter 46: Unusual Occurrences and Special Operations

Standards in this chapter relate to major incidents on the order of natural/man-made disasters, civil disturbance and special events which are encountered by a law enforcement agency. Whether the agency has the capability to handle these situations solely or as a "first-responder" until specialized assistance arrives, the chapter emphasizes advanced planning, preparedness, and operational readiness. A second section deals with special operations and tactical teams, their selection, training and equipment.

46. Unusual Occurrences and Special Operations

- ♦ Unusual Occurrences: 7 M 1 O 2 N/A
- ♦ Special Operations: 5 M

Chapters 47-50 are reserved for future use.

Chapters 51-55: Operations Support

Chapter 51: Intelligence

If the agency performs criminal intelligence, standards address procedures to ensure legality and integrity of the operation as well as the security of information and records.

51. [Criminal] Intelligence

- ♦ Administration: 2 M

Chapter 52: Internal Affairs

The agency is required to investigate all complaints against it and its employees. Standards provide for organizational placement to ensure CEO accessibility, written investigative procedures, complainant notification, maintenance and security of records as well as annual summary and public availability.

52. Internal Affairs

- ♦ Administration and Operations: 6 M 6 O

Chapter 53: Inspectional Services

This chapter addresses the procedures for line inspections and staff inspections.

53. Inspectional Services

- ♦ Line Inspections: 1 O
- ♦ Staff Inspections: 1 N/A

Chapter 54: Public Information

Standards in this chapter relate to the public information function. Specific standards require some minimum functions, encourage input from the media in establishing policy and procedures, and setting up procedures for media access to the scenes of major events.

54. Public Information

- ◆ Public Information: 1 M 2 O

Chapter 55: Victim/Witness Assistance

The victim/witness assistance standards establish the agency's commitment to assistance through fair, compassionate and dignified treatment and development, implementation and continuation of victim/witness programs and activities. In addition, the standards require an analysis of appropriate services that the agency can provide without duplicating services offered elsewhere in the community. Based on these findings, standards address victim/witness services offered prior to preliminary investigations, during preliminary and follow-up investigations, and following arrest of the suspect. The goal of this chapter of standards is to ensure that victims and other witnesses, including agency members and their families, receive professional assistance and handling consistent with their important investigative and prosecutory role.

55. Victim/Witness Assistance

- ◆ Administration: 1 M 1 O 1 N/A
- ◆ Operations: 4 M 2 O

Chapters 56-60 are reserved for future use.

Chapter 61: Traffic

This is another large chapter aimed at governing the process and procedures that enable the agency to execute its traffic-related responsibilities and services. The Agency may choose its own organizational approach to this responsibility and assign functions to the patrol function or to other specialized functions. Specific sections of standards address traffic enforcement, accident investigation, traffic direction and control and ancillary services.

61. Traffic

- ◆ Traffic Enforcement: 7 M 4 O 2 N/A
- ◆ Traffic Collision Investigation: 3 M 1 O
- ◆ Traffic Direction and Control: 3 M 4 O
- ◆ Ancillary Services: 3 M 1 O

Chapters 62-70 are reserved for future use.

Chapters 71-74: Prisoners and Court-Related Activities

Chapter 71: Prison Transportation

Standard address procedures for transporting persons in the custody of the agency. Two general time periods are involved: immediately after arrest, prior to booking, holding or transfer to another facility; and movement of prisoners from one detention facility to another, to the hospital, to court, or elsewhere. Specific standards govern the use of handcuffs and restraining devices and require that vehicles used to transport prisoners be searched before and after each trip.

71. Prison Transportation

- ◆ Transport Operations: 8 M
- ◆ Restraining Devices: 1 M
- ◆ Special Transport Situations: 3 M
- ◆ Transport Equipment: 2 M (Observed, 2)
- ◆ Documentation: 1 M

Chapter 72: Holding Facilities

This is the largest chapter in the manual. The standards in this chapter are applicable to law enforcement agencies who have holding facilities under their control for the short term custody of detainees, usually 72 hours or less, between the time a person is arrested and the occasion of their first judicial appearance. These standards are not applied to facilities operated as a jail or other correctional institution whose primary purpose is to house detainees for periods exceeding 72 hours.

Specific sections of this chapter address administration and management, physical plan, safety and sanitation, security and control, detainee processing, medical and health care services, and detainee rights. Some standards in this chapter are marked (*) to assist agencies who have special purpose holding cells (e.g., cells in the court).

The last section of this chapter is intended to apply to those agencies who have no holding facilities, but who use interview or waiting rooms to detain persons for short periods of time, usually not exceeding 2 hours, while they are being processed, questioned, tested, or awaiting release. This section requires those agencies to establish some basic safety and security procedures as well as exercising supervision of detainees while under their control.

72. Holding Facility [Facilities]

- ◆ Organization, Administration, and Management: 3 M
- ◆ Physical Plant: 1 M (Observed)
- ◆ Safety and Sanitation: 3 M
- ◆ Security and Control: 11 M (Observed, 2)
- ◆ Detainee Processing: 9 M (Observed)
- ◆ Medical and Health Card Services: 4 M 1 O (Observed, 2)
- ◆ Detainee Rights: 1 M
- ◆ Supervision of Detainees: 5 M
- ◆ Temporary Detention: 7 M

Chapter 73: Court Security

Standards apply to those law enforcement agencies with responsibilities for the security of a courtroom, courthouse, or both. Specific standards require written description of the agencies role and responsibility as well as its policies and procedures for this function. Security functions should be based on court needs. Equipment should be identified and maintained in a state of operational readiness. Courtrooms should be equipped with a means of external communication.

73. Court Security

- ◆ Administration: 1 M

- ◆ Operations: 1 M
- ◆ Security Policy and Procedures: 2 M
- ◆ Equipment: 2 M 1 O (Observed, 3)

Chapter 74: Legal Process

Standards address court-originated legal processes which are addressed to the agency for service. The agency must maintain accurate records on all civil or criminal process received and served. Specific standards require procedures for serving both types of process, calls for execution by sworn officers and requires accounting and disposition on all property acquired through the civil process.

74. Legal Process

- ◆ Records: 2 M
- ◆ Civil Process: 2 M
- ◆ Criminal Process: 2 M
- ◆ Property: 1 M

Chapters 75-80 are reserved for future use.

Chapters 81-84: Auxiliary and Technical Services

Chapter 81: Communications

Standards within this chapter are concerned with law enforcement communications either provided by the agency or by a shared or regional entity. The standards are divided into three sections: administration, operations, and facility and equipment. Specific standards require that the agency's communications be conducted in compliance with the Federal Communication (FCC) requirements. Operational standards requires 24-hour, toll-free access, continuous, two-way radio capability, uninterrupted recording of emergency transmissions and telephone conversations, instant playback capability that the agency establish procedures for recording radio transmissions and emergency telephone conversations.

81. Communications

- ◆ Administration: 2 M
- ◆ Operations: 15 M (Observed, 6)
- ◆ Facilities and Equipment: 2 M 2 O (Observed, 4)

Chapter 82: Records

This chapter addresses the law enforcement agency's central records function. The administration section addresses privacy and security issues, records retention, 24-hour accessibility and a report accountability system. The second section basically requires a field reporting system with case numbering and report review procedures. The third section addresses various types of records systems, including master name index, traffic records, citations and wanted persons.

82. Records

- ◆ Administration: 6 M 3 O
- ◆ Field Reporting and Management: 4 M 1 O
- ◆ Records: 5 M 1 O 2 N/A

Chapter 83: Collection and Preservation of Evidence

This chapter addresses the crime scene processing and evidence collecting function of an agency. Standards require 24-hour availability of technicians, establish evidence collection and submission procedures and ensure the availability of equipment and supplies.

83. Collection and Preservation of Evidence

- ◆ Administration: 2 M
- ◆ Operations: 6 M
- ◆ Evidence Handling: 2 M

Chapter 84: Property Management

Standards address property which is evidentiary, recovered or found and how it is handled, including storage and disposition of special materials such as narcotics, firearms and hazardous materials. Specific standards require all property stored by the agency be kept secure and require semi-annual, unannounced inspections of storage areas, and final disposal as soon as practical.

84. Property Management

- ◆ Administration and Operations: 6 M 1 O (Observed, 2)

7

Funding & Grant Writing

An Introduction

Funding Resources

Grant Writing: Identify & Applying for

Funding in a Competitive Market

Best Practices Guide for Grant Writing

Funding and Grant Resources

An Introduction

*By Corenne Labbe
Prince George's Country Department of Corrections, Maryland*

During these budgetary austere times, it is necessary for agencies to rethink how grant funding is sought. Truly, to capitalize on obtaining grant funding, ingenuity and creativity is necessary. As an experienced grants specialist, I have discovered that I could not only seek out traditional avenues but also non-traditional avenues. A paradigm-shift had to occur. For smaller agencies it may appear difficult due to your budgetary and staffing allocations however; it is essential today when seeking out grant funds to enhance or supplement budgetary needs.

As the top manager of your agency, you need to identify that “uniqueness” that you would never have considered previously but could be a source to get grants. As an example, you can no longer see your agency just as a law enforcement agency. You must identify yourself as a public safety agency that improves the quality of life for your citizenry. As public safety officials and/or public servants, we are not only responsible for protecting our citizens but also responsible for promoting a healthy, wholesome environment as well. Therefore, our target population we serve is the entire community and that should be the focus when seeking grant funds. Do not seek out grantors that fund only law enforcement activities but also those that fund activities that surround our target populations such as youth, women, and seniors.

Private Sector Funding

Many endeavors can be accomplished by seeking private sector funding. Private sector sources are foundations and corporations. These organizations do not necessarily provide large amounts of funding however; they do provide a sufficient amount that can supplement budgetary needs. Begin with your state foundations, a good source to identify those foundations are with the Foundation Center's Foundation Directory (see the Resources section for the website).

Most areas also have community foundations that are another good source for projects that improve the quality of life. Think about terms that can be interpreted ambiguously. For example, community revitalization may mean, “cleaning the streets” to one person but could also mean, “drug enforcement strategy” to another. The key term here is “improving the quality of life”.

Networking is another factor. Establish a relationship with your local foundation's program manager. Give them a phone call and find out what are their interests and share your interests.

Collaborations

Agencies must considered collaborations or partnerships. Gone are the days of “having the whole pie”. Funders are discouraged by duplicative efforts. They like organizations that can maximize its resources. In addition to maximizing resources, the funders seek after organizations where their projects can be replicated. As a small agency, consider if there is a neighboring agency that may have the same similar needs, issues, or problems. Collaborating with such an agency will make your application more competitive, as your need will appear to be more significant.

Planning

Lastly, do not get discouraged, as the old adage states, “*Rome wasn’t built in a day*”. It also takes planning and research to target the appropriate funding sources. Once you have targeted the proper funding sources and followed the outlined guidelines in this “Best Practice Guide”, colloquial speaking, it will “*show you the money*”.

Funding Resources

New chiefs identify locating funding sources for their departments as an important area of concern. This section includes resources for obtaining funding for the top requested items and other general resources.

Bureau of Justice Assistance

The Department of Justice, Bureau of Justice Assistance (BJA), the funder for the New Police Chief Mentoring Project, provides funding to enhance and improve criminal justice systems and services. Most funds are awarded through formula programs administered by Governor-designated state justice agencies. These agencies then set priorities and allocate funds within the state. For more information on how a state intends to distribute its formula grant funds, contact the appropriate State Administering Agencies (SAA). BJA funding is also provided on a discretionary basis under congressionally authorized programs such as the Gang Resistance Education and Training (G.R.E.A.T.) Program and the Project Safe Neighborhoods (PSN) Initiative. Visit BJA’s website for more information on funding and other resources.

Bureau of Justice Assistance
810 Seventh Street NW.
Fourth Floor
Washington, DC 20531
202-616-6500
Fax: 202-305-1367
E-mail: AskBJA@ojp.usdoj.gov
www.ojp.usdoj.gov/bja
www.usdoj.gov

Buildings

U.S. Department of Housing and Urban Development

Ernie Watson
Department of Agriculture
6200 Jefferson NE, RM 255
Albuquerque, NM 87109
555-761-4951

The Kresge Foundation

An independent, private foundation created "to promote the well-being of mankind." Through grant making programs they seek to strengthen the capacity of charitable organizations to provide effective programs of quality. The Bricks and Mortar Program helps to build facilities and challenge private giving.

www.kresge.org
Sandra McAlister Ambrozy, Senior Program Officer
SMAmbrozy@Kresge.Org

U.S. Department of Agriculture, Community Programs

Community Programs administers programs designed to develop essential community facilities for public use in rural areas. These facilities include schools, libraries, childcare, hospitals, medical clinics, assisted living facilities, fire and rescue station, police stations, community centers, public buildings and transportation. Community Programs used three flexible financial tools to achieve this goal: the Community Facilities Guaranteed Loan Program, the Community Facilities Direct Loan Program, and the Community Facilities Grant Program.

www.rurdev.usda.gov/rhs/cf/cp.htm

Federal Register

Federal Register is the official daily publication for rules, proposed rules, and notices of Federal agencies and organizations, as well as executive orders and other presidential documents. Scroll to “grants and cooperative agreements” for funding descriptions.

www.nara.gov

The Foundation Center

An organization dedicated to serving grant seekers, grant makers, researchers, policymakers, the media, and the general public.

www.fdncenter.org

IACP Foundation

The IACP Foundation is an organization established to solicit, receive, administer, and expend funds for law enforcement-related, charitable and educational purposes.

www.theiacp.org/foundation/Foundation.htm

Patricia Cahill, Executive Director

1-800-843-4227 ext. 367

Personnel

Office of Community Oriented Policing Services

School Resource Officers: Awards to law enforcement agencies to fund school resource officers (SROs).

Universal Hiring Program: A programs developed to increase the number of officers on the beat.

Making Officer Redeployment Effective (MORE): This program expands the amount of time current law enforcement officers can spend on community policing by funding technology, equipment, and support staff, including civilian personnel.

www.cops.usdoj.gov

Office of Juvenile Justice and Delinquency Prevention

Supports states, local communities, and tribal jurisdictions in their efforts to develop and implement effective programs for juveniles.

www.ojjdp.ncjrs.org/

Technology and Equipment

Bulletproof Vest Partnership (BVP)

Provides protection for the law enforcement officers by assisting states and units of local and tribal governments equip their officers with armor vests. Federal funds may be used to pay up to 50 percent of an applicant's total vest costs.

Bulletproof Vest Partnership (BVP) cont.

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www.usdoj.gov

U.S. Army Electronic Proving Ground, Special Programs Office

Technology Transfer Program- This program provides, at no cost to agencies, equipment and training for deployments and operations.

www.epgctac.com
ttp@epgctac.com
1-877-EPG-CTAC

IACPNet

Information on policies, ordinances, programs, innovations and grant alerts.

<http://services.login-inc.com/iacpnet/>

Vehicles

U.S. Department of Agriculture, Rural Development Agency

Rural development helps rural agencies to develop and grow by offering federal assistance that improves the quality of life. Rural Development targets communities in need and then empowers them with financial and technical resources

www.usda.gov

Miscellaneous

Grants.gov

Grants.gov is a single, secure and reliable Internet source managed by the U.S. Department of Health and Human Services for finding and applying for Federal grants.

www.grants.gov

Fundsnet Services

A source for weekly announcements of public and private foundations their primary audience is nonprofit organizations, consultants and grant writers who are constantly seeking funding sources for worthy projects and programs, as well as fundraising programs.

www.fundsnetsservices.com

Grants and Funding

A resource for information on grants funding and grant resources.

www.Grantsandfunding.com

Federal Register

Federal Register is the official daily publication for rules, proposed rules, and notices of Federal agencies and organizations, as well as executive orders and other presidential documents. Scroll to “grants and cooperative agreements” for funding descriptions.

www.archives.gov

Community of Foundations

The Council on Foundations is a membership organization of more than 2,000 grants making foundations and giving programs worldwide.

www.cof.org

U.S. Department of Justice

On this site, you will find links to current funding opportunities at OJP listed by their source and various grant related forms and information.

www.ojp.usdoj.gov/fundopps.htm

Office of Community Oriented Policing Services

Training Resources: Through a national network of Regional Community Policing Institutes (RCPIs), COPS helps local law enforcement agencies meet their community policing training needs.

www.cops.usdoj.gov

U.S. Department of Health and Human Services

On this site, you will find the department’s agencies that support public safety initiative, specifically the Food and Drug Administration (FDA) and the Administration for Children and Families (ACF).

www.dhhs.gov

FirstGov

A searchable web site designed to give users a centralized place to find information from local, state, and Federal Government agency web sites.

www.firstgov.gov

Catalog of Federal Domestic Assistance (CFDA)

A searchable database of all federal programs available to state and local governments; federally recognized tribal governments; U.S. territories; domestic public, quasi-public, and private profit and nonprofit organizations and institutions; and individuals.

www.cfda.gov

Grant Writing: Identifying & Applying for Funding in a Competitive Market

(<http://www.ocjs.state.oh.us/Publications/grantwriting.doc>)

Abstract

Grant Writing: Identifying & Applying for Funding in a Competitive Market, developed by the Ohio Office of Criminal Justice Services, focuses on grant writing for criminal justice professionals. This brief, readable guide tailored for an audience of criminal justice practitioners will save grant seekers time, something in short supply.

Going after grants has become part of the criminal justice professional's life. Even if it's not part of your formal job description, you often get saddled with this responsibility as part of "other related duties." But unlike other duties, in which law enforcement professionals may have received formal training, grant seeking and grant writing are more likely learned the hard way—on the job. Because grants can be critically important to the work you do, you owe it to yourself, your organization and, perhaps most importantly those you serve, to do the best job possible to hone your grant writing skills.

The original edition of this guide, entitled *Grantsmanship and Alternative Funding for Law Enforcement* was produced to address the funding information needs of the law enforcement community. The updated guide includes additions regarding web-based sources of information and is a good starting point to expand your grant writing skills.

The guide addresses: applying for grants, finding grants, grant sources, alternative support and fund-raising, grant staffing strategies, and a reading list. An exciting feature is a sample proposal that can be used a model for your grant applications. The entire guide can be accessed online at the web address above.

Best Practices Guide



International Association of Chiefs of Police

Services, Support and Technical Assistance for
Smaller Police Departments

Grantwriting

by Bridget Newell, Ph.D.

This project supported by a grant from:

BJA **Bureau of Justice Assistance**
Office of Justice Programs U.S. Department of Justice

Best Practices Guide for Grant Writing

By Bridget Newell, Ph.D.

Introduction

Many law enforcement agencies today utilize grants, which are available from a variety of sources including the federal government, to fund their programs. *Public sector grants* are primarily federal and state grants made to local and state governments or to government agencies. The process of securing grant funds requires the completion of a *grant proposal*, a process that is summarized in this outline.

Grants can be both competitive and non-competitive. *Non-competitive* grant applications are approved if the grantee meets the requirements or formula established for the grant program. *Competitive* grants are only awarded when a grantee successfully meets preset criteria, through a written proposal submitted in competition with other prospective grantees.

Purpose of the Grant

A grant proposal is a formal, written request for funds to support a specific program or project. While the exact content of a grant proposal is determined by funding agency guidelines, most grant proposals include information that explains (1) why the funds are needed, (2) what the funds will be used for, and (3) how the funds will be managed.

When planning and writing a grant proposal, it is important to remember that most proposals are submitted in a highly competitive forum. No grant proposal is guaranteed to receive funding, hundreds of grant proposals may be submitted to the same organization to compete for the exact same funds. Given this fact, grant writers must view their grant proposal as a document with at least two goals: (1) *to inform the reader of their plans*, and (2) *to persuade the reader that their project is worthy of funding*. That is, they must sell their readers on all of the following points:

- The need or problem they will attempt to “fix” with the grant money is significant and worthy of funding.
- The project or program the funds will be used for is well planned and has a good chance of success.
- The agency requesting the funds is capable of successfully managing the funds and completing the proposed project on schedule.

Finally, grant proposals must respond to readers’ needs and expectations. This means that grant writers must:

- Include details sufficient for clarifying plans to a reader who is unfamiliar with them and who may be reading several other grant proposals at the same sitting.
- Include good reasons for funding the proposed project.
- Ensure that the proposal is well written and easily accessible. Readers who have trouble accessing or understanding important information will not be convinced that the proposed project deserves funding.

Content

Most funding agencies provide guidelines (directions) that identify the information they expect to find in grant proposals submitted to them. These guidelines are invaluable resources and should be viewed as the final word on what should and should not be included in the grant proposal. Do not omit information required by the guidelines. Failure to adhere to the guidelines can be justification for rejecting the proposal.¹

Despite differences in grant proposal guidelines, most grant proposals require the same general kinds of information. The overview below outlines a number of pieces you can expect to include in most grant proposals.

Application Form: In some cases, grant proposals can consist of only a form that must be completed by the grant applicant. In other cases, a completed application form must accompany a more detailed written proposal. In either case, the grant writer's responsibility is to include all requested information.

Cover Letter: A cover letter (also called a letter of transmittal) serves as an introduction to the proposal and can be used as a screening tool for readers. Given that it might be the first component readers see, this letter can be viewed as the initial tool writers use to sell their plans to the funding agency. A typical letter of transmittal includes three sections: (1) an opening that identifies the proposal, (2) a middle that introduces and sells the proposed project or plan, and (3) a closing that contains contact information.

Grant agency requirements differ. However, many detailed written proposals are required to be composed of the sections outlined below:

Section	Purpose	Questions Answered
Abstract or Summary	An abstract provides a concise summary of the grant proposal and therefore includes significant information from each section of the proposal. Because it functions as a stand-alone overview of the proposal, readers may also use it as a screening tool.	<ul style="list-style-type: none"> ◆ Why are you writing this grant? ◆ What is the purpose of your grant? ◆ How will this grant meet your need?
Problem or Need Statement	This section of the proposal thoroughly describes the need (or problem) that will be met (or solved) through the use of the grant funds. When writing this section, writers should attempt to show that they understand the need/problem and that it is significant or worthy of immediate attention.	<ul style="list-style-type: none"> ◆ What is the problem? ◆ Why does it exist? ◆ Who is impacted by it?
Solution or Scope	Also called the problem description, this section provides a detailed explanation of how the funds will be used to address the problem or need. In other words, what do you propose to do with the funds? When writing this section, writers should attempt to show that the plan they advocate will successfully resolve the problem or address the need.	<ul style="list-style-type: none"> ◆ How will you solve the problem (or meet the need)? ◆ What are the details of your plan? ◆ Why is this plan appropriate?

¹ Locke, Spirduso, and Silverman, page 163

Section	Purpose	Questions Answered
<i>Methods</i>	Sometimes a stand-alone section and sometimes part of the solutions section, the methods section explains how the project or plan will be implemented. When writing this section, writers should strive to provide details rather than assume that readers will know what they mean.	<ul style="list-style-type: none"> ◆ What methods will you use to implement this plan? ◆ What justifies the use of these methods?
<i>Benefits</i>	Like the methods section, the benefits section is sometimes a stand-alone section and sometimes part of the solution section. Because this information helps to sell the proposed solution, this section (like all others) should be clear, focused, and detailed.	<ul style="list-style-type: none"> ◆ Who will benefit from the proposed solution? ◆ How will they benefit?
<i>Qualifications</i>	Also called the capabilities section, this section includes information that persuades the reader that the agency or organization requesting the funds is capable of under-taking and successfully completing the proposed project. To supplement this section, writers often include a collection of resumes in an appendix.	<ul style="list-style-type: none"> ◆ Who will be responsible for under- taking, overseeing, and completing the project? ◆ What are the roles, responsibilities, and qualifications of the involved?
<i>Evaluation Plan</i>	Funding agencies sometimes require that writers include a plan for evaluating the success of the project. Some agencies require the use of an outside evaluator to ensure objectivity.	<ul style="list-style-type: none"> ◆ How will the success of your project be evaluated? ◆ What justifies the use of this evaluation strategy? ◆ Who will evaluate the project?
<i>Time Line</i>	This section of the proposal identifies when each segment of the proposed plan will begin and end. Whether presenting this information in a table, Gantt chart, or calendar format, the writer must show that time will not be wasted.	<ul style="list-style-type: none"> ◆ What are the specific scheduled begin and end dates of each component of the plan?
<i>Budget</i>	To some readers, this is the most important part of the proposal. It explains how the money will be spent and justifies the need for the proposed amount. Many guidelines require that this section be presented in the form of a line-item budget, and some require a budget narrative that provides a written justification for (or in place of) a line-item budget.	<ul style="list-style-type: none"> ◆ Exactly how will the money be used? ◆ Is the requested amount reasonable? Why?
<i>Conclusion</i>	Not always requested, but sometimes helpful, this section allows writers to reiterate the key components of their proposal.	<ul style="list-style-type: none"> ◆ Highlight issues from problem, solution and benefit sections.

As indicated above, grant agency requirements differ. Therefore, it is best to view the above information as an introduction to grant proposal content or, as discussed below, a planning tool to use when developing a project plan.

Strategy – Planning and Writing

Writing a grant proposal is a challenging task, not only because grant proposals include a significant amount of detailed information, but because there is more to submitting a grant than writing the proposal. Before writing the proposals, writers should

- **Develop a solid plan of action, preferably outlined in writing.** Rather than piecing together a proposal at the last minute, agencies seeking grant funds can plan ahead by (1) identifying a need or problem that must be addressed, (2) determining how they might address it, and (3) drafting an outline of the plan. The plan and draft can be developed by responding to the question presented in the previous section of this document. This proactive strategy is more likely to result in a clear, complete plan, and having an outline of the final grant proposal makes the grant writing process easier.
- **Identify potential funding agencies.** Identify agencies or organizations that fund the kind of project identified in the plan. Grant funds may come from government agencies, private foundations, or corporations. Grant writers can undertake an Internet search to identify potential funding sources. One option is to review web sites that contain information about grants and grant funding such as the National Criminal Justice Reference Service's Justice Information Center's web site (www.ncjrs.org/fedgrant.html), the Grantsmanship Center's web site (<http://www.tgci.com/>) and the Foundation Center's web site (<http://fdncenter.org/>). Writers can also use a search engine (e.g. HotBot, Yahoo!, or Infoseek) to search the Internet for law enforcement grants. For best results, read the search engine's guidelines for effective searches.

Additional Funding Agency Resources

Information presented in the World Wide Web can be incomplete. Writers may want to access one of the following sites to identify criteria for evaluating the credibility of web site resources: Westminster College's Evaluating a Web Site (www.westminstercollege.edu/library/course_research/www/web_eval/index.cfm) or Widener University's Checklist for Information Webpage (www.pace.edu/library/instruct/webevalworksheet.htm).

In addition to web site resources, grant information can be obtained from the Federal Register System, which consists of two publications: the Federal Register, published daily, is used to announce new grant programs; the Code of Federal Regulations, published annually, is a compendium of all government regulations, programs, and announcements. The Federal Catalog of Domestic Assistance (FCDA), published by the OMB, provides extensive information about grants to those seeking federal funding. FCDA contains information such as: a listing and description of federal agencies, a list and description of their programs, who is eligible to apply for grants, the criteria the applicant must meet to be considered for the grant, application deadlines, and changes to existing programs. There are four ways to identify grants and federal assistance programs in the catalog:

1. Agency – the federal agency administering the program
2. Function – the categories that identify the specific area of interest covered by the grant
3. Subject – lists the programs by topic, name, function and category of services
4. Applicant eligibility – specifies criteria that must be met to be approved the grant

- **Request and review grant guidelines from those organizations.** In addition to providing information regarding content and format, grant guidelines often include significant information regarding the kind of projects funded by the organization. A careful review of an agency's guidelines usually reveals whether an agency is a viable option for funding a particular project.
- **Select an appropriate funding agency.** Selecting an appropriate agency (i.e. the one most likely to fund a particular project) becomes easier after thoroughly reviewing grant guidelines and making initial contact with funding agency representatives. Some writers have indicated that they use this initial contact to discuss their ideas and determine whether submitting a grant at that time is worthwhile. After identifying agencies that appear to fund projects similar to their own, writers can request guidelines from them.

When these tasks are complete, writers can draft and revise the proposal according to the guidelines. It is probably best to then have it reviewed by someone unfamiliar with the project.

- **Draft and revise the proposal.** Experienced writers do not tackle a large project all at once. Rather, they chunk their writing projects, drafting one section at a time until the whole is complete. Grant writers at all levels can do the same; because the guidelines provide specific information regarding content requirements, they can be used to develop an outline of each section of the draft. After making an outline, writers can work on one section at a time until the grant is complete.
- **Review the proposal.** Most writers have a difficult time reviewing their own work. Because they know what they meant to write, they often have difficulty seeing how different what they meant is from what they actually wrote. For this reason, it is best to ask someone unfamiliar with the project to read the draft to identify unanswered questions, unclear statements, or errors in grammar, punctuation and spelling.

Writing Style Tips

A well-written proposal adheres to the standards of good professional writing. Therefore, grant writers should strive to make their proposals clear and easy to understand. Below are ten tips for good business writing. Writers should be aware that these tips are only guidelines; good reasons for ignoring some of them exist, so writers must use their best judgment when finalizing their proposals.

1. **Remember the reader.** Reader expectations are established by the grant guidelines, so it is best to include information that is asked for in the order in which readers expect it. Also remember that some readers may not be familiar with law enforcement jargon, so including it may confuse rather than clarify the message. Finally, readers are busy. Many readers review more than one proposal in a sitting. To ensure that a busy reader is left with a good impression, writers should strive to make their writing clear and easy to access.
2. **Begin with the main point.** Readers should not have to hunt for important information. Forcing them to do so makes their task more difficult and potentially frustrating. By beginning each paragraph with the main point, writers provide context for readers, and they make accessing important information easier.
3. **Be concise.** Redundant or long-winded sentences and paragraphs are distracting (and sometimes annoying). Use enough words to convey your point, but no more. For example, To begin this project we will etc. is preferable to In order to undertake the beginning of this strategic project, this agency will commence to etc.
4. **Use clear specific language.** Big words and jargon often complicate rather clarify a message. Plain, straightforward, English is often the most effective approach. For example, it is often preferable to write begin rather than commence and end rather than terminate.

5. **Write in a friendly, professional style.** An extremely formal or an extremely casual tone often detracts from the message. As a guideline, grant writers can write in the same style they would use to speak to an important, intelligent colleague or supervisor in a professional setting.
6. **Prefer active voice.** Active voice (She threw the ball.) is preferable to passive voice (The ball was thrown) because it clearly conveys the sentence's subject (she) and verb (threw) in the order in which most people expect to receive them (subject before verb). When possible, write in active voice to let the reader know who did (or will do) what.
7. **Move from known information to new information.** Good writers provide context for new ideas. They do not simply “jump into” a new topic without warning. Including transitions that connect new ideas to those already present enables readers to follow the discussion and understand how ideas are connected.
8. **Avoid complicated sentences.** Too many complicated sentences make a document overwhelming and hard to follow. Writers should strive to limit the number of long, complicated sentences by varying sentence length. Clarify messages by adhering to tips 3 and 4.
9. **Use correct spelling, grammar, and punctuation.** Whether good or poor, writing reflects on the writer. Sloppy writing indicates carelessness; and clear, correct writing suggests that the writer is clear thinking and careful. To make the best first impression, writers should ensure that the final draft is written in correct English.
10. **Use signal words.** Good writers guide their readers through their documents by including transitional words that tell them what to expect. Therefore indicates that an important conclusion follows; because indicates that a reason is being presented; first, second and third indicate chronology or steps in a plan; and in addition indicates that the point that follows is directly related to the previous point. These and other signal words can be very helpful to readers, if they are not overused.

Format

Many grant guidelines include information about formatting the grant proposal. In these cases, the best option is to follow the guidelines. If no formatting guidelines are provided, writers should follow the basic standards for good professional writing presented below:

- **Use different font sizes and styles for headings and body text.** Body text can be presented in a 12-point serif font such as Times or Times New Roman. Main headings can be presented in a 12- to 16- point bold sans serif font such as Arial or Helvetica. Subheadings can be presented in a bold version of the body text (This document models the recommended format. Body text is in 12 point Times New Roman, main headings are in 14-point Arial Bold, and subheadings are in 12 point Times New Roman bold.).
- **Use vertical lists when appropriate.** Vertical lines allow readers to skim for information and they help clarify meaning. Use bullet lists if the order of list items is not important; use numbered lists to reveal chronological order or rank.
- **Use one-inch margins and align text on the left** (also called ragged right alignment). This is standard professional format.

Resources and Assistance

Undertaking a grant research and writing project can be overwhelming and time consuming, but no writer has to do all of the work alone. Writers should consider options for delegating tasks within their agency, and they should consider contacting the following resources, all of which can offer a wide range of assistance:

- **Colleges and universities:** Writers can contact local colleges and universities to determine whether they offer classes in grant writing, editing, professional writing, business writing, statistical analysis, and/or research methods. If such courses are offered, writers can contact professors who teach those courses to determine whether they would be willing to develop a class project in which students help with writing, editing, and project evaluation. Many professors strive to incorporate real world experience in their classes and would be glad to help if given time to plan.

Some colleges and universities offer internship programs that allow students to receive college credit for work they do outside of school. Again, writers can contact professors or college representatives in student services to determine whether an internship (paid or unpaid) can be arranged to help with grant writing, Internet research, etc.

- **Professional organizations:** Some local and national professional organizations for writers, fundraisers, and retired professionals may provide free help or advice on grant writing and research. Again, writers could contact professors at local colleges for information about these resources.

As with most complicated projects, planning ahead and utilizing available resources help to make the grant writing task much more bearable. Additional tips can be found in the resources listed in the bibliography that follows.

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8

Internal & Community Surveys

Internal & Community Surveys: An Overview
Durham Citizens Survey Questionnaire
Durham Internal Survey
Lexington Internal Survey
Lexington Public Safety
Geddes Community Satisfaction Survey

Internal & Community Surveys

Questionnaires are typically used for survey research to determine the current status or to estimate the distribution of characteristics in a population. The effective use of an agency's internal survey or a community safety survey can allow an agency to respond to their employee's and communities needs in ways that can improve satisfaction and support. Agencies can use the results of the survey as a catalyst for continued improvement.

Getting started can be daunting but much of the questionnaire construction is common sense. Some ground rules to keep in mind when writing a survey include the following:

- Each question should relate directly to your survey objectives.
- Every respondent should be able to answer every question (unless instructed otherwise).
- Each question should be phrased so that all respondents interpret it the same way.
- Each question should provide answers to what you need to know, not what would be nice to know.

Objective

First, determine the objective of the survey. What do I want to know? Having a clear, quantitative survey objective helps you define the scope of your survey and measure its success following completion.

Attributes

Next, decide the attribute you want to measure. As with determining the objective, choose which attribute to measure based on your objectives to compliment the data evaluation you plan to complete. Some attributes you may choose to measure include:

1. Attitude
2. Knowledge
3. Skills
4. Behaviors and practices
5. Perceptions of knowledge, skills or behavior
6. Goals, intentions, aspirations
7. Demographics

Of course, it's possible you might measure more than one attribute, but the questions will be clearly different based on the information you are trying to gather.

Audience

Determine who your audience is. Are you seeking information from your department, the elderly, students, or citizens as a whole for example? Identifying your audience will affect how you compose your questionnaire.

Measurement

Use scales that are appropriate for the audience and for the information needed. Some choices are:

Fixed Response (Quantitative)

- Yes-No
- Multiple Choice
- Rating scale/Continuum - A typical question using a Likert Scale might ask the respondent whether they are Very Satisfied – Satisfied – Neutral – Dissatisfied – Very Dissatisfied.

Very
Dissatisfied Dissatisfied Neutral Satisfied Very
Satisfied

**How satisfied are you
with the courtesy of the
officers?**

- Rank ordering – These questions ask the respondent to assign a ranking to a list of items.

What do you think are the current policing priorities of this Department? (Please rank the TOP THREE – 1 being the most important)

_____	Responding to Emergency Calls
_____	Service Calls and Assistance
_____	Promoting Police-Community
_____	Crime Prevention
_____	Traffic Regulations & Enforcement
_____	Public Order Maintenance
_____	Drug & Alcohol Enforcement
_____	Encouraging Voluntary Compliance of Laws & Regulations
_____	Education
_____	Problem Solving
_____	Other: _____

These questions are quick to answer, which facilitates analyzing the results. Occasionally, however, fixed response questions may draw misleading conclusions because the respondent cannot qualify responses, e.g. "Yes, but..." or "It depends" where only Yes/No are given as options.

Narrative Response (Qualitative)

Narrative responses allow respondents greater freedom of expression. There is no bias due to limited response ranges and the respondents can qualify their answers. On the other hand, these responses are time consuming to code and the researcher may misinterpret (and therefore misclassify) a response.

Reliability

Finally, check the reliability of your survey before it is distributed. Conduct a test of a few respondents and analyze the results to determine if you are receiving the information you need or if the question/s need rephrasing.

The Final Product

Once you have a clear objective, determined who will receive your survey and the survey is written, you next must invite the respondents to participate. Communicate the reason for the survey in the introduction. Identifying at least one tangible or intangible benefit to respondents for answering the survey will help you compose an invitation that encourages respondents to complete the survey. A tangible benefit could be in the form of money or a gift; whereas an intangible benefit is a chance to voice opinions or contribute to research they view as valuable. There are five main parts of an invitation:

1. Introduction
2. Why the respondents have been selected to respond
3. How long will the survey take
4. What benefit will they get for responding
5. How their responses will be used / confidentiality

This chapter features surveys used by the: Durham Police Department, NH; Lexington Police Department, MA; and Geddes Police Department, NY. Each agency incorporated many of these strategies into their survey design. Some agencies used help from a nearby university. There are also many web-based survey instruments available to assist in this process.

Durham Police Department, NH

Chief Dave Kurz was hired from outside the department and given specific instructions by the Town Council to “be a change agent that would prepare the department for the new millennium”. He saw his role as one that would guide the department to wherever the community wanted it to go. The tool that would contribute to the development of that roadmap would be the community survey.

Facts

The Durham Police Department had never used a survey that asked its’ client base their opinions pertaining to safety, programs that were desired or not, their perceptions of the department and its’ responsiveness to these issues. As host to the University of New Hampshire (UNH) and 12,000 students, Durham can be two distinctly different communities. During the day, it is the quintessential New England college town with students carrying backpacks with books and at night the same backpacks contain alcoholic beverages. This unique environment had to be incorporated in the survey. Using the UNH Survey Department and a grad student looking for a real-life project, a fifty-question survey was sent to each property using the Town’s Assessing Department’s database for mailings. By working with the U.S. Post Office, bulk mail rates and a mechanism that allowed for only those surveys returned to be billed to the department saved considerable funds. Contacting the local media to produce an article about the survey as well as using the community’s local access television acted as a marketing strategy resulting in a 47% return.

Organizational Benefits

The survey results allowed the organization to focus limited resources upon issues that were deemed important by the community and transition from those that were not. To the department’s surprise pedestrian violations and safety were identified as the number one citizen concern. These facts eliminated anecdotal discussion and allowed for the development of a very comprehensive strategy that included additional personnel to address the community concern. The community saw in a very real way that the department was using the results of the survey to make changes and praised the organization for doing so. The staff, feeling the gratitude, recognized the importance of asking the community what it desired.

Lexington Police Department, MA

The Lexington Massachusetts Police Department created a community survey to solicit feedback from residents about crime, quality of life issues and opinions about the department's effectiveness. Chief Christopher Casey used the survey "as a quality assurance tool to measure how the police department was meeting the public safety needs of the residents."

Facts

Community surveys were conducted in 1993 and 1999. The first survey was managed in-house using an intern to enter respondent answers into a software program that tabulated the results. The department partnered with a nearby university for the second survey and a graduate student was responsible for managing the project. A residential mailing list was randomly developed. The respondents were instructed to remove their original address label to ensure anonymity when they returned the survey. The department prepaid return postage. Three thousand surveys were sent with a 27% response rate.

Organizational Benefits

Survey results were extremely positive and helped reinforce the resident's appreciation for the work the department performs. The survey also helped focus future policy, budget and program discussions around priorities that the community indicated were of concern. Some of these topics were domestic violence, aggressive driving and drugs. The survey also sent a positive message to the community, that the agency is interested in the perspectives of its the citizens.

Geddes Police Department, NY

Chief Michael Walsh, of the Geddes Police Department, NY likes to hear the community's impressions and thoughts about their police department. Does the community think the department is doing a good job? What programs would they like provided? What can be improved in areas like traffic enforcement? "The survey helps us remain responsive to the community needs and concerns," says Chief Walsh.

Facts

A student from the Syracuse University Maxwell School conducted the survey at no charge to the department. Agency involvement was relatively minimal (a few meetings and some phone calls), as the student does the work. Chief Walsh feels the survey is more impartial since it is conducted by a third party rather than by the police department. He plans on doing the survey every three years.

Organizational Benefits

The survey is used as a public relations tool, a planning tool and as a basis for grants. For example, if the survey shows that the residents want more traffic enforcement, and they feel that we are not meeting their needs, we would include that information in a grant application for traffic safety initiatives.

Citizen Perception of Crime in Durham, NH

1. Taking into consideration the last year, what is your perception of crime in Durham. Has it increased, decreased or remained the same?

- Increased Decreased Remained the same

2. Have you limited, changed or curtailed your activities in Durham due to your concern of crime?

- Yes No

3. Do you feel that crime is such an issue in Durham that you have considered moving?

- Yes No

How significant do you view the following situations in Durham during the daytime hours?

	not concerned	concerned	very concerned
4. Having your home burglarized	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Walking within Durham	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Driving through Durham	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Children are safe	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Children exposed to drugs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Strangers loitering near your home	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Illegal parking	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

How significant do you view the following situations in Durham during the nighttime hours?

	not concerned	concerned	very concerned
11. Having your home burglarized	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Walking within Durham	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Driving through Durham	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. Children are safe	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. Children exposed to drugs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. Strangers loitering near your home	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17. Illegal parking	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

To what extent are the issues listed below a problem within the Durham community?

	Significant	Somewhat	Negligible
18. Carhorns/stereos/alarms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19. Speeding cars/screeching tires	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20. Dilapidated streets/sidewalks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
21. Visible drug possession and use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22. Illegal dumping/littering	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23. Loud music from homes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24. Loud music from UNH facilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25. Noisy neighbors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26. Parking/traffic problems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27. Pedestrians jay-walking	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28. Cars not yielding to pedestrians	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
29. Bicycle riding on sidewalks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
30. Bicycle riding against traffic	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
31. Inadequate street lighting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
32. Public drinking/intoxication	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
33. Stray/barking dogs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
34. Trespassing upon your property	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
35. Unsupervised children	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
36. Vandalism/graffiti	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
37. Youths "hanging around"	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
38. Is the Durham Police Department responsive to your needs?			

Yes

No

39. Would you hesitate to call the Durham Police Department for assistance?

- Yes No

40. Overall, how well do you feel the Durham Police Department does in providing services to the community?

- Excellent Good Fair Poor

41. Your age: under 19 20-29 30-39
 40-49 50-59 60 plus

42. Sex: Male Female

43. Please tell us your street or area of Durham where you live.

Which programs (existing and proposed) should the Durham Police sustain?

	No support			Strong support	
Home security review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
DARE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Police bicycle patrol	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Police foot patrol	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Police Cadet program (Teenage explorer program)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Elder services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Police athletic league	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Landlord/tenant training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Citizen police academy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

What challenges currently face this function?

A double-jeopardy situation with UNH judicial court. Officers see the use of this mechanism as erratic and not consistent.

What challenges will face this function in the future?

Concern for court time (think about night court), scheduling and consistency for sanctions and fine.

Accreditation

Consider the accreditation process as it impacts working conditions and services provided to the community. Consider the process, not necessarily the resulting policies.

Effectiveness

10	9	8	7	6	5	4	3	2	1
Very Effective				Usually Effective					Not Effective

The changes I would make to current operations in this area are:

Officers generally embrace the process but are concerned with the personnel resources focusing upon the efforts during a period where there is such turnover in staff. A recognition that this is a short term issue was common in all survey responses

What challenges currently face this function?

Maintaining the status

What challenges will face this function in the future?

None were noted

Salary, Benefits & Human Resource Support

Comment on the total compensation package provided as well as other support services, such as the Employee Assistance Program, etc.

Effectiveness

10	9	8	7	6	5	4	3	2	1
Very Effective				Usually Effective					Not Effective

The changes I would make to current operations in this area are:

Since the contract was recently signed, no issues were raised.

What challenges currently face this function?

The general consensus is that no one will get rich as a police officer. Maintaining a decent salary which will retain veteran officers is seen as a long term issue.

What challenges will face this function in the future?

Patrol Operations

Consider all patrol shifts. Evaluate how calls for service are handled and investigated, staffing levels provided, cost effectiveness.

Effectiveness

10 9 8 7 6 5 4 3 2 1
Very Effective Usually Effective Not Effective

The changes I would make to current operations in this area are:

More officers. Currently patrol shifts are not filled or are covered by a Captain and/or the Chief who respond from their office and do not perform preventive patrol. All respondents recognize the current problems are due to turnover and training issues.

Add downtown officer

Add one more night officer

What challenges currently face this function?

UNH student problems will persist if the department does not have a high presence to deflect problems.

What challenges will face this function in the future?

A concentrated effort to replace the aging vehicle fleet, radios, light bars was of primary concern

Communications

Consider the general dispatch function. In this section, the status of all communications equipment, including mobile and portable radios should be reviewed.

Effectiveness

10 9 8 7 6 5 4 3 2 1
Very Effective Usually Effective Not Effective

The changes I would make to current operations in this area are:

What challenges currently face this function?

Get all supervisors to see value and use consistently.

What challenges will face this function in the future?

Purchase new bikes, training and equipment

Animal Control Function

In reviewing this area, consider its part-time status, as well as the role of the Police Officers and other employees in accomplishing this service

Effectiveness

10 9 8 7 6 5 4 3 2 1
Very Effective Usually Effective Not Effective

The changes I would make to current operations in this area are:

Get Dick Martin to do this function. Current does not work. Page ACO without response

What challenges currently face this function?

Personnel

What challenges will face this function in the future?

More calls without resources

Vehicles and Vehicle Maintenance

Review and comment on the vehicles of the agency.

Effectiveness

10 9 8 7 6 5 4 3 2 1
Very Effective Usually Effective Not Effective

The changes I would make to current operations in this area are:

Getting vehicles routinely maintained and back on-line quickly.

What challenges currently face this function?

Aging fleet....higher maintenance costs and more down-time

What challenges will face this function in the future?

Clerical Staff

In this section, consider support provided in the area of record management, role as members of the agency and overall effectiveness.

Effectiveness

10 9 8 7 6 5 4 3 2 1
 Very Effective Usually Effective Not Effective

The changes I would make to current operations in this area are:

Things are fine. Staff is responsive. Message taking has improved. Get glass barrier for reception area.

What challenges currently face this function?

Marge's pending retirement. Computerize more records with access to more of the agency.

What challenges will face this function in the future?

New software. TIPS is antiquated and breaks down frequently.

Juvenile Investigations

Consider the overall handling of juvenile cases. Comment on removing this function as a specialized field.

Effectiveness

10 9 8 7 6 5 4 3 2 1
 Very Effective Usually Effective Not Effective

The changes I would make to current operations in this area are:

Looks good. Possibly more training for others to handle cases.

What challenges currently face this function?

Time consuming. Captain McGann performs this function by himself. Continuity is good but not everyone else knows what is going on.

What challenges will face this function in the future?

Computerization and Other Technology

Comment on the agency's direction in regards to computer technology, whether the use of computerization has assisted in the operations of the agency and the service provided to the public. Comment on specific areas of computerization as necessary.

Effectiveness

10 9 8 7 6 5 4 3 2 1
Very Effective Usually Effective Not Effective

The changes I would make to current operations in this area are:

New software. TIPS is old and antiquated

What challenges currently face this function?

Computers breakdown. Get new system!

What challenges will face this function in the future?

Special Programs

Consider any special programs in the agency to include DARE, Elder Services, etc. Comment on what we should be doing, not doing or enhancing.

Effectiveness

10 9 8 7 6 5 4 3 2 1
Very Effective Usually Effective Not Effective

The changes I would make to current operations in this area are:

Get more officers involved. Ed doing this by himself.

What challenges currently face this function?

Train back-up to Ed.

What challenges will face this function in the future?

Creating and sustaining new programs without human resources. How about volunteers?

Lexington Police Department Police Employee Survey

Directions: Please answer the following questions honestly and accurately. All responses will be absolutely confidential and will be used for research purposes only.

SECTION 1: THE COMMUNITY

1. Please rate the seriousness of the following crimes and quality of life issues in Lexington for the last 5 years? *(Please check one box for each item)*

	Very Serious	Moderately Serious	Slightly Serious	Not a Problem	Don't Know
Residential Burglary & Business B&E's					
Assaults					
Domestic Violence					
Unlawful Drug Use					
Unsupervised House Parties					
Animal Control Problems					
Drinking Groups in Woods / Parks					
Graffiti					
Litter					
Unlawful Weapon Use					
Loitering					
Property Theft					
Gangs					
Speeding Motor Vehicles					
Poor Driving Attitudes					
Drunk Driving					
Credit Card / Check Fraud					
Computer / Internet Problems					
Skateboarding / Rollerblading in Business Districts					
Vehicle Theft					
Harassing / Annoying Phone Calls					
Vandalism					
Parking Problems					
Solicitors					
Bicycles on Sidewalks					
Pedestrian Safety					
Public Drinking					
Unnecessary Noise					
Other:					

2. In your opinion, how much have the following factors contributed to crime rates in Lexington in the last 5 years? (Please check one box for each subject)

	Large Influence	Moderate Influence	Slight Influence	No Influence	Don't Know
Courts are too Lenient					
Drugs/ Alcohol Abuse					
Lack of Alternative Activities for Youth					
Lack of Education					
Lack of Jobs / Unemployment					
Limited Police Presence					
Poor Parenting					
Poverty / Low Income					
Intolerance of Differences Based on Race/Religion/Sexual Orientation, etc.					
Social Programs / Welfare					
Over Population					
Weapons Availability					
Lack of Respect					
Affluence					
Other: _____					

3. How effective are the following in decreasing crime in Lexington? (Please circle)

	Very Effective	Somewhat Effective	Slightly Effective	Not At All	Don't Know
Stricter Punishments By Courts	1	2	3	4	5
Probation Restrictions Listed and Enforced	1	2	3	4	5
Better Education / Prevention By Police	1	2	3	4	5
Stronger Enforcement at the Drug Dealer Level	1	2	3	4	5
More Youth Activities / Teen Centers	1	2	3	4	5
Increased Parental Involvement	1	2	3	4	5
Increased Community Group Involvement (i.e. religious/civic/business)	1	2	3	4	5
Fixed Sector Plans	1	2	3	4	5
Police/Citizen Problem Solving	1	2	3	4	5
Police/Other Agency Partnerships	1	2	3	4	5
Drug Legalization	1	2	3	4	5
Other _____	1	2	3	4	5

4. In your opinion, compared to other communities in the Boston area, how safe is Lexington overall?

Much Safer Slightly Safer About the Same Less Safe Much Less Safe

5. Compared to other residents of communities surrounding the Boston area, over the course of the past five (5) years, do you think that Lexington residents feel:

Much Safer Slightly Safer About the Same Less Safe Much Less Safe

6. How serious is the illegal drug problem in the following areas in Lexington? (Please check one box for each item)

	Very Serious	Somewhat Serious	Slightly Serious	Not Serious	Don't Know
High School					
Middle Schools					
Elementary Schools					
Playgrounds and Recreation Areas					
Within the Adult Community					

SECTION II: THE DEPARTMENT

7. How would you rate your current morale (job motivation) level?

Very High Somewhat High Neutral Somewhat Low Very Low

8. In your opinion, how effective is the department in doing the following things?

	Very Effective	Somewhat Effective	Slightly Effective	Not At All
Responding to Employee Ideas and Suggestions	1	2	3	4
Listening to Employee Ideas and Suggestions	1	2	3	4
Communicating Important Information Through Appropriate Channels	1	2	3	4
Treating Employees Fairly & Consistently	1	2	3	4
Recognizing the Need to Improve Working Conditions	1	2	3	4
Praising Employees for Work Well Done	1	2	3	4
Providing Constructive Criticism for Work Not So Well Done	1	2	3	4
Providing Appropriate Training	1	2	3	4
Providing Informative and Helpful Work Evaluations	1	2	3	4
Involving Employees in Decisions That Impact Them	1	2	3	4
Involving Employees in Research and Planning	1	2	3	4
Promoting Our Work Plan and Product to the Public	1	2	3	4

9. How important is it to you that the department strives to accomplish the following goals in the next few years? (Please circle)

	Very Important	Somewhat Important	Slightly Important	Not At All
Technology Improvements	1	2	3	4
Increase Support Staff	1	2	3	4
Increase Number of Sworn Officers	1	2	3	4
Increase Racial/Ethnic/Gender Diversity within the Dept.	1	2	3	4
Increase Community Partnerships	1	2	3	4
Broaden and Enhance Current Training Offerings	1	2	3	4
Improve the FTO Program	1	2	3	4
Pursue a Departmental Statement of Vision and Purpose	1	2	3	4
Solicitation of Community Input on Police Operations	1	2	3	4
Review and Rate Training Programs for Effectiveness and Applicability	1	2	3	4
Improve Personnel Evaluations Procedures	1	2	3	4
Increase Pay / Benefits	1	2	3	4
Develop positive Working Relationships with Each Other	1	2	3	4
Work Towards State Accreditation	1	2	3	4
Provide Crime Prevention Services	1	2	3	4
Provide Family Services for the Community	1	2	3	4
Provide Youth Services for the Community	1	2	3	4
Augment Enforcement Efforts with Training/Education/Prevention Programs	1	2	3	4

10. If you are a sworn officer, during the course of an average work week, how many hours do you spend engaged in preventative police work (i.e. making informal contacts with residents/kids, identifying potential problems and attempting to address them, voluntary “park, lock & walks” ...)?

- 0
 1-3
 4-6
 7-9
 10-15
 16-20
 over 20
 not applicable

11. How supportive are the Lexington residents of the police department?

- Very Supportive
 Moderately Supportive
 Not Very Supportive
 Not At All Supportive

12. How do you like the new uniforms for the Lexington Police Officers?

- Very Much
 Somewhat
 Not Much
 Not at all

13. Please rate the following statements with regards to Lexington:

	Strongly Agree	Agree	Disagree	Strongly Disagree
The current level of accountability that everyone is held to within the department is acceptable.	1	2	3	4
If we are asked to address more “quality of life” issues it will detract from our ability to fight serious crime.	1	2	3	4
An Officer assigned to a fixed area with discretion and ability for crime prevention and problem solving is advantageous.	1	2	3	4
Officers are more effective if they “look beyond the call” to get to the root of the problem.	1	2	3	4
Communications between officers on different shifts and support services is adequate.	1	2	3	4
Police employees consistently provide quality service and product to our “customers”.	1	2	3	4
Officers should be expected to initiate activity during shifts rather than await assignments and calls.	1	2	3	4

14. Which of the following trainings would you like to see implemented or expanded? (Please check all that apply)

- Computer / Software Use
- Interpersonal Communications
- Physical Fitness
- Tactical Operations
- Investigative Skills
- Firearm Use / Improve Range
- Trial Court Skills
- Other _____
- Current Law Changes & Effects
- Frequency of Qualifications (Updates)
- Defense Tactics / Custody
- Supervisory / Management Training
- Foreign Languages
- Crime Analysis
- EMT / Medical

15. What do you think are the current policing priorities of this Department? (Please rank the TOP THREE - # 1, 2, 3 - “1” being the most important)

- _____ Responding to Emergency Calls
- _____ Service Calls and Assistance
- _____ Promoting Police-Community Partnerships & Collaborations
- _____ Crime Prevention
- _____ Traffic Regulations & Enforcement
- _____ Other _____
- _____ Public Order Maintenance
- _____ Drug & Alcohol Enforcement
- _____ Encouraging Voluntary Compliance of Laws & Regulations
- _____ Education
- _____ Problem Solving

20. Please rate the following programs in terms of their effectiveness and/or usefulness in Lexington?

	Very Effective	Somewhat Effective	Slightly Effective	Not At All	Don't Know
D.A.R.E Program	1	2	3	4	5
Bike Patrol	1	2	3	4	5
Police Resource Officer Assigned Full-Time at Schools	1	2	3	4	5
Domestic Violence Response Advocate	1	2	3	4	5
Family Services Program	1	2	3	4	5
Full-Time Center Officer Position	1	2	3	4	5
Web Page	1	2	3	4	5
Traffic Enforcement	1	2	3	4	5
Dedicated Parking Enforcement Officer	1	2	3	4	5
E911 Combined Dispatch Center	1	2	3	4	5
LPD Facility Access	1	2	3	4	5
Peer Leadership Programs in Schools	1	2	3	4	5
Citizen Police Academy	1	2	3	4	5
Alzheimer Registration	1	2	3	4	5
Youth-at-Risk Intervention Program	1	2	3	4	5
Alcohol/Tobacco Sale Compliance Checks	1	2	3	4	5
Juvenile Diversion Program for 1st Time Offenders	1	2	3	4	5
Greater Boston Drug Task Force	1	2	3	4	5
Police Accreditation Program	1	2	3	4	5
Police Cadet Program	1	2	3	4	5
“Directed Patrol” to High Incident Areas	1	2	3	4	5
False Burglar Alarm Bylaw Enforcement	1	2	3	4	5
All-Night Winter Parking Enforcement	1	2	3	4	5
Trading Card Program	1	2	3	4	5
Long Term Assignment of Patrol Officers to a Single Area of Town Rather Than Random Assignments	1	2	3	4	5
Future Programs					
Skateboard / Rollerblade Park	1	2	3	4	5
Youth drop-In Center	1	2	3	4	5

SECTION III: YOUR COMMENTS

Please feel free to use as much space or additional paper as necessary.

The thing I like best about working for the Lexington Police Department is:

The thing I would most like to see improved at the Lexington Police Department is:

Please list the most significant values or characteristics that a Lexington Police Officer should possess.

The thing I would most like to see from Lexington residents is:

Other Comments or Expansion of Previous Answers:

Lexington Police Department Public Safety Survey

Directions: Please answer the following questions to the best of your knowledge. All of your responses will be absolutely confidential.

Section I: Your Community

1. Please rate the seriousness of the following crimes and quality of life issues in Lexington for the past 5 years. (Check only one box for each item)

	Very Serious	Moderately Serious	Slightly Serious	Not a Problem	Don't Know
Burglary/House break ins					
Assaults					
Domestic Violence					
Unlawful drug use					
Unsupervised house parties					
Animal control problems					
Drinking groups in woods/parks					
Graffiti					
Litter					
Unlawful weapon use					
Loitering					
Property theft					
Organized gangs					
Speeding motor vehicles					
Poor driving attitudes					
Drunk driving					
Credit card/check fraud					
Computer/Internet problems					
Skateboarding/Rollerblading in business districts					
Vehicle theft					
Harassing/Annoying phone calls					
Vandalism					
Parking problems					
Solicitors					
Bicycles on sidewalks					
Pedestrian safety					
Public drinking					
Unnecessary noise					
Other:					

2. Have you ever been the victim of a crime in Lexington? No Yes

3. Have you ever been the victim of a crime outside Lexington? No Yes

4. In Lexington, have you ever: *(Check all that apply)*

- Stopped to ask an officer advice or directions
- Stopped to talk to a police officer about a community issue
- Called the police station to discuss a community issue
- Been involved in a traffic accident which required police intervention
- Been involved in a police/community outreach program (ex. DARE, Bicycle Safety)
- Been stopped for a traffic offense
- Been questioned by the police and released (other than for a traffic offense)
- Reported a crime
- Been arrested
- Filed a formal complaint against a Lexington Police Officer/Department

5. In your opinion how much have the following factors contributed to the crime rate in Lexington over the past 5 years? *(Check only one box for each subject)*

	Large Influence	Moderate Influence	Slight Influence	No Influence	Don't Know
Courts are too lenient					
Drug/alcohol abuse					
Lack of alternative activities for youth					
Lack of education					
Lack of jobs/employment					
Limited police presence					
Poor parenting					
Poverty/low income					
Intolerance of differences based on race, religion, sexual orientation, etc.					
Social programs/welfare					
Over population					
Availability of weapons					
Lack of respect					
Affluence					
Other:					

6. Does your neighborhood have a citizen crime watch group? No Yes
 If no, would you participate in a crime watch group? No Yes

7. What kind of security do you use at home? (Check all that apply--this survey is anonymous)

- alarm system sensor lights standard door & window locks window grills
 dead bolt locks anti-open devices in windows dog
 exterior/interior burglar bars do not secure home

8. In your opinion, how likely is it that you will be the victim of a **property** crime in Lexington over the next 5 years?

- highly likely moderately likely slightly likely not at all likely

9. In your opinion, how likely is it that you will be the victim of a **violent** crime in Lexington over the next 5 years?

- highly likely moderately likely slightly likely not at all likely

10. How much time do you spend actively participating in the community (community-based programs, committees, boards, etc.) each month?

- 1-7 hrs 8-12 hrs 13-20 hrs 21+ hrs don't participate

11. In your opinion, compared to other communities in the Boston area, how safe is Lexington overall?

- much safer slightly safer about the same
 less safe much less safe

12. What do you believe about the prevalence of crime in Lexington?

(Please check only one category)

- Crime has increased in Lexington over the last five years.
 Crime has remained the same in Lexington over the last five years.
 Crime has decreased in Lexington over the last five years.
 Don't know.

13. Please check one response for each statement:

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
I feel safe at home					
I feel safe walking alone in my neighborhood after dark					
I feel safe walking with others after dark in my neighborhood					
I feel that my personal property is safe when I leave home					
When returning home at night, I feel safe					
I feel safe leaving my home/ car unlocked during the day in Lexington					
I feel safe <i>with others</i> on the Minuteman Bikeway					
I feel safe <i>alone</i> on the Minuteman Bikeway					

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
I feel safe walking <i>alone</i> in Lexington's shopping districts <i>at night</i>					
I feel safe walking <i>with others</i> in Lexington's shopping districts <i>at night</i>					
I feel safe <i>alone</i> in parks and recreation areas in Lexington					
I feel safe with <i>others</i> in parks and recreation areas in Lexington					

14. How serious is the illegal drug problem in the following areas in Lexington?
(Please check one box for each item)

	Very Serious	Somewhat Serious	Slightly Serious	Not Serious	Don't Know
High Schools					
Middle Schools					
Elementary Schools					
Playgrounds & recreation areas					
Within the adult community					

Section II: The Department

15. Please respond whether you agree or disagree with the following statements:
(Please check one box for each item)

	Strongly Agree	Agree	No Opinion	Disagree	Strongly Disagree
The police presence in my neighborhood is appropriate for the need					
Traffic enforcement in Lexington meets the needs of the community					
The Police Department gives proper attention to minor crimes (i.e. vandalism, disturbances, etc.)					
The Police Department is providing appropriate community education and outreach programs					
Efforts of the Police Department to enforce the law are compatible with community needs					
Lexington police officers perform an appropriate amount of patrolling on foot in Lexington Center					
There is an appropriate representation of female officers in the Lexington Police Department					
The Police Department responds to emergency calls in a timely manner					
Lexington police officers treat people with respect					

	Strongly Agree	Agree	No Opinion	Disagree	Strongly Disagree
Lexington police officers respect the rights of individuals and treat people fairly					
Telephone calls to the Lexington police station are handled professionally and courteously					
A formal complaint brought against a Lexington police officer will receive a fair, objective and timely response					
The Lexington Police Department solicits and welcomes community input					
Lexington police officers are respected by the community					
The Lexington Police Department has a good public image					
The Lexington Police Department does its job well					
Lexington police officers look professional in appearance					
Police information provided in local newspaper is useful					
Lexington police officers provide timely and useful information to persons reporting crimes					
The Lexington Police Department publicizes its services and programs adequately (<i>see question 16 on next page</i>)					

16. How effective do you believe the following Lexington Police & Community programs are on the crime problem and quality of life issues? (Please check only one box for each)

	Very Effective	Somewhat Effective	Slightly Effective	Not At All	Don't Know
D.A.R.E. program					
Bike Patrol					
Police resource officer assigned full-time at the high school					
Domestic violence response advocate					
Family services program					
Full-time center officer					
Web Page					
Traffic Enforcement					
Dedicated Parking Enforcement Officer					
E911 Combined Dispatch Center					
LPD Facility Access					
Peer leadership program in schools					
Citizen police academy					
Alzheimer registration					

	Very Effective	Somewhat Effective	Slightly Effective	Not At All	Don't Know
Youth-at-risk intervention program					
Alcohol/tobacco sale compliance checks					
Juvenile diversion program for first time criminal offenders					
Greater Boston drug task force					
Police accreditation program					
Police Cadet program					
“Directed patrol” to high incident areas					
False burglar alarm bylaw enforcement					
All-night winter parking enforcement					
Trading card program					
Long Term assignments of Patrol Officers to a single area of town rather than random assignments					
Future Programs:					
Skateboard/rollerblade park					
Youth drop-in center					

Section III: Demographic Information

17. How long have you lived in Lexington?

- less than one year 1-3 years 4-10 years 11-20 years 21+ years

18. How old are you?

- 18-24 25-34 35-44
 45-54 55-64 65 or older

19. How many people are in your household?

- 1 person 2-3 people 4-5 people 6+ people

20. Do you have any children under the age of 21 living in your household? No Yes
 If yes, please list their ages here: _____

21. Do you own or rent your home? Own Rent Other _____

22. Average household yearly income before taxes?

- under \$30,000 \$30,000-59,000 \$60,000-89,999 \$90,000-119,999 \$120,000+

23. What is your current employment status? *(Please check only one box)*

- Employed Unemployed Student
 Self-employed Disabled House wife/husband
 Retired Other

24. What is your race?

- Caucasian African-American Asian Hispanic Other _____

25. Do you or anyone in the household own any firearms for sport or protection against crime?

- Yes, Sport Yes, Both Choose not to answer
 Yes, Protection against crime No, Neither

Section IV: Your Comments

Please feel free to use as much space or additional pages as necessary.

The thing I like best about the Lexington Police Department is:

The thing I would most like to see improved at the Lexington Police Department is:

Please list the most significant values or characteristics that a Lexington Police Officer should possess.

Other comments or expansion of previous answers *(use reverse side of page if more space is needed)*:

2003 Community Satisfaction Survey Town of Geddes Police Department

Sex: Male or Female (Circle One)

Age: 18-24 25-34 35-44 45-54 55-64 +65 (Circle One)

1. Do you feel that the Town of Geddes Police Department is visible to the public?

Yes No NA

2. Do you feel the Town of Geddes Police Officers act professionally?

Yes No NA

3. How would you rate the competency of the Town of Geddes Police Officers?

Very Low Low Average High Very High NA

4. How satisfied are you with the courtesy of the officers?

Very Dissatisfied Dissatisfied Neutral Satisfied Very Satisfied NA

5. How satisfied are you with the appearance of the officers?

Very Dissatisfied Dissatisfied Neutral Satisfied Very Satisfied NA

6. How safe do you feel walking alone in your neighborhood at night?

Very Unsafe Unsafe Neutral Safe Very Safe NA

7. How safe do you feel in your home?

Very Unsafe Unsafe Neutral Safe Very Safe NA

8. Is the police presence adequate in your neighborhood?

Yes No NA

9. Is the traffic enforcement adequate in Geddes?

Yes No NA

10. Have you ever been a victim of a crime in the Town of Geddes?

Yes No NA

11. What do you like best about the Police Department?

_____ NA

12. How would you improve the Police Department?

_____ NA

13. How do you feel the Geddes Police Department has changed over the past four years?

Much Worse Worse Same Improved Much Improved Didn't live here NA

9

Budgeting in Small Police Agencies

A Best Practices Guide

Best Practices Guide



International Association of Chiefs of Police

Services, Support and Technical Assistance for
Smaller Police Departments

Budgeting in Small Police Agencies

by Chief W. Dwayne Orrick

This project supported by a grant from:

BJA Bureau of Justice Assistance
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Best Practices Guide for Budgeting in Small Police Agencies

By Chief W. Dwayne Orrick, Cordele, Georgia Police Department

Introduction

The best police chiefs are never satisfied with the status quo and are always seeking ways to improve themselves and their departments. They also realize money is the fuel that runs their organization.¹ To accomplish their goals, department heads must have sufficient funding. This funding is received through the budgeting process. If the department fails in the budgeting process, it is likely to fall short of meeting its goals later in the year. However, few officers climb the organizational ladder in aspiration of working with a budget. It requires the chief to step out of their “comfort zone” of operational procedures and into the administrative and political environment.

In smaller communities, the city council or city manager are likely to develop the budget with little or no input from the department. When fewer people are involved in the process, it is easier to compile a budget. But this technique centralizes control of the operations outside the department and does not help address the needs of the community.

The purpose of this guide is to remove some of the ‘mystic’ associated with the developing a budget. It is designed to help leaders of smaller police departments take an active role in obtaining funding for something they know a lot about, running a police department.

The remainder of this guide will focus on reviewing the budget cycle; developing a personnel budget; projecting the capital or long-term expenditures; forecasting operational or short-term costs; budget cutting techniques; approaches to budget justification; and execution.

Developing a budget is an art, not a science. There is no “one best way” to develop a budget. There are different types of budgets and each community does things a little different. What works in one may not work in another. Regardless of the technique used, budgeting serves as the funding process for department operations. The budget can also be viewed as a:

Planning document - It is the funding document for what the organization plans to accomplish during the next year.

Political document - It is a financial expression of our values.

Living document - The conditions and events impacting the department change. The organization must be flexible and respond to these conditions.

Developing a budget is defined as a process of estimating revenues and expenditures, comparing the two, and making adjustments until they balance.² Unlike personal budgets, redundancy is built into the public funding process to ensure accountability. To facilitate this process, local governments subject themselves to a budget cycle. The budget cycle is a year-round process consisting of four phases. Two or more of these phases may be occurring simultaneously. These phases include: executive preparation, legislative review, execution, and the audit.

Executive Preparation

This phase marks the beginning of a new budget year. In most communities, budget analysts will provide department heads and elected officials with a budget calendar. This calendar will provide a time line for the development of the budget. It is important to never underestimate the time required to develop the department's budget proposals. Once projections are formulated, they are placed in the format that has been established by the funding authority. This ensures uniformity between agencies as well as administrative ease for cross comparison. Budget hearings are held with each agency to review and analyze projected expenditures.

Legislative Review

During this phase, the proposed budgets for all of the departments, including the police, are presented to elected officials. Final additions and/or deletions are made by the elected body before the budget is approved and funds are appropriated for expenditure.

Execution

Also known as the fiscal year, this is the period the agency spends the appropriated funds. The fiscal year defines the beginning and ending funding dates of agency services. Typically, this period lasts from July 1st until June 30th of the next calendar year.

Audit

This is the final stage of the budget cycle. During this period, accountants review each department's expenditures to ensure funds were appropriately spent.

Personnel Services Budget

The personnel budget comprises 75 - 80% of the department's total budget. While it accounts for the largest portion of funds, the personnel section is, in many ways, the easiest to project.

The first step in developing the personnel budget is to ensure the department's manpower allocation is accurate. If the department does not have enough officers and support staff, it will not be able to achieve its mission. At the same time, having too many officers will severely impact the governing authority's overall budget. This may lead members of the community and the governing authority to question the need for the officers and lose faith in the leader's ability to responsibly use the taxpayer's money.

Many factors affect the staffing levels of a law enforcement organization including the community conditions and service requirements, operational philosophy, and budgetary considerations. If the department has never completed an analysis of its staffing allocation, one should be conducted.

In an effort to substantiate the need for current or enhanced staffing levels, many administrators use mathematical equations to project the number of officers needed. Even though most formulas are regarded as being unbiased and objective, extraneous variables prevent any method from providing a "perfect" estimate. Each method has different limitations in its ability to forecast the number of officers needed. When making these calculations, it is important to provide accurate and objective estimates. There may be a tendency to inflate the time spent on calls or the amount of activity. Failure to provide accurate, justifiable, and objective projections can sabotage the department's credibility and efforts to effectively address the staffing needs. To ensure an unbiased report is completed, some agencies have relied upon outside "experts" or consultants to complete these studies.

If the community is experiencing dramatic changes in the population or workload, an analysis should be completed on an annual basis. Otherwise it should be done every three years. This process will ensure the department has adequate staff to address the needs of the community and allow administrators to strategically plan for the future needs of the department.

Once the staffing levels have been established, the department should compare its salary and benefits package to other agencies in the surrounding area. Studies have shown money is not a motivator, but absence of money is a de-motivator. This is particularly true when staff perceive officers in nearby jurisdictions to be considerably more compensated for similar responsibilities. Therefore, it is important for the department to keep pace with the pay schedule in its labor market. To obtain this information, a salary survey should be conducted. Many states collect and maintain this information but, the accuracy of the data may be questionable. Some jurisdictions mail surveys to collect this information. This technique is dependent on survey questionnaires being comprehended and returned by the respondent.

Another popular technique is for agency personnel to conduct a telephone survey of agencies in a 30 - 40 mile radius. If the department is losing staff to a particular agency, such as a larger department or the state police, it should be included in the survey. When collecting the information, comparisons should be made of positions with similar job responsibilities, not rank. For example, a shift commander may be sergeant in one department and a lieutenant in another. When completed, the results should be presented in a table for comparison. It should include the base rate of pay, insurance, and other benefits for each community by position. The survey should also identify if the department works eight, ten, or twelve hour schedules and if the surveyed communities have other programs such as take-home cars, recruitment bonuses, educational incentives, and shift differentials.

In states with collective bargaining, the staffing and salary may be part of the union contract. Regardless, this information is important to have during negotiations.

Traditionally, staff turnover has been considered a cost of doing business. Since these expenditures do not appear as a line item, little attention has been given to the cost of losing an experienced employee. The development of the knowledge, skills, and abilities to be an officer occurs at substantial cost to the local government. These skills make officers attractive candidates for many employers, public and private. Because of this, many smaller agencies have become “training grounds” for larger agencies. Comparing the cost of turnover with the cost to retain seasoned employees allows an agency to project the cost savings by reducing its turnover. This information may provide significant justification for adjustments in compensation costs.³

To calculate the cost of personal services, the following information must be completed. The information to complete this computation may be obtained from the community’s payroll department and personnel department.

- Base Salary
- Merit or Longevity Increases
- Cost of Living Increases (Percentage of base, merit, and longevity increase)
- FICA 7.5% of salary with increases (if applicable)
- Worker’s compensation (Percentage of salary with increases)
- Retirement
- Health/Dental/Life Insurance
- Overtime
- Other compensation related benefits specific to the community
- TOTAL

Cost of living increases may be part of a collective bargaining agreement or linked to the Consumer Price Index. Other communities may make a political compromise in deciding adjustments to be made.

Overtime can be projected in the same manner as the short term or operating budget. It is important for supervisors to closely monitor overtime. The use of overtime is a highly leveraged expenditure and costs 50% more than regular staffing. An assessment of its usage may identify the need for staff transfers, schedule adjustments, or increased staffing levels. The National Institute of Ethics suggests false claims of overtime is a leading cause for discipline actions against officers. To prevent this, any claims should be approved by the immediate supervisor.⁴

In an effort to control costs, some agencies require staff to take compensation time in lieu of overtime pay. In some cases, it may be more cost effective to pay overtime than to give compensation or “comp” time. First, FLSA allow an employee to accumulate 480 hours comp time. Second, comp time not taken within the “work period” must be compensated at 1 ½ times the normal rate. Third, it must be compensated at the highest rate of pay. If the officer is promoted, he must be given the time off at the higher rate of pay. If he is demoted, he must be paid while taking the comp time at the higher rate of pay.

Monitor Sick Leave. Like overtime, the use of sick leave requires close review by supervisory staff. Covering positions for persons who have called in sick costs the department 250% of the budgeted amount. The person who called in sick is being paid and another officer is paid overtime to cover the vacancy. Accurate records of sick leave must be maintained and monitored for any trends. For example, officers accrue eight hours sick leave a month and work 12-hour shifts. The first month, the employee doesn’t take any time off. The second month one day (12 hours) is taken leaving a balance of four hours. The next month the officer takes another day off. Another pattern to watch for is the same days of the week or times of the month being taken. Several studies have indicated abuse of sick leave is precursor of misconduct and a problem employee. Because of this, persons who use high levels of sick leave should be confronted and efforts taken to reduce the use of sick leave.

Personnel Grants. Many departments have made use of personnel grants in recent years. It is recommended before the department applies for these funds, staff review the grant application guidelines for retention requirements. A department representative should bring the application to the attention of the governing body and receive their approval for the application. Any retention requirements should be included in the council minutes. This is important because when the grant expires persons in elected positions may have changed and some analysts may try to eliminate the positions. It will be necessary to provide a copy of the grant and the minutes of the meeting to indicate the authority approved the continued use of funds.

Capital Budget

The capital budget allows the community to make long term plans regarding the purchase of expensive items. Some capital expenditures, such as purchase of land or renovation to buildings do not occur every year. The risk of error is much higher for these decisions. The separate process assures that major decisions are fully considered before they are approved and funded.⁵ A capital improvement program provides a plan for the addition, replacement or improvement of assets. It also includes the cost to support these purchases and a schedule of replacement in the next three to five years. By scheduling these purchases, the community can provide for the orderly replacement of major equipment and avoid peaks/valleys in the expenditures. This allows the community to balance the costs with potential revenues. For example, the department has ten patrol cars. Instead of purchasing all ten cars in one, the replacements are spread over five years. This will allow the orderly replacement of two cars a year and the budget is easier to balance.

To be included in the capital budget, items must have all three of the following characteristics:

Tangible Asset (Something you can touch/feel)

Have a life expectancy or useful life of more than one year;

Exceed a minimum cost threshold established by the governing authority (\$500 - \$5000).

The capital improvement program includes the following areas:

Land, Buildings, and Improvements to Systems

Motor Vehicles

Office Equipment

Machinery and Tools

Computer Equipment (including some software and supplies).

An easy way to develop the capital improvement program is to:

1. Inventory all of the department's equipment that meets the guidelines for inclusion.
2. Identify the life expectancy for each item. This can be determined by researching with the manufacturer, talking with other personnel on staff, and reviewing the list provided by the Internal Revenue Service.
3. Establish an estimated replacement cost for each item.
4. Place the items that will need to be replaced in the next five years on the schedule with the associated costs.
5. Include additional equipment or enhancements on the schedule.

Justifying Capital Expenditures

Make or save Money. When requesting expenditures in the capital improvement program, the department must be able to articulate a legitimate need for the equipment. If the department can describe how the purchase will make the community money or save money, the budget analyst is more likely to approve the request. There are some ethical issues that must be considered when law enforcement officials are being used to "make" money. For instance, do not attempt to justify speed detection devices as a way to increase revenue for the community. However, the department may more easily demonstrate how the community will save money by making staff more efficient and effective with the equipment. For example, the use of a computer or a computerized Report Management System may allow officers to record more information and return to the streets faster. Some agencies, have effectively used increased accountability, reduced maintenance costs, and quick response from off-duty in the event of an emergency as a justification for a take home car program.

It is cheaper to spend the money this year. The department may demonstrate the cost to the community for the purchase is less this year than it will be in the future.

Safety. The issue of safety may be used as a good justification for capital purchases. For instance, the radio system has numerous "dead spots" where officers cannot communicate with the dispatcher. This would be a good justification for additional towers or the implementation of a new radio system.

A neighboring jurisdiction experienced a tornado. Fortunately, no one was hurt, but complaints arose afterwards that citizens had no warning of the tornado. In addition, the chief noted the number of trains carrying hazardous materials was just as dangerous and the potential for an accidental spill was very great. As

a result, the governing authority implemented a program to install emergency warning sirens to cover the entire city.

Prioritization of funding. Some communities establish a rank order of priorities for capital expenditures such as

1. Legislative requirements
2. Hazards to staff/public
3. Economic advantage
4. Increased improved service
5. New Service or Convenience.⁶

The prioritization of expenditures may vary with each community. However, knowing these priorities and linking the request to the highest available justification, may increase the likelihood of approval. Recognize competition for these funds is often tight and the requests may be postponed for a more pressing issue in another area of the community.

Grant Funds. Grants and asset forfeiture funds are considered one-time revenue sources. It is not fiscally prudent to use these funds to make operating expenditures. The next year, the supplies will need to be purchased and there is no funding to make the purchase. In addition, most state and federal guidelines forbid the use of these funds to supplant or replace existing funds. For this reason, grants and asset forfeiture funds are good source to enhance the department's capital improvement program. These are a one-time revenue source for one-time expenditures. The replacement of the addition to the program can be schedule years down the road.

Forecasting Operating Expenditures (Short-Term Budget)

Once the personnel and capital budget estimates have been developed, the last section is the operating budget. The operating budget funds the day-to-day supplies (fuel, paper, latex gloves), services (vehicle repairs, telephones, maintenance contracts), and equipment (uniforms, ammunition) necessary for the organization to function. Most of the same functions of a police organization are repeated each year. Therefore, this year's budget gives the department a good starting point for estimating next year's costs. So, the first step to developing an operating budget projection is to identify the current fiscal year's budget as a baseline for each area.

In the second step, officials determine if the department is going to initiate any new programs, make major adjustments to current operations, or reduce levels of service delivery. The department's strategic plan can be very helpful in clarifying the adjustments needed.

The third step is to determine how much it will cost to provide these services. Many administrators simply make incremental adjustments to each area or line-item such as three percent. While this approach may be appropriate in some situations, these adjustments should not be done arbitrarily. As the department assesses the operating costs, staff should critically evaluate their procedures. Efforts should be made to determine if there are more cost effective procedures. This process is often overlooked, but it is essential to making conscientious use of the public's money. As a profession we cannot expect to throw more money at the same problem to get the same results. Administrators should ask what does the agency need and what can it eliminate? Are there areas the department can fund at lower levels? Is the organization performing work that serves no function? What areas does the department really need additional funds to accomplish its goals?

Fourth, make adjustments in the budget projections.

Finally, document what the funds will be used for, how the estimates were developed, and why the department needs the funds. This documentation does not need to be a formal report. Clean notes listing the calculations and assumptions used to make the projections are sufficient. This documentation will provide much of the justification needed during the upcoming budget hearings.

Budget Cutting Techniques

As discussed earlier, developing a budget involves reconciling estimated budget revenues and expenditures until the two balance. Therefore, some budget cuts are inevitable and cannot be avoided. In his study of the budgeting process, Arnold Meltsner noted analysts are likely to cut funding requests in several ways. Each of these techniques may be observed during budget reviews.

Cut all request for personnel increases. Staffing is a highly leveraged expenditure. As a general rule, when a department receives additional staffing, they are seldom reduced. In an effort to control costs, these increases will be cut. In communities where there is a true need for increased staff, the ability of the department to provide effective services may be affected.

Cut equipment viewed as luxuries. Each community has items the elected officials feel are luxuries and unnecessary, such as cellular phones and leather chairs. Awareness of these idiosyncrasies allows the department to work around them and save valuable political capital.

Use precedent - cut items that have been cut before. If the request has been cut before with little impact on the department's operations, future requests will likely be cut again.

Recommend repair and renovation, not replacement. It is a common technique to postpone new purchases by repairing current equipment. This approach is particularly feasible if the agency has a good maintenance program. If the department has a regular replacement schedule, postponement may impact purchases for several years. As a result, the department may be forced to expedite the replacement schedule in future years.

Recommend a study to defer the costs. While studies may sometimes be used as a stall technique, they also provide important information for making rational decisions regarding the cost and need for the requested funds. Most elected officials do not like feeling "forced into" purchasing decisions. If a budget request is for equipment or supplies personnel genuinely need, officials should feel confident in its approval after the study. Therefore, it is important to anticipate the study being requested and not wait until the last minute to recommend the purchase.

Cut all costs by a fixed amount (i.e. 5%). Across the board reductions give the perception all agencies are equally sharing the burden of the budget cuts. However, other departments may not be run as efficiently and have more fat to cut. In addition, few other departments provide services 24 hours a day, 365 days a year.

Cut departments with a bad reputation. Agencies that do not enjoy strong community support may experience difficulty in defending requests. In addition, if the department head has a reputation of making unreasonable requests or does not have the confidence of the budget analysts, they are more likely to have their budget requests cut. Unfortunately, legitimate requests may be eliminated.

Don't cut when the safety of staff or the public is involved. The primary purpose of government is to provide for the public safety. This is critical for law enforcement administrators to remember. If a "legitimate" risk to the staff or the public health and safety can be demonstrated the request will likely be approved. To demonstrate this, the staff should conduct a risk analysis to identify the possibility of threats and the probability of each threat occurring. Then a cost-benefit analysis can be conducted to determine the most cost effective way to address the potential threat.

Point out areas for manager or legislative attention. The budget analyst may know they cannot cut some of the department's requests during their review. But, the request may be pointed out to elected officials for them to question the need for the proposed funding and to make a final decision regarding its approval.⁷

During budget review hearings, it is critical to ensure that cuts are made where the department can absorb the loss. To accomplish this, a detailed review must be made of the operational expenditures and rank order each request according to the following criteria:

1. Urgent and necessary for legal purposes/code compliance/mission
2. Necessary
3. Desirable, but not necessary.

It is recommended the department have a list of areas where the budget can be reduced. On many occasions, budget analysts may try to cut an area the department does not feel comfortable. To address this, the staff must know in advance the consequences for any potential cuts. As a compromise, the staff may propose cuts be made in other areas they feel are more appropriate or can offset the loss. For example, the agency may have a maintenance contract that covers the repairs for radios. Upon analysis of the cost of the contract compared to the cost of repairing the radios as they malfunction, it is determined the contract could be eliminated. The department can offer to drop the contract. At the same time, additional funds should be included in the other area of the budget to cover the repairs.

Justification for Requests

As the department goes through the budget review process, the chief should be ready to justify each proposed expenditure in the budget. A variety of techniques could be used to justify the projected expenditures and this list should not be considered to be exclusive.

Be prepared. Don't get caught off guard. Know what the hot issues are and have a response ready when they surface. As projections are developed, an analysis of previous expenditures must be completed to determine what needs to be continued, eliminated or improved. If department personnel go to budget hearings without good justification for the proposed expenditures, they will have a difficult battle. Arbitrary or unsubstantiated increases will likely be eliminated. If the department is expected to make the formal budget presentation it should be rehearsed. This rehearsal should preferably be done before persons who are unfamiliar with the department's operations and will ask pointed questions. During the presentation, use high quality visual aids.⁸

Mandates. Agencies are mandated to comply with local, state, and federal regulations such as minimum training hours, collective bargaining agreements, and the FLSA. The chief should be able to list these requirements and the associated costs.

Safety Issues Making an affirmative link between proposed requests and officer/public safety, will greatly increase the chances the proposed expenditures will survive budget cuts.

Higher Costs Areas such as fuel prices are volatile. The uncontrollable increases will require budget adjustments.

Training A rule of thumb, the department gets ten dollars returned for every dollar invested in training. It is one of the most important activities an agency can do to develop staff to meet the future challenges of the community.

Improvement in Methods Every year, police chiefs across the country are hear the phrase "Do more with less". Perhaps we need to focus on doing different with less. Examine each function of the department to identify redundancies or activities that have no real purpose.⁹ Improvements can occur through changes in

operational procedures, reorganization, or the implementation of equipment to make staff more effective such as computers. Involve the staff in this process. Many times, the personnel closest to the problem have the best ideas of how to improve the operations.

Politics One of the most common reasons some agencies fail to receive requested funding for operations is the elected officials do not know or understand the department's problems. Everything done in government falls somewhere on the political spectrum. It is not recommended the chief become involved in the campaigns of local officials. But, he cannot work in a vacuum and must be able to maneuver in the political environment. Oftentimes, the elected officials have a different perspective of the department. Take time to listen to their concerns. At the same time, explain the department's problems and what it needs to serve the community. Working together, the chief and elected body can improve the service delivery of the department.¹⁰ Otherwise, the chief may become the scapegoat for the department's failure to address these issues.

Demonstrate cost effectiveness of expenditures This technique is particularly beneficial with capital expenditures. A budget is like an eco-system. A change in one area may impact another. For example, it may cost more to repair a vehicle or computer and maintain it for another year than it costs to lease or purchase a new one. Accountants understand this concept very well. The chief should be able to explain how an expenditure will save money for the community.

Alternative funding sources Departments that make use of funds such as grants and asset forfeiture funds, are more likely to receive authorization for the expenditures. It should be noted state and federal regulations often forbid the use of these funds to supplant or replace existing funds.

Take a positive attitude. Officers look to the chief for how they should respond to attacks on the budget. Periods of retrenchment are not permanent and should be viewed as a challenge. It is an opportunity to trim the fat, build teamwork, and work on a common cause. If this period is faced as a challenge to be overcome, most of the staff will support the department's efforts. As a result, the organization will become leaner, stronger, and more productive. A negative response may give staff the perception they are aboard a sinking ship and compound problems for the organization.

Develop a strategic plan. If you don't know where you are going, you won't ever get there. Many states require local governments to develop a strategic plan. Some departments have begun to conduct community surveys. These surveys help to identify operational issues the community would like to have addressed and the public's perception of the department's service delivery. This information along with comments from staff, elected officials, and the public during planning sessions can be very beneficial to identifying the department's weaknesses and improving the quality of its service delivery. This process will also help develop a realistic schedule to addressing areas to be improved. The goals and objectives developed during these sessions should be linked to the budgetary expenditures.

Develop confidence and trust. Trust is the glue that binds us together. This is done by developing a reputation of making reasonable budget requests. Padding found in one area of the budget may be assumed to exist in other areas. As a result, legitimate funding requests may be cut. Officials must know when a request is made by the chief, the proposal has been fully researched, all of the alternatives explored, and the recommendation is in the best interest of the staff and the community.

Use the Media Too often we unnecessarily distance ourselves from the media. Brave men and women in police departments across the country are making great sacrifices to serve their communities. Yet this service is going unrecognized by the community. Working with the media will help to spotlight officer's efforts and will build public support for the department's operations.

Economic Development More communities are starting to realize public safety is an issue of economic and industrial development. As businesses look to locate and expand their operations, they examine the quality of

life in the community. The ability of the department to address citizen's fear of crime can influence the perception of the community as a whole.

Write the Justification. Some communities require a written justification accompany the department's proposed budget. Even when they are not required, written justifications are a good way to help the staff to develop their argument for the requested funds. The justification should identify the need, problem or program to be addressed, the additional personnel and resources needed, and the expected results.

Budget hearings can sometimes become very emotional. The department personnel are faced with many challenges and are concerned about receiving sufficient funding to meet them. At the same time, budget and elected officials are faced with the responsibility of making hard decisions regarding cutting costs or raising taxes. During these meetings, staff members should never demonstrate anger or indignation toward an elected official. In addition, department representatives should never argue with members of the elected body. It demonstrates a lack of restraint and projects an unprofessional image. In the long run the entire department will suffer.¹¹

Budget Execution

After the governing body approves the department's budget, funds are appropriated and staff are expected to provide law enforcement services within the projected costs. This process is budget execution.

Budget execution is much like firing a weapon. The sight alignment and trigger squeeze are correct but, rounds are grouped to one side at the seven yard mark. This may not cause much concern. But if the shooter does not take corrective action, he will miss the target from 15 or 25 yards. The same is true with a police budget. If the line item is two percent over budget after the first month and no corrective action is taken it may be 24% over at the end of the year. While a two percent over budget does not seem like much, it can have a significant impact for the entire community. Two percent of a \$500,000 budget is \$10,000.

In order to stay on target with the budget, the department's expenditures must be monitored on a monthly basis. To do this, the department should receive a statement of expenditures and appropriations from the community's finance department. This statement will have several columns to identify the appropriations, month-to-date expenditures, year-to-date expenditures, remaining balances, and percentage of expenses.

The difference in the budgeted amount and the expenditures is referred to as variance. An easy way to track the progress of the budget is to compare the percentage of expenditures for each area with the portion of the fiscal year that has passed. The percentage of funds that have been spent is calculated by dividing the amount spent (expenditures) by the budgeted amount. For example assume the department was budgeted \$1,200 in a particular category or line item and has spent \$300. So 300 is divided by 1,200 resulting in .25 or twenty-five percent.

Compare this percentage to the portion of the fiscal year that has passed. Three months divided by 12 months equals .25 or one fourth of the year. In this illustration, the department is on budget. If the expenditures was less than the portion of the year that had passed the department would have been under budget and vice versa.

When an area is identified as being over budget, a reason for the cost overrun must be determined. Assuming expenditures have been charged to the proper line item or section variance in the budget is always caused by one of three factors:

Price: The department is paying more or less than was expected for the supplies or services.

Volume: The organization has experienced an increase/decrease in the amount used. Reaction to seasonal activity or large isolated expenditures such as insurance premiums or bulk purchase of fuel can cause dramatic fluctuations in a line item.

Efficiency of Operations: The department is operating more/less efficiently than expected.

After the analysis is completed, describe in writing the reason for the variance, and the corrective action to be taken to bring the section in line with the budget. Officials should also make a separate notation as a reminder for when the next year's budget projections are being developed.

As the fiscal year progresses, each department head is expected to attend periodic budget reviews. The purpose of these meetings are to track how each department, and the community as a whole, are progressing with the budget. During these meetings, being aware of the variance and having an explanation ready demonstrates the department is monitoring itself.

Summary

Mastering the budgeting process is critical for the success of the police organization. Budgeting is not a complicated process. However, it is a learned skill that requires ingenuity, creativity, attention to detail, and good communication skills.

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10

Generation X Recruits and the Field Training Experience

A Best Practices Guide

Best Practices Guide



International Association of Chiefs of Police

Services, Support and Technical Assistance for
Smaller Police Departments

Generation X Recruits and the Field Training Experience

by Lt. Margaret A. Fischer, J.D.

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Best Practices Guide for

Generation X Recruits and the Field Training Experience

By Lieutenant Margaret A. Fischer, J.D., Michigan State University Police Department, Field Training Coordinator, Mentor Program Coordinator

The most popular current design of the Field Training Program (FTP) is patterned after a program developed in the San Jose, California police department in 1972. It was developed in response to a tragic event involving a person who may have lacked the proper skills to perform his job. The program revised an earlier version of a Recruit Checklist into a four-month on-the-job training program of teaching skills for officers that included an evaluation process.

From 1972 to now, that early training program has been modified many times to include performance evaluation and documentation, standardized task training, procedures to follow in the event the new employee does not respond to training, and, if needed, methods to terminate a failing recruit. The use of a standardized system of recruit evaluation that scores every area of performance during the course of the training day can lead to some frustration among those in the training process.

The recruits now being hired and trained in most police agencies are being called Generation X recruits. These recruits appear to be responding uniquely to several factors in the design of our current training programs due to their individual and generational characteristics. Law enforcement agencies want recruits to be well trained and enthusiastic about becoming police officers. When recruits experience training as a professional and supportive environment that focuses on safety and learning, the outcome of that training imparts both a successful transition for recruits into their new work assignments and underscores the importance and necessity of the substantial financial investment in the recruit by the local agency.

In an effort to enhance positive training outcomes, we will discuss generational issues in this article along with ways to effectively address them during the training experience.

History of Generation X

Generation X is a term used to refer to people born between 1963 and 1981⁴ and was first coined in the 1990's by Douglas Coupland. By 1993, *Time*, *Newsweek*, *Business Week*, and *Fortune* were all using the term Generation X to refer to the generation that followed the Baby Boomers, the generation born between 1946 and 1960⁶. The Gen X label stuck, in part, due to the desire by the business industry to successfully market products to this generation. Many events have influenced this generation, including:

- ◆ The transformation of the family unit
- ◆ The AIDS epidemic
- ◆ The war on drugs and the implications of drug use at early ages
- ◆ Increased violence in society
- ◆ Threats of nuclear war
- ◆ Environmental decay
- ◆ Rapid advances in technology and communication

These issues and others have shaped the views that this generation now possesses just as each generation before it was affected by the events of their time. Most literature on the development of Generation X values and perceptions include **four common themes**:

- ◆ A lack of belonging
- ◆ A need to learn rapidly
- ◆ A desire to be an entrepreneur
- ◆ A lack of security in most areas of their lives

If recruitment and retention of new police officers is to be successful, it is important for law enforcement to know how these four themes influence the Field Training Program (FTP) experience for Generation X recruits.

The FTP impact on Generation X Recruits

The FTP is an effort to teach the recruit how to translate the training and preparation from their academy experience into actual job performance. Throughout my experience as a trainer and manager of training programs, I have seen the impact of those training techniques on Generation X. Many good trainers will recognize differences between individuals and make the needed adjustments to support successful training outcomes for the individual and the agencies that hire them. This strategy is imperative if we are to successfully recruit, train and retain Generation X recruits. Law Enforcement has a huge investment in assuring positive training outcomes for recruits that both enhance learning and support officer and community safety.

1. **Scoring and Evaluation:** The presence of low training performance scores is extremely troublesome to Generation X recruits and threatens their feeling of belonging and security. They are a generation that has been inundated with numbers to identify who they are or to assign their station in life. The negative impact of any low performance scoring causes much consternation to Generation Xers. Generation Xers sometimes lack a strong sense of security, in part because of growing up in a hero-worshipping environment without tolerance for second-best and also for having watched parents get down-sized by jobs they felt were secure. When a Gen X recruit sees a low evaluation score, it strongly influences the vision of their future in the organization. If they are to be successful, it is important for them to maintain a secure environment.
2. **Providing Feedback:** Another important issue is the timeliness of the feedback that recruits receive in the FTP. Having grown up with computers, Generation X recruits are typically comfortable with technology and want to receive rewards or reprimands in a timely fashion. This need for timeliness in the feedback loop is indicative of their experience with access to computer-generated information as well as their need for security.
3. **Supplying Innovation:** Many Generation Xers desire to be entrepreneurs and do not like to be micromanaged. Much of the FTP experience emphasizes the rigidity of following written guidelines and includes personalized and close supervision as they learn. In Field Training, we generally do not encourage innovation or problem solving as a way to learn our jobs. Still, it is important to note that Generation X recruits typically want to be involved in program design and implementation as well as innovative problem-solving. Don't be surprised if they volunteer ways to improve a training exercise.
4. **Critiquing Performance:** For this generation, and others as well, the most effective way to provide critical evaluation of performance is within a context that is both positive and negative. Generation X needs to sense that they belong and are appreciated. Performance criticism that is negative and not constructive shuts that need down. For the safety of the recruit, fellow officers and the community they serve, it is extremely important to evaluate and correct sub-standard performance in the FTP. Utilizing an

evaluation process that both educates the trainer to give feedback in the most effective manner and that supports a positive learning environment for recruits, can improve positive training outcomes for Generation X employees in the FTP.

5. **Using a Strengths-Based Learning Model:** Trainers need to find ways to provide Generation X with opportunities to define and solve problems, to demonstrate resourcefulness, and prove themselves as being innovative. Proper reward and timeliness of feedback is critical to the success of training Generation X recruits. Performance criticism and instruction must also include individual achievement and improvement. Emphasize positive achievement while correcting deficient behavior.
6. **Selecting the Right FTO:** Proper selection and training of the Field Training Officer (FTO) is paramount to the success of the FTP. This FTO training should include enhancement of interpersonal and communication skills as well as differential learning techniques. This training will help the FTO to engage effectively with Generation X employees in the FTP and augment recruitment and retention efforts simultaneously. Organizational loyalty will grow as employees feel anchored to the organization that shows them respect and consideration.
7. **Measuring Program Effectiveness.** The Chief or Field Training Program Coordinator should also employ an FTO evaluation that models and reinforces the strengths-based model intended for new officers. Measuring the effectiveness of the FTP and your trainers will help identify ways to correct deficiencies in the program and the trainers. Proper training and evaluation of your FTO's may remedy most management problems encountered with Generation X.
8. **Applying Adult Learning Theory to All Agency Instruction.** Adult Learning Theory applications that employ multiple layers of learning styles are the most effective approach to use with Generation X. Most Generation X individuals learn through a complex set of styles that focus on problem solving and the use of technology.
9. **Combining numerical evaluation with recognition of personal achievement.** The basic premise of field training is to evaluate job skills and performance by assigning numerical scores to each task. When used alone, this evaluation style appears arbitrary to the Generation X recruit and conflicts with their need for positive feedback. A useful evaluation technique to use in this case is to find creative ways to downplay the significance of the actual numerical scores while emphasizing the actual skills learned. This technique combines critical evaluation and recognition of personal achievement and it is interpreted by this generation in a more positive context. Finding ways to reinforce and reward positive behavior in a non-numerical way will produce more positive outcomes with this generation.
10. **Implementing a Mentoring Program.** A final recommendation to address many of the issues involving the four themes of Generation X, with special application to security and belonging is to implement a mentoring program. Proper peer mentoring relationships provide another tool to help Generation X survive and thrive in the FTP. Providing a mentoring relationship to address the social aspects of the training program and the recruits' sense of alienation and fear will provide your FTO's more time to spend in the actual work of training.

Generation Xers are technologically oriented and may find ways to problem-solve through the use of existing technology. As a rule, these individuals are eager to learn and attempt to do so at a very rapid pace with emphasis on innovation and individual accomplishment. An analyst interviewed by Bruce Tulgan for his book *Managing Generation X* described his supervision preference in this way, "the kind of manager I like is the one who gives me an assignment and then leaves me alone to work on it on my own." To ensure successful FTP outcomes with this generation, training strategies ought to include recognition of individual accomplishment within the context of overall team success.

You may solve many of the challenges related to training the new Generation X employee by addressing the four themes of Generation X in your training environment, utilizing successful models of mentoring in police organizations, and establish ways to provide new employees with the tools to succeed.

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This author has successfully implemented a Mentoring Program that has innovatively meshed with the FTP to create new solutions to training problems. It was first implemented in 2000, patterned after a model created in the Lansing Police Department, Lansing, Michigan by Captain Julie Williams. We currently have 25 trained mentors that work with 20 sworn members and 5 civilian cadet employees. It was successfully used as a recruitment tool to hire two new members of our department from our cadet ranks. Their progress in the FTP is nothing short of amazing, with work performed at each step in excess of that required. The comments provided by them was that the mentoring they received prior to the FTP and during it helped them adjust very rapidly and helped them feel a sense of security.

11

Internal Affairs: A Strategy for Smaller Departments

A Best Practices Guide

Best Practices Guide



International Association of Chiefs of Police

Services, Support and Technical Assistance for
Smaller Police Departments

Internal Affairs: A Strategy for Smaller Departments

by Chief Beau Thurnauer

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BJA **Bureau of Justice Assistance**
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Best Practices Guide for Internal Affairs

A Strategy for Smaller Departments

By Chief Beau Thurnauer, Coventry, Connecticut Police Department

Note: Local policies and procedures on internal affairs investigations require input and review from appropriate legal advisors (for example, city or county attorneys). Concepts presented in this article reflect best practices, but must be adjusted/refined by knowledgeable legal advisors in each community.

Introduction

Every police department large and small will sometime have to deal with a complaint concerning an officer's conduct or behavior. Although the process of handling these complaints varies between agencies of different sizes located in different parts of the country, there are some basic similarities that thread themselves through law enforcement in general.

Every Chief must have a good handle on the purpose of investigating internal inquiries and take them seriously if they are interested in earning the respect of their political body, the citizenry they serve, and the officers and civilians who work for them.

The Need

Sworn officers hold awesome power. We have the unique authority to remove a person's freedom and to use deadly force. And although the nation's majority believes we use these authorities appropriately, there are those who believe that the police take advantage of and abuse their power on a routine basis. An internal affairs investigative process is meant to ensure that department policy and procedures are followed and that all department employees follow agency standards of professionalism.

Since law enforcement is accountable to everyone regardless of their opinion of us, we are obliged to insure that our officers operate within the confines of the law and according to procedure. The minute we detect any violation of not only statutory rulings, but of internal policies, we must investigate the incident and bring about swift and just correction, if required. Those town and city police departments that have not instilled confidence that every complaint will be examined, are inviting unnecessary complainants that are likely to reach town managers, mayors, and civilian review boards. Effective IA units will insure that complaints are heard at police headquarters and that they are dealt with quickly and effectively.

Sworn officers are normally complained about more than other employees, however, we must never discount the importance of our civilian staff members who interface with the public and may also be the subject of complaints. In both smaller and larger departments civilians often work in dispatch centers, handle animal complaints, and may hold other positions that have a great deal of public contact. Complaints surrounding civilian staff conduct must also be investigated swiftly and fairly to ensure and maintain department credibility, confidence, and adherence to policy.

Complaints

Who Receives Complaints?

IA policies are recommended and should always specify clearly who receives complaints. Most agencies allow complaints to be received at any level. In most agencies of 10 or fewer employees, the Chief will normally want to receive the complaint and investigate it. If there is a rank structure, it is most effective to assign the reception of the initial complaint to a supervisor. This practice allows the supervisor to assume some of the responsibility of his or her subordinate's actions. It is common for all complaints to be referred to a specific IA intake officer, usually a supervisor. However, the practice of assigning complain investigations to an IA unit, away from the first line supervisor, may cause that supervisor to feel that he/she has lost the responsibility of corrective action with his/her officers when they make a mistake. This can sometimes be interpreted as undermining authority so investigative procedures must be developed with this in mind. You may want to include the first line supervisor in the decision-making process, or you may not, depending upon personnel and other relevant issues.

In either case, it is imperative that any investigation should be completed by someone of higher rank than the person who is the subject of the investigation. Avoid having a senior patrolman investigate a junior officer. Nothing causes hard feelings faster than officers of equal rank investigating each other.

Every officer should know exactly where to refer a complainant or be prepared to receive the information and pass it on to a supervisor. For example if a patrolman is on the street and a citizen comes to him and complains that a cruiser was driving too fast the night before, the officer should be clear about exactly what to do with the information. It is never advisable to respond with anger or defensiveness.

Which Complaints to Accept

A simple declaration stating that ALL complaints against any member of the police department will be received and investigated leaves little room for dispute. CALEA Accreditation Standard # 52.1.11 states, "The agency compiles annual statistical summaries based upon record of internal affairs investigations which are made available to the public and agency employees." It also prevents the age-old problem of certain complaints being discounted or rejected for purely subjective reasons. It is difficult to explain to a citizen why one complaint was accepted and one rejected for basically the same offense. This kind of inconsistency brings a supervisor's objectivity into question when his or her peer has accepted a complaint in the past for a similar offense.

It is important for each department to, 1) set the rationale for receiving complaints, 2) assign a person the task of receiving them, and, 3) specify in a formal policy format which complaints are accepted. A *bright line rule, stating clearly that all agency employees will accept any and all complaints* is the easiest to understand and teach other employees. It is not the easiest for most employees to accept.

Some departments feel that the credibility of the complainant should be assured by requiring a sworn statement from those who make the complaint. This can insure sincerity, but it can also discourage honest people who may be skeptical or reticent. At no time should a department seek to discourage a person from making a complaint because the investigation process is embarrassing or difficult. A Community's trust in their local police department is solidified when our citizens know we want their input and will amend policies, procedures and behaviors if we find we have made mistakes.

Format of Acceptance

One common way to receive a complaint is through a formal written statement, however, a police department wanting to portray an image of true responsiveness will accept complaints in any form - by phone, mail, in person, and today, by e-mail or web form. It is highly recommended that anonymous complaints not only be accepted, but that the department's policy clearly say so. Agencies run the risk of losing valuable community input if the complaint process is not clear and simple.

Notification of Officer

Credibility with the community is important, but credibility within the organization is vital. No employee likes to be complained about, but department staff will have a higher level of public support if every investigation is done fairly and uniformly. Unless a criminal investigation prohibits it, the officer who is being complained about should know the circumstances of the complaint immediately. This standard should be no different than in our court system in which the accused has a right to face his or her accuser. Anything less will create an environment of distrust and defensiveness within the department. The chief will always want to avoid hearing staff say, "...Even criminals are treated better than cops."

The Chief of Police determines when employee notification of a complaint is made. Normally, the employee is notified the day the complaint is received. This can be done in several different ways.

It is preferable to provide an employee with a copy of any written complaint. Administrators may also have guidelines in collective bargaining agreements that have to be met concerning complaint procedure.

At this time, the officer who will be investigating the complaint should be notified. In smaller agencies, policy or tradition may stipulate that the Chief of Police will investigate all complaints. If this is not the case, the employee should know which supervisor will be conducting the complaint investigation. It is also advisable to send a letter to the complainant acknowledging the receipt of the complaint. This letter notifies the complainant that an investigation is commencing.

Since few members of the public truly understand the complaint process beyond what they have seen on TV, complainant notification often averts an irate phone call to Town Hall wondering why his/her complaint has not been attended to.

Administrative VS. Criminal Complaint Procedure

Few things cause more confusion within police agencies than the difference between administrative and criminal procedures involving a complaint. This discussion will not examine the many legal ramifications, but will include procedural basics to guide Chiefs and command staff.

Immediately after the complaint is received, the person assigned to investigate will usually be able to determine whether or not there is a criminal element to the case. If there is no criminal element then the investigation is purely administrative, meaning that the result will be personnel action not criminal action. If there is even a hint that there is criminal behavior on the part of the employee, then the first step should be to separate the matter into both a criminal investigation and an administrative investigation.

The difference between a criminal or administrative investigation is distinct. Each requires careful procedures be taken at each step in order to comply with the law; follow the agency policy and procedures; while taking care not to jeopardize prosecution, should that become necessary. Some departments run these investigations simultaneously while others prefer to complete the criminal investigation prior to beginning the administrative investigation. If a criminal investigation is needed, use Miranda rights where applicable and proceed no differently than you would in any other criminal investigation. However, chiefs must not fail to take administrative action even if a criminal investigation is underway when public or other officer safety could be compromised. For example, the IACP Model Policy for Police Officer Domestic Violence recommends that if a DV incident is confirmed, the officer be placed immediately on administrative leave and surrender his or her weapon. Failure to take administrative action regarding serious complaints, can leave the chief, agency and city vulnerable to legal liability and/ or public criticism.

When the criminal investigation has been completed, begin the administrative part. Give Garrity warnings if you feel it is appropriate. Garrity warnings are similar to Miranda, but warn the employee that failure to fully disclose information that is related to the office held, may result in disciplinary action up to and including dismissal. [See Edward J. GARRITY v. State of New Jersey (385 US 493)] You will probably not use Garrity

in every circumstance. If an employee gives you the full story with no evasiveness then your job is complete, but if they are uncooperative, then Garrity is in order.

Some departments do have policy that requires Garrity every time an inquiry is made. This procedure can be cumbersome when you have a rudeness complaint and you know you can resolve the issue by talking to the officer who may say, “Gee, I had a rotten day that day and I promise I will never let this happen again.” A word of caution is in order, however, if during your routine administrative investigation, you suddenly uncover information that makes you think that criminal activity may be involved. In such a case, you should immediately cease your administrative inquiry and have someone else begin a criminal investigation.

If you have received information under Garrity rules, no information that you have obtained can be shared with the criminal investigator. A short example will make this clear. Let us say that a complainant comes to your office and states that an officer was rude during a motor vehicle stop- obscene and insulting. You then call the officer into your office and give him Garrity warnings.

The officer gives you a written statement saying that the violator had been stopped three times in the past and was a habitual offender who was just trying to get out of a ticket by making a complaint.

When you interview the passenger who was in the car with the complainant, you determine that the passenger gave the officer \$100 not to give the complainant a ticket. You decide that you want the officer arrested if the allegation turns out to be true. Since the statement that the officer provided was originally given in the Garrity environment, it is not admissible in criminal court. The criminal investigator assigned the case will not have the opportunity to see or review any of the administrative information gained up to this point. It must be a totally independent investigation. Miranda warnings will be given and the officer will be asked to give another statement under Miranda. Because of the complexity of these issues, entire courses are given to clarify Miranda and Garrity procedures. Enrollment in an IACP class or consultation with a legal advisor can be helpful.

Investigation

Course of the Investigation

It is wise to have a formalized, written policy that describes each step of the internal investigation. It serves as a guide to your employees and it lets the subject of the complaint know what to expect. This policy should outline what the investigation will include and what steps will be followed. For example, a letter will always be sent to the complainant to serve as confirmation of their complaint. It is best to keep consistency to the investigation by following all the steps all the time. It only complicates things when two citizens find they have been treated differently when they made complaints against the police. It distracts from the real purpose of the investigation and seriously erodes trust in the police department.

The complainant and witnesses should be interviewed by the investigator within 24 hours of filing the complaint, and preferably, within 24 hours of the incident. This allows the investigator to get information from the complainant and witnesses while it is still fresh in their minds and before they have an opportunity to taint their memory by second-guessing, talking with other witnesses, speaking with an attorney, or even being contacted by the subject of the complaint. A thorough and complete interview also locks the complainant and witnesses into their statements and helps identify any discrepancies or embellishments that may occur.

Interviews may be done at the police station, at the home or workplace of the complainant. If you want the complainant to really believe you are interested, I suggest you go to their home or workplace. Always check to see which is preferable. Tape recording is the best method to get accurate information, but some people are hesitant to have interviews recorded. Recording should not be a prerequisite to accepting the complaint. If

you are interviewing an officer, record the conversation then have it typed to be sworn to later. Have statements notarized if possible. It may help avoid prosecution for false statements later.

Representation

I have yet to see a situation where it would not be acceptable to allow a subject employee to be accompanied by a union officer or other representative during an interview. This is especially true in union states. Specify in the interview policy the precise amount of time the investigator will wait for this representative to appear at the interview. This will avoid unnecessary delays. The same time restraints should apply if the officer requests a lawyer.

Polygraphs and Psychological Exams

Most states allow a polygraph only if requested by the subject employee. The practice is not too common. Polygraphs have limited effectiveness in court and may muddy the waters if they are returned inconclusive. They may be more useful if used on a complainant you suspect is lying about officer misconduct.

It is possible that the polygraphist could elicit a confession from the complainant or a guilty officer if they are lying during the polygraph session. In a past case, a woman complained that an officer had been physically intrusive during a pat down. She gave a sworn statement that the officer had touched her inappropriately for over 30 seconds. The officer adamantly denied the allegation. During the polygraph, the examiner detected that the complainant was lying and gained a confession from her as she broke down emotionally during the polygraph exam.

Psychological exams can be a mixed blessing. They can be of critical value in protecting your Town or City when an officer is just not capable of handling the job, but has not violated any specific rules. However, more than one officer has been returned from a psychological exam with a clean bill of health and a written statement attesting to their mental stability.

If you decide to use this tool make sure that the appointment is made when the employee is on duty. Officers have the right to refuse a psychological exam if it is required during off duty hours. Overtime or collective bargaining issues may be involved if off-duty time is required for a psychological exam. Never discount the less radical approach of offering a troubled employee an EAP [Employee Assistance Program] appointment. Officers who exhibit out of character or consistently poor behavior could be experiencing personal problems and could benefit greatly from counseling through the confidential EAP program. This is a supervisory issue that, if noticed early on, could prevent complaints by addressing behavioral concerns of an employee when first noticed.

Thoroughness

Similar to criminal investigations, exculpatory information is also an issue in internal investigations. Make sure you conduct a thorough investigation that seeks information that may clear the officer. The investigation should examine both the pertinent facts that could possibly indict the subject employee and/or prove his/her innocence. Many states have officers Bill of Rights clauses either in union contracts or in statutes that stipulate guidelines for IA investigations that include: thoroughness, inclusion of information from all sources, and that clearly indicate that no discipline is possible without just cause.

Participation by More than One Investigator—Identifying Additional Resources

If there are many people to interview, it may be necessary to include a second investigator. If the chief is conducting the investigation, he or she may assign a supervisor to take a statement or follow-up a lead. If the department consists of the chief and patrol officers only, it is best for the second investigator to come from an outside source, like the State's Attorney's or State Police.

If you are confident that it can be handled objectively without outside help, then use an in-house investigator. Just be warned that in-house investigations can bring criticism of bias, but if you can prove the thoroughness of the investigation using your own staff, it will build tremendous credibility for your agency.

Notification Time Frames

Time frames for notification need to be specified in writing so that everyone understands the investigation process. It is normal for the entire investigation to be completed within 30 days of the original complaint. Officers should be notified within 24 hours of the original complaint. If the investigation is very complex there should be a provision that it can take longer than 30 days, but only with a written request from the investigator that is granted by the Chief of Police.

If correspondence to the complainant is necessary and/or included in a policy, the time frame should be clearly defined. Response within one week is reasonable. Complainants should be notified of a disposition within one week of the conclusion.

Storage and Retention of Files

All files should remain in a locked location within control of the Chief of Police, either in the Chief's office or in a records room nearby. Different states, towns, and police chiefs can have dissimilar ideas as to what is considered a *public record*. I recognize the divergent opinions on the subject of opening files to the public. Because public accountability is a major priority in my department, I prefer to make files (except medical information) available to the public. In five years of running an IA unit, I never had anyone but the press request reports and I never suffered negative repercussions from permitting it. In the case of Freedom of Information Law or Sunshine Laws, public review of files can be permitted. As much as we may object to the request as intrusion, if the press really wants to get to IA files, they will probably be successful. We as Chiefs will always be under scrutiny when we refuse to allow IA file examination. Any interference by the department can be construed as hiding or covering up. If officers know that all IA files will be made public unless they contain medical information, they may think twice before committing any infraction.

It is preferable to keep IA files separate from all other case files with a separate numbering system. They need not appear on the police blotter unless the offense is a criminal offense. Unless disciplinary action is taken as a result of an investigation, the report need not be included in personnel files.

An early warning system for tracking personnel complaints is highly recommended as a way to track complaints filed and to recognize if any one officer, or squad, has received multiple complaints. The smaller the department, the easier it is to track founded complaints and /or necessitate such a tracking system. This system may consist of a simple database, chart or hand-written log. It should contain every complaint filed along with the name of the officer or employee being investigated, the date and the offense alleged, and, if possible the disposition of the case and/or corrective action taken.

Annually, or at a time to be defined by the Chief of Police, the log should be examined to detect patterns. If Officer Jones has more than one complaint in a year, then you best meet with that employee and design a plan for corrective action. If no corrective action is necessary, the Chief needs to document the investigation and describe any action taken to prevent future complaints. A great deal of litigation has been written lately regarding officers who have been the subject of multiple complaints, but have not received counseling or been identified in any way. There needs to be written documentation and a real plan for correction for every complaint.

Disposition

All cases need a disposition. What terms you use are up to you. Exonerated makes it clear that the officer did nothing wrong and that the case is cleared. Inconclusive is not always a preferred disposition, but may be an honest conclusion. If you have one person's word against another, with no proof for either side, DO NOT exonerate an officer. This is an example of an inconclusive disposition. If there is proof that the officer was in

the wrong, then he or she must be held accountable to the policy and corrective action must be taken. Failure to do so will jeopardize your job, your officer, and your city.

You must notify the officer and the complainant of the disposition. Even though we sometimes take these things for granted, officers will lose a lot of sleep until the case is closed. These are the hardest decisions we often have to make. Do so with objectivity. The letter to the complainant need not include details of the investigation or even the disposition, unless you feel this is important. It should include a statement thanking the complainant for their input and telling them that the case has come to a conclusion.

Annual Reports

At the end of the year it is a good policy to make public all complaints received for the year. It need not be complex or lengthy. A simple chart excluding names, but including the types of offenses, is appropriate. The public wants to know if there were 152 rudeness complaints or if there was only one. They also want to compare yearly stats. We include ours in the town's annual report. City administrators and citizens will tend to be more supportive of a department that follows such a process and publishes this information in an annual report. These recommendations are intended to provide a smaller police department with policy and procedure for Internal Affairs that enhances department credibility with citizens, reduces liability, and builds trust with employees.

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Institutionalizing Mentoring into Police Departments

A Best Practices Guide

Best Practices Guide



International Association of Chiefs of Police

Services, Support and Technical Assistance for
Smaller Police Departments

Institutionalizing Mentoring Into Police Departments

by Chief Harvey Sprafka & Lt. April H. Kranda, (Ret)

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Best Practices Guide for Institutionalizing Mentoring Into Police Departments

By Chief Harvey Sprafka, Knoxville, Iowa and Lt. April H. Kranda, (Ret), Fairfax County, Virginia

During the summer of 2000, the LACP project, Services, Support and Technical Assistance for Smaller Police Departments, published the first of the Best Practice Series - Recruitment and Retention of Qualified Police Personnel. One of the strategies cited as an excellent means of enhancing law enforcement recruitment and retention efforts was the practice of employee mentoring. At the request of the project advisory group and the many chiefs who have attended our symposia, this document is written to provide chiefs from smaller police departments with a step-by-step method for institutionalizing mentoring within their agency. It is the authors' belief that mentoring is an essential function in development of the next generation of police leaders.

What is Mentoring?

Mentoring is a mutually beneficial relationship in which a knowledgeable and skilled veteran officer (mentor) provides insight, guidance and developmental opportunities to a lesser skilled and experienced colleague (protégé).

Mentoring is not a new concept or practice. History abounds with examples of professional mentoring. **Mentor** was the name of the man charged with providing wisdom, advice and guidance to King Odysseus' son in Homer's, The Odyssey. During the Middle Ages, boys served as apprentices to masters in a craft or trade while gaining skills to eventually qualify as a journeyman, and finally, as a master. During this time, the mentoring relationship ensured the continuity and quality of the craft being handed down to the next generation.

The modern concept of Mentoring, that has recently been used to effectively recruit and retain new employees in business and academic institutions, provides law enforcement with an opportunity to engage and anchor new employees at a time when industry competition for those employees is at an all time high.

Mentoring Relationship Goal

1. Promote professional growth
2. Inspire personal motivation
3. Enhance effectiveness of police service

Mentoring Benefits for Mentors

- Mentors are personally rewarded for spotlighting and developing talent.
- Mentors must be knowledgeable of department policies, procedures and contemporary policing practices.

- Mentors pave the way for others, thereby leaving their legacy in the department.
- Mentors are viewed as valuable in the organization and are respected by colleagues.
- Mentors obtain varying perspectives from their protégés, which generates creativity.
- Mentors “get by giving.”

Frequently, people become mentors because they were previously protégés who experienced the rewards of a mentoring relationship. Others become mentors because they wish a mentor had been available to them during their career. Whatever the reason, mentors derive great satisfaction from seeing a colleague succeed because of their efforts.

Mentoring Benefits for Protégés

- Increases likelihood for success. Mentors help protégés gain competency and avoid failure.
- Assists protégés in setting goals and charting career paths.
- Encourages and provides opportunities for new experiences and professional growth.
- Helps the protégé avoid pitfalls and learn through real-life examples.
- Enhances the protégés’ feeling of worth to the mentor and the organization.
- Encourages self-confidence by cheering protégé achievements.

Many successful people attribute their achievements to a mentoring relationship. Many “repay” their debt to the mentor and the organization by becoming future mentors. When mentoring begins with new employees, it is the first step toward institutionalizing mentoring in the department.

Formal Versus Informal Mentoring

Some police organizations have implemented new-hire mentoring programs as a method of reducing employee turnover. While others have chosen the more frequent method of informal mentoring. Examples of informal mentoring have occurred throughout the history of policing. Typically, a veteran officer encourages friends or acquaintances to apply for positions in their department. As a result, there is a natural tendency for the veteran officer to encourage, support and give information to his or her friend during the hiring and training period. This informal mentoring relationship provides an advantage to the new employee by helping them too feel connected to the new department.

The Benefits of Formal Mentoring

1. Ensures that all employees will received the benefits of a mentoring relationship
2. Promotes Agency loyalty and Inclusiveness
3. Identifies program goals
4. Creates program structure and procedures
5. Defines mentor/protégé roles and responsibilities

The best reason for creating a formal process is that it affords every employee the opportunity and benefit of mentoring and promotes loyalty and inclusiveness within the organization. In addition, a formal mentoring process identifies goals, creates structure and procedures, and defines mentor/protégé roles and responsibilities. Although the program requires time to plan and initiate and requires some oversight, it often

results in enhanced employee self-esteem and a “great place to work” environment. Whether launching a formal mentoring program or creating a mentoring environment in an organization, mentoring can improve and promote any leadership initiative.

Generational Benefits of Mentoring

One of the most beneficial aspects of formal mentoring is how it appeals to police recruits who represent new generational needs and attitudes. In the past 5 years, law enforcement has experienced a reduction in applicant pools and higher employee turnover. In many areas of the country mentoring is having a significant impact on lowering employee turnover by anchoring the employee to the agency and by providing a formal leadership development process. When new employees know they matter to the organization, have an opportunity to contribute to organizational decision-making, and receive frequent, constructive performance feedback; they are more likely to be retained by that organization.

Three generations are currently represented in the workplace – Baby Boomer, Generation X and Generation Y. With the goal of employee recruitment and retention in mind, it is important to understand the most effective way to engage these employees. The characteristics and needs of each generation are manifested by significant historical events and the cultural dynamics occurring during that period. Let’s consider the three generations that are currently in the workplace- Baby Boomers, Generation X and Y.

Significant Historical and Cultural Events

Baby Boomers (1943-1960)

- Kennedy Assassination
- Viet Nam War
- Civil Rights Movement
- Women’s Movement
- Woodstock
- U.S. Moon Landing

Generation X (1960-1980)

- Iran Hostage Crisis
- Downsizing of the 80s
- Both parents working/ Latch key kids
- High divorce rate for parents
- Introduction of computers
- Expanded Media Emphasis

Generation (Y) (1980-2000)

- September 11, 2001
- Terrorism Threat
- Economic Boom
- Technology Boom
- School Shootings
- Strong parental involvement

There are significant differences in the events and experiences encountered by each of the generations. To successfully recruit and retain employees within these generations, it is important to look at the values and behaviors that generally apply to each generation. These generational descriptions are meant to provide some clarity for understanding differences among age groups, not to assign blame or to pigeon-hole employees. Individual exceptions will always occur, but understanding generational differences helps to put behaviors in an understandable context. That is the goal here.

Generational Workplace Values and Behaviors

Baby Boomers

- Driven
- Good team players
- Service oriented
- Need to please
- Overly sensitive to feedback
- Fear of change
- Self-focused
- Manipulative of rules
- Judges others who see things differently

Generation X

- Independent spirit
- Creative; Adaptable
- Likes a challenge
- Multitasking capabilities
- Skeptical
- Impatient – especially with technophobes
- Careful with loyalty & commitment
- Organizational longevity is not a priority

Generation Y

- Optimistic spirit
- Collective action
- Patriotic/heroic character
- Polite and tenacious
- Needs supervision and structure
- Deals well with change
- Collaborators
- Inexperienced in dealing with difficult people

* Zemka, Raines, 2000

Many employees from the baby boomer generation have begun retiring from police service. For many organizations the loss of these officers leaves a vacuum of knowledge and experience that is difficult to replace. However, both Generations X and Y are not only receptive to, but in some cases dependent on mentoring relationships with their senior colleagues. If workplace values and behaviors of Generation X are examined, many individuals appear independent and adaptable, while searching for a sense of belonging provided by a mentoring environment. As youngsters many, many Xers lacked guidance, support and feedback if both parents worked outside the home. As a result, some of those same Xers who are now parents have doted upon their children because they believe that the lack of parental involvement and nurturing of their generation was detrimental. Consequently, mentoring is absolutely essential for Y's because they have become accustomed to being cared for and valued by parents and friends. Mentoring is a highly effective method for engaging and retaining Generations X and Y. Implementing a new employee mentoring process, one that begins long before the agency appointment date, demonstrates organizational value and commitment. In addition, career development mentoring keeps veteran officers engaged and motivated by providing them with career planning and a continuous learning and skill-building atmosphere. As employees representing each generation progresses through their careers, they will model mentoring behaviors to colleagues, reinforcing the institutionalization of mentoring within police organizations.

Law enforcement as an industry has experienced many challenges to recruiting and retention of personnel due in part to national and local economic change, generational differences of recruits, and a transformation of effective recruiting methods influenced by the Internet. For law enforcement agencies interested in improving effective recruitment, retention, and personnel leadership development by initiating a mentoring program, a step-by-step mentoring plan follows.

Institutionalizing Mentoring: A Step-by-Step Plan

1. Teach mentoring skills to all employees (sworn and civilian)
2. Chief must demonstrate and support total agency mentoring
3. Establish formal new hire mentoring process
 - a. Appoint mentor coordinator
 - b. Identify employee workgroup
 - c. Draft mentoring policies and procedures
 - d. Define mentor/protégé roles and responsibilities
 - e. Select and train mentors
 - f. Pair mentors and new hires
 - g. Evaluate and fine tune process
4. Create career development mentoring system
 - a. Identify command coordinator
 - b. Identify supervisory workgroup
 - c. Draft career planning/goal setting policies and procedures
 - d. Define mentor/protégé roles and responsibilities
 - e. Select and train mentors and protégés.
 - f. Pair mentors and protégés
 - g. Evaluate and fine tune process
5. Succession planning
 - a. Chief mentors commanders
 - b. Commanders mentor supervisors
 - c. Supervisors mentor line employees
 - d. Officers/civilian employees mentor colleagues and new hires.
6. Chief grooms and prepares his successor

What Mentors and Protégés Do?

Before defining the roles and responsibilities of the mentor, the goals of the mentoring process should be understood by the mentor and protégé. For example- a new hire mentoring process. Is it your goal to, 1) provide a welcoming atmosphere that will anchor the new employee to the organization, 2) provide a career development mentoring process to help employees identify and map out career targets, 3) begin a mentoring program that ensures the continuity and quality of the next generation of police leaders, or all three? Once mentoring program goals are identified, the roles and responsibilities of the mentor and protégé must be established in order to avoid confusion and potential conflict and to maximize program success.

Mentor Responsibilities

- ◆ Encourage and model value-focused behavior.
- ◆ Share critical knowledge and experience.
- ◆ Listen to personal and professional challenges.
- ◆ Set expectations for success.
- ◆ Offer wise counsel.
- ◆ Help build self-confidence.
- ◆ Offer friendship and encouragement.
- ◆ Provide information and resources.
- ◆ Offer guidance, give feedback and cheer accomplishments.
- ◆ Discuss and facilitate opportunities for new experiences and skill building.
- ◆ Assist in mapping career plan.

The mentoring relationship requires commitment and shared responsibility for the protégé also. The partners should discuss mutual roles and responsibilities at the beginning of the relationship and review them periodically as necessary.

Protégé Responsibilities

- ◆ Clearly define personal employment goals.
- ◆ Take and follow through on directions given.
- ◆ Accept and appreciate mentoring assistance.
- ◆ Listen to what others have to say.
- ◆ Express appreciation.
- ◆ Be assertive – ask good questions.
- ◆ Ask for help when needed.
- ◆ Share credit for a job well done with other team members.
- ◆ Respect the mentor's time and agency responsibilities.

The Chief as Mentor: The Knoxville, Iowa Model

Successful leaders are often successful mentors. In most large agencies, line employees seldom have direct interaction with their chief, but in smaller agencies, employees interact with their chief on a daily basis. As a result, chiefs of smaller agencies can enhance their leadership effectiveness by demonstrating mentoring and by encouraging a total agency mentoring environment. As the lead agency mentor, the chief can model employee value to the agency by supporting employee career planning, by providing opportunities for training, and by encouraging learning and skill building. Chief Harvey Sprafka, who leads an agency of eighteen, sworn officers in Knoxville, Iowa, models the chief as mentor.

A Goal Setting and Career Planning Approach

Goal setting and career planning sessions with the chief in Knoxville Police Department are usually conducted once a year with each sworn and civilian employee. These sessions are intended to promote employee growth and skill development.

The chief has seen reduced employee turnover and increased employee loyalty since instituting this practice. These sessions may occur with greater frequency for some employees when goals are being achieved quickly or with less frequency for employees who have not met short-term objectives. Because employee goals and interest continually evolve, the periodic review and monitoring of the employee's progress is vitally important to maintaining this program.

These goal setting and career development meetings with department employees are flexible in structure because the sessions must be tailored to meet the age, personality, and work/life experiences of each employee. By making the individual sessions informal and relaxed, the process can be an insightful and rewarding experience for the employee and the Chief. ***The skill of Active listening is an essential component of the success of the mentoring process!***

The Knoxville Police Department employee goal setting and career planning process requires two meetings. The first is preparatory. Here the Chief explains this part of the process during which the employee identifies and clarifies his or her current and future career goals. The employee is encouraged to consider the present and future in the short, intermediate, and long-term goals. Their goals must be achievable, but challenging. If the goals are achieved with little effort, they are seldom long lasting or fulfilling.

Next, the employee is asked to conduct a self-assessment in which he or she identifies personal strengths and weaknesses. This assessment provides both the employee and the chief with additional insight into the employee's disposition and temperament. The employee is required to succinctly document their goals on one type-written page.

During this stage, the chief offers to include a spouse or significant other in the goal-setting and personal examination process if the employee would like them included. This is an example of the "family-centered" policy of the Knoxville Police Department.

A week later a second meeting is conducted during which the employee's one page goal statement is reviewed and discussed. After reviewing the goal statement, the chief prepares questions and feedback for clarification then offers his recommendations for achieving the goals. The chief and employee mutually decide upon a timeline for review and accomplishment of the goals.

A copy of the typewritten goals are retained so that it can be referred to when planning and scheduling training opportunities or specialized assignments for the employee. As agency leader, Chief Sprafka believes he is responsible not only to influence and direct, but also to create an environment for positive growth by providing resources, job-related opportunities, and experiences that will improve employee personal and

professional skills. As their mentor, the chief strives to meet employee training and assignment “wants;” however, greater emphasis is placed on meeting individual training and assignment “needs.” The chief and employee determine the training and assignment need based upon the personal assessment completed with the chief, by employee work experience and previous assignment evaluations, and by completed education and employee goal plan.

The chief private provides private sector customer service and communication skill training as ways to augment agency educational opportunities beyond the traditional police training topics. Local banks and other businesses provide contemporary service-based training for the agency sworn and civilian employees. Private sector customer service and communications training provides police employees with the opportunity to interact with citizens and members of the business community. This cross training builds agency and community cooperation and supports broad-based perspectives of work, service, and community – something the chief feels is essential for law enforcement professionals.

The model of employee goal-setting and career planning in Knoxville may not work successfully for everyone. This model requires time and commitment to agency growth and improvement by both chief and employees. The program has worked to the advantage of the Knoxville Police Department and community. The commitment of time and attention to his employees pays off for the chief through successful labor negotiations, sustained employee loyalty, and low turnover rates.

This model is particularly beneficial to recruiting and retaining X and Y employees who are focused on work and family relationships and the development of job skills. Perhaps the smaller agency chief has the advantage of knowing and working closely with employees. It is the author’s hope that elements of this program and the chief/mentor model can be successfully implemented in agencies of any size.

Frequently asked questions:

1. What is the difference between a mentor and an FTO for new employees?

The role of the mentor and FTO are distinct, yet compliment each other. The role of the field training officer is to train and develop effective police officers. As required during field training, the FTO evaluates the recruit’s performance on a daily basis.

The mentor’s role is supportive and relational. Mentoring is *not* performance evaluation. The mentor is responsible for contacting the new employee before the agency appointment date and assisting with an effective transition into the police organization by answering questions and serving as a resource for information. The mentor maintains contact with the recruit during Academy training to provide support, guidance and encouragement. Unlike the FTO, the mentor does not evaluate recruit performance.

2. How do you prevent conflict between the FTO and mentor?

The first step in avoiding conflict between the FTO and mentor is for the chief to demonstrate support of the mentoring process. Second, include some field training officers in the development of the mentor program so that their input is included. The last critical step is to train mentors and field training officers so that they understand the differences in their roles. Periodically review and oversight by a mentor coordinator will help diminish the potential for conflict.

3. Is the mentoring process lengthy and a drain on staffing requirements?

The time devoted to the mentoring relationship is based on the needs of the protégé. For example, a new employee who is an area native will have fewer needs than the employee who is hired from outside the area. More time is needed to transition a new hire into the police department and the community. It is important to be flexible and support the mentor to provide this important assistance to a new employee. The benefits in terms of employee retention, enhanced morale, and department loyalty far outweigh the marginal commitment of staff time. The mentoring function can be accomplished while the mentor is on duty in conjunction with fulfilling primary duties.

4. What resources are available to assist in developing a mentoring process for my agency?

- IACP Training Division offers a class titled, Developing a Mentoring Process. Contact Shirley Mackey at 800-THE-IACP, ext. 221.
- IACP Research Center project, Services, Support and Technical Assistance for Smaller Police Departments, provides grant-funded consultation and training in *Mentoring for Law Enforcement*. This project specializes in providing services for agencies with 1 to 25 officers.
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Acquisition of New Technology

A Best Practices Guide

Best Practices Guide



International Association of Chiefs of Police

Services, Support and Technical Assistance for
Smaller Police Departments

Acquisition of New Technology

*by Cpt. Sharon Stolting, Cpt. Shawn Barrett,
& Chief David Kurz*

This project supported by a grant from:

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Best Practices Guide for Acquisition of New Technology

*By Captain Sharon Stolting, Fairfax County Sheriff's Department;
Captain Shawn M. Barrett, Fairfax County Police Department;
Chief David Kurz, Durham, New Hampshire Police Department*

Introduction

Law enforcement technology is advancing into the 21st Century with the realization that technology alone does not solve problems.

However, as technology links information systems between agencies and communities, it can provide an accurate, speedy information exchange, resulting in increased safety for all citizens.

Today's smaller city police executives need the ability to effectively design and manage evolving technologies. For this reason, the IACP has developed a *Best Practices Guide on Acquisition of New Technology*.

Why invest in new technology?

Smaller police departments are unique entities. They serve diverse communities with unique needs. Local government agencies often dictate the direction a department can take, determining its budget and how it may use its resources. If you, as a chief of police, plan to acquire *new technology* – whether it may be a *desktop or laptop computer, a laser printer, an MDT, new frequency radios, livescan devices, or a digital mugshot system* – you will be asked, “Why?”

You, as the Chief of your department, are the one who must justify:

- ◆ the acquisition of new technology
- ◆ the expense of new technology
- ◆ the usefulness of new technology

What is new technology?

In the context of this article, the term *technology* is used in a very general sense and can include anything from new computers, a management information system (MIS), to sophisticated software for data analysis. The term is used generally because smaller police agencies will have a variety of needs and uses for technology. The focus of this work is to guide the local chief through the planning and acquisition for any new technology.

As a plan develops, it is important to factor in any departmental changes resulting from the implementation of any new technology. For example, as a result of acquiring new technology, a department could experience adjustments to personnel, budget, cooperative agreements, or information sharing.

How to use this guide:

There are three steps to successful acquisition of new technology – an Acquisition Plan, the Acquisition and Delivery of the technology, and Implementation and Training.

The three sections of the guide are designed to be followed sequentially. The local chief may proceed through the steps, or use them as a reference guide, when considering the acquisition of any new technology.

The steps are all essential. However, the information is general enough to apply to the purchase of many types of technology.

Three Steps to Successful Acquisition of New Technology	
Step One:	The Acquisition Plan
Step Two:	Acquisition & Delivery
Step Three:	Implementation & Training

The Acquisition Plan

The goal of the acquisition plan is to help smaller police departments plan and develop their own technology acquisition plans successfully. This guide is intended to help the local chief avoid the pitfalls leading to project failure.

Research Steps:

- Develop a planning committee.
- Review compliance guidelines.
- Develop a project budget.

Action Steps:

- Choose a spokesperson.
- Develop a mission statement.
- Set the project goals and objectives.
- Develop a project timeline with milestones.
- Complete a risk assessment.
- Gain staff consensus.

Acquisition & Delivery:

The goal of acquisition is to purchase the desired technology. Before purchase, the planning committee must determine vendor selection criteria, develop an RFP, select a vendor, and finally purchase the equipment. The next steps are to determine the cost of product installation, upgrades or additions.

Research Steps:

- Determine vendor selection criteria.
- Develop a request for proposals (RFP).
- Select a vendor.

Action Steps:

- Develop a delivery schedule.
- Develop a contract penalty clause.
- Include millennium compliance.
- Negotiate a price for upgrades.
- Consider contract additions.
- Consider equipment substitution costs.
- Ensure accountability.
- Develop a payment schedule.
- Purchase the technology.

Implementation & Training:

The goal of implementation and training is to install and test the technology, then train staff to utilize the technology successfully in their everyday activities. An essential step in this process is to ensure that the agency is protected from any equipment defects.

Research Steps:

- Develop infrastructure support.
- Develop an acceptance test plan (performance check).
- Develop staff training schedule.

Action Steps:

- Write warranty & maintenance agreement.
- Install the equipment (delivery and set up).
- Train staff.

The Acquisition Plan

“No one starts out to make a mistake.”~ *Chief David Kurz, Durham, N.H.*

Facts

- Only 16% of all systems development projects are completed on time and on budget.
- More than 40% of new technology development projects are abandoned before implementation. (The Standish Group, 1999)

Questions the acquisition plan is intended to answer:

- ♦ Why do you want to purchase this technology?
- ♦ What will be purchased?
- ♦ Who will use the technology?
- ♦ Where will it be used?
- ♦ How will it be used?
- ♦ When will it be implemented?

Elements of a Successful Acquisition Plan:

An acquisition plan is a map and project guide. It is also a tool to evaluate project milestones and successes and a concise way to inform others about project goals and objectives. Essential elements are divided into research and action steps.

Research Steps:

Research Step 1: Develop a planning committee.

This group is usually selected by the chief and will assist in the planning, design, sales, and implementation of the plan. Divide the committee into work groups according to individual skill and interest. The committee will produce the bulk of the research and action steps needed to complete the acquisition. Consider these factors as you choose your committee:

- Limit size to 10. Three to five members is an optimal number, depending on agency.
- Include a membership from various backgrounds/fields. A broad perspective is always helpful in achieving overall success.

- Always include the training staff as well as officers who will be using the new technology. This encourages buy-in from staff and provides a valuable perspective on use and training issues.
- Select from technical schools, university professors or graduate students with technology expertise.
- Include community business professionals who may have technology expertise or interest.
- Include a selectman/council member on the committee who can provide political support.
- Choose a spokesperson or project manager who can *best* describe and sell the project. This person – who must be well spoken, determined, credible, enthusiastic, and a consensus-builder – could be a chief, project coordinator, or another individual.

Research Step 2: Review compliance guidelines.

Any new technology acquisition must be checked against national and state guidelines. The National Institute of Standards and Technology (NIST) sets the guidelines. To view those guidelines, check www.nist.gov/public_affairs/welcome.htm. Check what local agencies may have recently purchased. If you are interested in compatibility, make sure all the systems or equipment you purchase is compatible with local, county and state guidelines.

Research Step 3: Develop a project budget.

While each department and municipal budget process is unique, some recommendations apply to all jurisdictions. If you are planning to purchase new equipment or technology, include the following suggestions to your budget or acquisition planning process.

- Plan for the technology upgrade or purchase 1-3 years in advance, if possible.
- Include technology estimates in the budget projections you submit to your municipal governing body each year prior to the purchase. This will alert the governing body to the concept of a large, new purchase on the horizon.
- Research any local or state departments that have purchased the same or similar technology within the past year. Interview planners and users of this technology. Make a site visit if you can. Take members of the Planning Committee with you.
- Research all recent state and federal purchases to see if you can utilize the same contract and same vendor. This will allow you to purchase the same equipment/technology at the state or federal contract price. This will save both time and money.

The Role of a Budget Subcommittee:

If your agency is responsible for budget development, establish a budget subcommittee within the Planning Committee to develop a project budget. Make sure these individuals are familiar with the process of budget development, contracts, and/or procurement. The committee should have legal representation. An attorney with a background in contract law would be helpful.

It is difficult to project a budget for technology or equipment never before purchased. Pay close attention to installation and training costs in the budget (Section Three: Acquisition). Review this entire guide before completing the budget. Research other agencies that have recently purchased similar equipment. Any equipment contract purchased with public dollars is open to public review.

The most reliable way to develop a realistic budget is to research other departments that have recently purchased similar equipment. Complete a site visit and discuss the budget with them. Take a group with you that include members from the budget subcommittee.

Budget Questions to Ask During a Site Visit:

- ◆ How close to actual cost was your projected budget?
- ◆ Are there costs that you forgot to add to the budget?
- ◆ Will you review our budget and give us input?
- ◆ Do you know if this equipment (technology) will undergo changes soon?
- ◆ If you do not have all the funding you need, what can you do incrementally?
- ◆ Did the vendor you used stay within the budget?
- ◆ Would you recommend this vendor?
- ◆ Do you know of any local or state departments intending to purchase this equipment?

Tip: Equipment can be purchased at State or Federal contract prices. Do the research to find if the same or similar equipment has been purchased recently or is scheduled for purchase.

Lease versus Purchase Option:

Technology is changing at such a rapid rate that vendors are producing better and faster products each year. A lease option could save money in the long run if the jurisdiction is able to anticipate rapid product changes by their research steps. Make a point to be aware of new products being developed during the planning and evaluation stages.

Action Steps:**Action Step 1: Choose a spokesperson or project manager.**

This step is essential and pivotal. Each project needs a spokesperson, usually the chief. This person's responsibility is to inform the agency and the community and to sell the project's goals and objectives to community and political leaders. When making a selection, consider the following:

- Include the spokesperson or project manager on the Planning Committee. They need to be involved and informed.
- Select someone who is politically linked but not politically at risk by advocating for the project. Political support is essential to project success.
- Select someone (if not the chief) who is familiar with police activities, philosophy, and needs. Often questions about the project can be strategically linked to previous projects, department successes, and new linkages. This spokesperson must include that information in any attempt to promote a persuasive argument for this project to an audience with little frame of reference.

Action Step 2: Develop a mission statement.

The purpose of this statement is to accomplish the following:

1. Define the project goal.
2. Set the project direction.
3. Define the project purpose.
4. Promote the project plan and structure.

This short, descriptive statement briefly describes the project goal. It is used in media coverage, for public relations and to build staff consensus. It is important that the statement is linked to the values and philosophy of the police department and the citizens it serves.

Public safety, cost-benefit analysis, or public trust are all persuasive issues to include with the following:

- Linking the statement to local police department philosophy, goals, and accomplishments.
- Speaking to future plans only when those plans have been discussed and accepted by the community governing body and can be linked directly to this acquisition. Avoid introducing any new issues not directly connected to this project when writing the mission statement.
- Making the statement short, descriptive and compelling by using action words – produce, provide, develop, ensure, promote.

Action Step 3: Set the project goal and objectives.

The project goal is directly related to the mission statement. Essentially, the goal will be to complete the successful planning and implementation of the new technology you plan to purchase.

Project objectives are the steps that must be taken in order to reach the project goal. Consider the following suggestions: Work across organizational boundaries to promote sharing of data where appropriate. (Many projects are funded because they link to or collaborate with other systems).

- Inform agency personnel and the community of the need for and benefit of an equipment change.
- Improve current work procedures to maximize the use of the new technology.
- Study the current system for strengths and weaknesses. From that study, make defensible recommendations for the new technology requirements.
- Maintain a responsive relationship to those served by the new technology– the local community, neighboring communities.
- Clearly define the technology terms and the police jargon so that the new technology – it’s application to and how it will enhance the current system – is understood.

Action Step 4: Develop a project timeline that includes milestones.

This step enables the chief, project manager, Strategic Planning Committee, and the community to mark the project’s progress and completion of objectives. This is a good way to sustain interest in the project over time.

With each successive achievement will come an opportunity to build support and consensus for the project. Consider the following recommendations:

- Forecast a project timeline and milestones that is flexible and achievable.
- Celebrate each milestone reached. Remember to invite and thank the following:
 - ◆ Planning Committee Members
 - ◆ Key Political People, Especially Allies
 - ◆ Staff Members
 - ◆ The Media
 - ◆ Vendor Representatives
 - ◆ State or Local Criminal Justice Organizations

Action Step 5: Complete a risk assessment.

A thorough assessment will provide you with the information and documentation to move forward on your acquisition. It will advise you as to what you need, can afford, and what you can get approved by the local political review process. This risk assessment includes a state and federal guidelines search, a compatibility study with other local or county departments, and a determination of and recommendation for equipment you need. You’ll want to know what technology is best suited for your agency, what will be compatible with

other regional or state departments, and what you can successfully negotiate through the local political process. First, you must determine what technology is currently in use or planned for use in your county and state. Here are suggested steps to follow:

- Conduct site visits to any local agencies that use the technology you want to purchase.
- Develop a list of questions that will ascertain the types of technology in use, the vendor name and/or contact person.
- Ask that department for an honest assessment of the product and its performance.
- Ask if your group can view the technology in field/actual use.
- Ask about the vendors they *rejected* and why.

Site Visit Questions

- ◆ What type of technology is currently in use?
- ◆ How is the product working? Has it met expectations?
- ◆ What is the name of the vendor used? Name of vendors that were rejected, and why?
- ◆ Who is the contact person for the vendor?
- ◆ Who is the contact person for the police department?
- ◆ Can you arrange for a site visit to see the product application in real situations?
- ◆ Is the product compatible with other technologies (new or old)?
- ◆ Does the product satisfy State Public Safety Department guidelines?
- ◆ Does the department contemplate change of this or other technology? (if so, can you piggyback their project and purchase at State prices?)

- Contact your state public safety department to determine whether or not they are contemplating a technology change in the near future. (If they are you may be able to piggyback on their project at state prices.)
- Contact other information resources outside local and state sources such as **B Internet**. This source may provide a quick method of searching but requires follow-up and meetings with potential vendors. The following are potential sources:

The International Association of Chiefs of Police (IACP) has several websites with information on assistance – www.theiacp.org, www.iacpnet.com, and www.IACPtechnology.org.

The IACP Technology Clearinghouse (www.IACPtechnology.org) provides technical assistance and resources, including program summaries, reference articles, and grant opportunities. Contact either Tom Robey or Matt Snyder at 800-The-IACP.

The IACP Law Enforcement Information Management Section (LEIM) is comprised of over 300 law enforcement technologists from agencies of all sizes. This group produces technology resource materials and conducts an annual law enforcement technology training conference. For information about the next conference, see www.iacptechnology.org.

The IACP Technology Center and Technical Assistance Program makes IACP technology assets and activities available to the law enforcement community. To participate in the various technology committees and sections, or to contact the IACP technical assistance program, e-mail Matt Snyder at Snyderm@theiacp.org.

The National Law Enforcement Corrections Technology Center's *Law enforcement & Corrections Technology News Summary* is a comprehensive and free list service published weekly and sent electronically to the subscriber via e-mail. NLECTC summarizes technology news articles from many different sources and provides a synopsis for the reader. To subscribe, send the command "subscribe JUSTNETNews first name last name" to the address, listproc@nlectc.org. For assistance, contact dengler@nlectc.org or call NLECTC at 1-800-248-2742.

Action Step 6: Gain staff consensus.

Staff at all levels will need to support the plan and be able to implement the new acquisition successfully and on time.

One way to ensure cooperation is to include staff representatives on either your Acquisition Planning Committee or as a separate ad hoc advisory group.

An effective training schedule is essential if staff are to be trained and informed. Consider these recommendations:

- Include staff on committees that represent administrative, line, and support positions. You will need each group to successfully implement the technology. The sooner you engage staff support, the easier it will be to incorporate the new technology into standard business process.
- Gain staff input while the product (technology) is being developed or researched. Many projects have failed to introduce staff to the new project until it was delivered only to find the implementation process seriously undermined.

Acquisition & Delivery

The goal of acquisition and delivery is to purchase and receive the desired technology. Before purchase, the project team must determine vendor selection criteria, develop an RFP, select a vendor, and finally purchase the equipment. The next steps are to determine the cost of product installation, upgrades, or additions after the purchase. Research steps are important to the RFP guidelines for product and vendor selection.

Tip: Vendor contracts are legally binding documents created at the local, state, federal or tribal level. The helpful tips presented in this newsletter are not intended as final contract language since they may or may not be applicable in your particular jurisdiction. Consult your legal counsel before entering into any vendor agreement.

Research Steps:

Research Step 1: Determine a vendor selection criteria

Vendor selection criteria are vital to the project acquisition plan. The goal of this step is to be able to clearly and fairly evaluate all vendors responding to the RFP.

An effective way to develop vendor selection criteria is to contact other police departments or other agencies that have recently bought any technology. You can get some valuable suggestions from agencies that have successfully or unsuccessfully dealt with vendors, even if the purchase was not new technology. Learning what not to do is often as valuable as learning what strategies are effective.

These are some important suggestions for deciding vendor selection:

- Include specific equipment specifications in the RFP that will weed out any vendor not able to deliver.
- Once a number of vendors have applied, research any referrals they include in their organizational descriptions. Call any companies that have done business with them and ask the following:
 - ◆ Were you satisfied with the product and service of this vendor?
 - ◆ Would you use them again if you could? If not, why not?
 - ◆ Did the vendor adhere to the budget? If not, why?
 - ◆ Was the installation process on schedule?
 - ◆ Did the product work according to expectations?
 - ◆ Was there appropriate technical support for operation and training?

Ask to see the contract. Check for essential items such as warranty, delivery schedule, payment schedule, and penalty clause. (These issues are discussed later in this section.)

- Visit any site the vendor has referred you to. See if the equipment actually works. Ask some hard questions about the reliability, service, and support functions of the company.
- Do a financial review of all companies responding to the RFP. Don't take anyone's word on how financially sound the companies are. Judge them all equally.
- Once the selection criteria are determined, develop forms that document scoring. You may need proof to evaluation if a company appeals the award.
- Include an interview with each company that requires referrals of agencies the company has recently worked with.
- Make the award based on total score, not just dollar bid alone. The lowest bid may not be the best bid. Specify award criteria in the RFP. Vendors unable to deliver will often not apply.

The essential point is to do as much research as possible prior to selection.

Research Step 2: Develop a request for proposals (RFP).

An RFP is written after the acquisition plan is complete and after the research has provided you with several possible vendors for the new technology you have chosen to purchase.

Check the financial background of each vendor. *Caution:* Do not use the words “the same as” when describing the equipment in the RFP. You may be forced to accept equipment that a vendor claims is the same, even if it is clearly not the same. RFP language must be direct and specific. Include the following:

- Your department's requirements of the product;
- Exact product specifications or expectations (not “or the same as”);
- A standard for assessing bids from vendors (vendor selection criteria); and

- Contract guidelines and expectations regarding delivery, warranty, penalty clause, millennium compliance, installation guidelines, test plan, project expectations.

The local purchasing department of your municipality, a local attorney, or a sample RFP from a neighboring department may provide you with the needed legal language to include in the contract. The local library often carries the National Register, which is a government publication of RFP's and will have good examples.

Prior to publication, make sure to get several RFP reviewers who can give you honest input on content and form. This step is essential. Include several Planning Committee members on the committee to write and review the RFP.

Research Step 3: Select a vendor.

This step requires research much like what was suggested in Research Step One. Make sure you have the selection subcommittee present their vendor evaluations and recommendations to the Planning Committee. Ask probing, specific questions about the product, services, and/or scoring of these choices. Be prepared to reopen the bidding process if the subcommittee is unsure about which vendor to select. A choice should be based upon total score. The winning vendor should not be selected upon the dollar bid alone; make certain that the RFP states this.

Selection of a vendor is a pivotal step in the acquisition of new technology. It is not uncommon for law enforcement executives to be intimidated by the terminology or the selection process. In an effort to simplify this process, consider it not unlike buying an automobile. There are similar steps to take in each decision.

There will be multiple manufacturers who will all be vying for your dollar and trying to sell you on their models. Consider these checkpoints:

- ◆ **Performance.** Vendors often say their product performs the same when, in fact, it performs only similarly. One product may vary considerably from others.
- ◆ **Extras.** Determine what is considered standard features of the new technology and what is considered extras. If the extras are costly and your department requires those features, the cost will be significantly higher.
- ◆ **Resale Value.** Vendor companies have a past and a future in much the same way Ford and Chevrolet do. Many people have favorites based upon familiarity and name recognition. Do a background check on the reliability of the company with regard to parts, service, reputation, and follow-through.
- ◆ **Test Drive.** Find out how the product operates in the real world by viewing the product in operation. Interview the purchaser, the operator, and the chief of the department that utilizes the equipment you are considering.
- ◆ **Location.** Is there a vendor located near you in the event you require repairs to the new equipment? If the vendor is not located near you, determine what the repair cost will be and if your department may be charged for their travel expenses or for postage if shipping is required.
- ◆ **Parts and Service.** Each vendor will have a customer service reputation. When you interview departments or companies that have purchased this equipment before you, ask them specifically about the reliability of the vendor's parts and service contract. Did they perform as contracted, or not? When repairs were needed did the vendor provide replacement items or "loaners" in place of the equipment you purchased that is now in "the shop?" Were repairs completed in a timely fashion and was the charge the same as the estimate?

Planning and research provided by the Acquisition Plan provides the basis for developing a vendor contract that will enable accurate and timely acquisition and delivery of the purchase.

Action Steps:

Action Step 1: Develop a delivery schedule.

The delivery schedule is developed between you, the planning committee and the vendor. It should include the following:

- ◆ A delivery start date with specifications for the type of delivery (FOB destination and location of the delivery).
- ◆ Implementation milestones (accomplishments throughout the contract)
- ◆ An end date for product delivery
- ◆ Quality assurance testing by the vendor prior to shipment
- ◆ Installation procedure and dates
- ◆ Product field testing and final acceptance procedures

Action Step 2: Develop a contract penalty clause.

Financial penalties may be included in the contract for late delivery of the product, for damaged goods, or for services not received.

Tip: It is wise to include a sum to be assessed per day for late delivery of the product.

Usually this sum is developed using a percentage of the contract total spread over a specific amount of time. Use figures comparable to other local contract fees.

This strategy holds vendors accountable to the contract timeline. It is common to have vendors run concurrent projects. So avoid costly delays by using the penalty clause to your advantage.

Action Step 3: Include millennium compliance.

Mandate the vendor be compliant with millennium date structures, i.e., 2/29/2000. Hold the vendor accountable for any damages incurred as a result of non-compliance.

“Century compliance” means (1) the product can recognize the same and different centuries when using those dates to compile and process formulas; (2) the product will *not* terminate its functionality with calendar year changes.

Action Step 4: Negotiate a price for technology upgrades.

Product upgrades, due to obsolescence, are usually not included in a contract price because they have not yet been developed. Plan on upgrades if you plan to use the same vendor.

Vendor competition has created an arena for new products. Ensure that hardware and software are compatible, particularly if using multiple vendors. Add this as a contract clause. Police departments can benefit from this competition if a *replacement price* is negotiated in the product contract.

Tip: When negotiating upgrades for possible obsolescence, require additional funding to be paid to the vendor over several years. Plan ahead for this eventuality by negotiating a replacement price if possible. (It is a risk to the purchaser that is based upon the vendor’s financial future and growth).

Action Step 5: Consider contract additions due to increased/decreased product function.

It is normal to have additions to contracts after final acceptance. As the user gains a better understanding of the product capabilities, enhancements may become evident.

Enhancements may include faster response time, speed of information retrieval, or linkage to nearby area systems. Product functioning may be enhanced or reduced by changes in the law or community initiatives. Additions to the contract occur when equipment functions increase or decrease unexpectedly.

Action Step 6: Reserve the right to accept or reject all substitution of equipment without additional cost to the vendor.

It is commonplace to have substitution of equipment occur between the signing of a contract and the delivery of the product. Technology changes so quickly that components may become obsolete between the time a contract is signed and a product is delivered.

Tip: Include a title clause to guarantee that the title of the product passes to the police department or local governing body when the vendor receives payment in full.

Contract clauses may protect your acquisition, but pitfalls may befall you throughout the project.

Be wary of salespeople who promise that their product can meet or exceed your expectations/needs. The promise from the salesperson may be more influenced by a product commission than by actual fact.

Once a sale is made, a salesperson may be replaced by a project manager and is never seen again. Ask the vendor if you will receive a project manager after the sale. If so, insist that this individual is included in all project negotiation.

A project manager does the following:

- Monitors the contract and deliverables to ensure the product arrives on time to the satisfaction of the purchaser.
- Notifies the purchaser of any product delays.

Tip: Use the penalty clause to your advantage if the project manager attempts to get you to waive the penalty charge when a delay occurs. Legally acceptable project delays include:

- An Act of War (including civil war or civil unrest)
- An Act of God (including fire, flood, explosion, earthquake, epidemics or quarantine restrictions)
- An Act of Government (strikes, lockouts, plant shut-downs, material shortages, transportation delays)

Action Step 7: Ensure accountability.

Include a statement that will ensure the vendor complies with city, county, state, and federal mandates. They must be electronically acceptable according to state standards.

Action Step 8: Develop a payment schedule.

Payment schedules are developed relative to an agreed delivery schedule and accomplished milestones. Most vendors will request a large portion of the product's negotiated price before actual product delivery.

This schedule should be negotiated based on local financial procedures. It is wise to negotiate payment based on product delivery date, not contract signing date. Vendors often ask for as much as 40 percent of your funding upon contract signing.

- Negotiate a manageable payment schedule for your department.
Example: 25 percent upon delivery, 50 percent within 45-60 days after delivery based on success of delivery, setup, installation, training and initial performance. May be extended due to poor performance. 25 percent within 6 months after delivery to ensure a formal review and acceptance of the system for compliance with mandates, proper data conversion is completed, interfaces are working and the system is reliable.
- A *performance bond* can be written into the contract to further protect your agency's investment, or in the absence of any payment schedule. Compel the vendor to obtain a performance bond payable to the buyer, i.e., your police department, for the total dollar amount of your contract. If another vendor buys out the project's identified vendor, insist upon and add into the contract that your agency wants the *same product and service, or better*.

Tip: Be aware that there is no such thing as a turnkey system. Each agency is unique with local requirements.

Action Step 9: Purchase the technology.

A vendor will be selected on the basis of the quality of the product, the price of the product, service and delivery schedule, maintenance and training, financial background, client references, and any other criteria your planning committee determines is important. The following are important to include in the vendor selection criteria or the contract discussions once a selection and purchase has been made.

Tip: An additional contract, or an addendum to the original contract, may be needed if product liability law changes or product enhancement/reduction of functionality occurs. Include funds in the budget for unforeseen product changes. (Look in other contracts for an amount).

Implementation & Training

The goal of implementation and training is to install and test the technology, then prepare and train staff to successfully utilize the technology in their everyday business practice. An essential step in this process is to ensure that the agency is protected from any equipment defects.

Research Steps:

Research Step 1: Develop infrastructure support.

Infrastructure consists of any element required to successfully complete the new product installation and/or operation. For example:

- Personal computers require electrical power, surge protectors, or a battery unit. They may be connected to a network or management information system (MIS). Any network or MIS requires wiring, cables, a back-up unit, and network administrator. (Networks are expensive to maintain).
- MDT's, or MDC's, and radios require a communications infrastructure capable of transmitting signals throughout a jurisdiction or region.
- Livescan devices and mug shot systems require high-speed telephone lines for speedy transmission of data or images.

Tip: Coordinate infrastructure requirements with your jurisdiction and the vendor in advance of contract signing. Determine who will maintain the infrastructure, network, or equipment.

Research Step 2: Develop an acceptance test plan, warranty and maintenance agreement within the installation guidelines.

The acceptance test plan determines the functionality of your acquisition and ensures the product performs as expected. The plan can be negotiated with a vendor and included in the contract.

Tip: Negotiate an acceptance plan that extends for a 30-day acceptance period. This is sufficient time for defective or failed equipment or parts to materialize and be repaired or replaced.

Research Step 3: Develop a staff training schedule.

Training is considered one of the key components of product implementation. Levels of training, its duration and content, and who will provide the training can, and should, be included in the contract.

Types of Training:

1. Vendor Training: The vendor agrees to train the entire staff at a cost negotiated within the contract.
2. Train-the-Trainers: The vendor trains a selected group of key staff who then train all other staff within their divisions. These individuals can be officers, staff, or citizens.
3. Shared Training: A jurisdiction near you may have the same or similar equipment and could provide product training at a significantly lower cost.

Tip: Have the vendor provide course materials and a training schedule (more intensive during product implementation) to be included in the contract if the vendor training option is chosen.

If a train-the-trainer option is chosen, provide staff with a helpful tool: “The Accidental Trainer” by Elaine Weiss. This book is easy to read, informative and often humorous.

Networking between police departments is often the least expensive and most productive means of technical assistance and/or training resource development.

A few telephone calls to regional departments can achieve results. It proves again that many smaller departments face the same challenges as do larger departments when dealing with technology acquisition and vendors.

Networking can also be effective between police departments and local civic organizations and/or technology companies. Networking can reveal unknown resources that may produce improved relationships between smaller departments and the constituents they serve.

More information on actual training is found in the next section in Action Step 3.

Action Steps:

Action Step 1: Write warrantee and maintenance agreement.

The *warranty period* begins once the acceptance test plan has been completed. Although the warranty exists, it may not include all the additional services required to maintain the product.

Tip: Include a period of time for the product warranty. A suggested time is one year from the date of final acceptance. It is suggested to negotiate this warranty and include it in the contract.

Under a separate *maintenance agreement*, additional services such as parts replacement, preventative maintenance, emergency repairs, a method for fixing “bugs” in the system, and after-hours technical assistance are most often charged to the police department.

The following are types of maintenance agreements:

- Annual agreement: Covers service and repair during the regular work week, Monday-Friday, 9 a.m. – 5 p.m.
- Cost of the annual maintenance agreement is based on a fixed percentage of the actual, total contract.
- *After-hours* repairs are charged at an hourly rate (usually a higher percentage).
- Lease agreement: Some maintenance agreements are made in the form of a lease between the police department and a financial institution. The lender pays the vendor and the department makes payments to the lender, much like a mortgage.

These payments can be amortized annually over several years, lessening the financial impact to the local department or jurisdiction.

The advantage of the lease agreement: Technology is changing at such a rapid rate that vendors are producing better and faster products each year. This option could save money in the long run if the jurisdiction is able to anticipate rapid product changes.

Tip: To determine the type of maintenance agreement, ask how mission critical is the operation of this technology to the department. Negotiation of long-term, low-rate maintenance agreements during the contract signing is advantageous because this agreement has the potential to save the department thousands of dollars over the life expectancy of the equipment.

Action Step 2: Install the equipment/technology.

Installation means delivery and set-up of all product components.

- Hold vendor accountable for proper delivery and setup according to terms negotiated in your contract.
- Decide who will install the equipment and then include that responsibility in the contract.
- The department will be required to provide space for product installation and setup.

Tip: Consider power distribution, cabling, air conditioning, and other environmental conditions in the installation cost and timeframe. Factor in these additional costs. Facilities management personnel must be included at this stage.

Action Step 3: Train Staff.

The process of training is crucial to successful procurement or implementation of new equipment or technology. Too frequently, administrators overlook or diminish the important role of training in the acquisition plan. It is possible, depending upon the impact of any new equipment/technology, for a small number of persons to either undermine the product implementation because of dissatisfaction, or to disrupt department functions if the training phase is not planned or supervised appropriately.

Implementing the purchase will succeed with greater certainty if the planning process includes the following points:

- Delegate a training supervisor or someone who can oversee the training process and monitor its progress. If it is necessary to implement and train in stages, make sure that the schedule is understood and that allowance is made for any disruption of services because of training. If you have to assign staff to train on the new equipment/technology, or if support staff is training during core working hours, they will be missed and service may be disrupted.
- Determine if training will be on or offsite.
- It is preferable to train staff in stages prior to the actual implementation of the purchase. Staff training may be done all at once or in stages, but is generally more efficiently carried out in stages. Staff involvement in the project through representation on subcommittees or during the planning stage will avoid implementation and/or training difficulties caused by disgruntled or resentful staff. The important step of including users of the purchase in the project planning and implementation stages will provide good will between this group and administration. Positive suggestions for successful training procedures can be obtained during a site visit prior to purchase.
- Include funds for travel/training if not already included in contract.

Training Tips

- Notify all staff of the training schedule. This step provides credibility and support to the trainers and justifies any staff reassignment.
- Budget for any reassignment or overtime that may be needed while staff train on the new equipment.
- Budget and account for any delays in department response, services, or reports that may be caused by staff training or reassignment.

IACP Sections/Committees:

- Chief Craig Steckler, IACP Vice President at Large, oversight of the Communication and Technology Committee; Fremont Police Department, Fremont, California
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For More Information:

The following are IACP contacts that can assist you with technology questions:

Albert Arena, project manager, Cutting Edge of Technology (arena@theiacp.org).

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Recruitment & Retention of Qualified Police Personnel

A Best Practices Guide

Best Practices Guide



International Association of Chiefs of Police

Services, Support and Technical Assistance for
Smaller Police Departments

Recruitment and Retention of Qualified Police Personnel

by Chief Jack McKeever & Lt. April Kranda (Ret.)

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Best Practices Guide for Recruitment and Retention of Qualified Police Personnel

*By Chief Jack McKeever, Lindenhurst, Illinois Police Department and
Lt. April Kranda (Ret.) Fairfax County Police Department*

The IACP is working with the Department of Justice, Bureau of Justice Assistance, to provide *Services, Support and Technical Assistance to Smaller Police Departments*. The project Advisory Group, comprised of chiefs from smaller police departments around the country, identified *Recruitment and Retention of Qualified Police Personnel* as one of the most challenging issues facing smaller police departments. This document contains suggested best practices provided by our authors and by the many chiefs from smaller departments who have attended our symposiums.

Introduction

One of the greatest challenges facing law enforcement organizations today is the successful recruitment and retention of highly qualified employees. Community safety can be compromised when substantial experience and training is lost through staff turnover and vacancy. It is imperative then, to recruit, select and retain the kind of personnel who will bring to the department and to the community a strong commitment to and talent for the job. Over 12,000 of the 17,173 IACP members represent communities of less than 25,000 which are served by less than 25 sworn police officers.

Smaller police departments require innovative strategies to distinguish themselves from larger departments that may seek qualified individuals from the same applicant pool. Smaller police departments have unique and valuable characteristics and they are often excellent models of community policing. Quality police work is more clearly defined by the quality of public safety and the satisfaction of the community, not by the size of the police force. For this reason, the IACP has developed a *Best Practices Guide on Recruitment and Retention of Police Personnel* specifically for smaller police departments – those serving less than 25,000 or fewer residents by 25 or fewer sworn officers.

Beyond the realities of resources, location and political agendas, how can you determine if your department provides a healthy work environment to attract and retain skilled and eager employees?

As these personnel issues are explored, the writers are asking readers to “think outside the box.”

Recruitment

The Recruitment Section includes the following:

- An Agency Self-Assessment: To determine agency recruitment and retention goals
- A Community Assessment: To determine community support for those goals
- Community Partnerships: Describes how hiring goals can be enhanced through community partnerships

The work environment within an agency can also have a dramatic effect upon the successful recruitment and retention of qualified police personnel. This section includes recommendations for building work environments that provide employee growth and satisfaction. When implemented, these recommendations can give smaller departments a distinct advantage over larger departments in the hiring and retaining of qualified police personnel. Examples of assessments are found at the end of the section.

I. Agency Assessment

GOAL: Determine the Department's Hiring Strengths and Weaknesses

The first essential step in designing an effective recruitment and selection process is an honest self-appraisal that determines whether your department provides a healthy working environment for employees and whether incentives to join your department exist. The result of this assessment is information from which a strategy can be developed that incorporates short-and long-term department hiring goals and which clarifies department values. You will see how recruitment and retention are interdependent as new hiring strategies are linked to retention strategies. As you succeed in developing recruitment strategies, they will link directly to successful retention strategies. Recruitment strategies incorporate the values and goals of the department and the community. Once you determine the department's values and goals, you can develop effective recruitment and retention strategies that support those goals.

Step One: Explore What You Think are the Advantages of Working in Your Department

Explore Advantages of Smaller Department Policing

1. Why would I want to work for this department?
2. What does my department have to offer?
3. How do I seek the most qualified individuals?
4. What can I do to keep quality employees?

Make a list of the things that come to mind. Compare them to the answers we have received from smaller department chiefs who attended our nation-wide symposiums.

Smaller Department Chief Responses

- ◆ Skilled employees are valued as the department's most important asset.
- ◆ Career opportunities for personal growth include specialized duties and promotions.
- ◆ It is important to promote a family atmosphere in the department and the community.
- ◆ Employees are encouraged to provide input on department policies such as shift configurations, uniform design, and community policing strategies.
- ◆ There is a spirit of organizational teamwork between the chief and the department that encourages employee opinions and input at staff meetings.
- ◆ All employees, both sworn and civilian, are treated with dignity and respect.
- ◆ The chief knows everyone by name and supports all employees to reach their personal and professional goals.
- ◆ All employees have access to the chief.

Step Two: Explore Staff Responses to the Value of Working in the Department

Having looked at your perceptions of the hiring strengths of your agency, poll your staff and see if there is agreement. Even disagreement will be informative. Use the previous four Exploratory Questions listed above. Once the answers to the four questions have been answered by the chief and the staff, hold a focus group meeting with employee representation, civilian and sworn, to discuss the findings and to set new hiring goals based on those results.

Step Three: Hold a Focus Group With Staff to Develop Your Department's Hiring Priorities

Develop Department Hiring Priorities with Staff

1. How can we sell the department to qualified applicants?
2. What are the unique qualities of the department and community that will appeal to potential applicants?
3. What are the qualities we want to see in applicants?
4. Does the department reflect the diversity in the community?
5. Is the department prepared to successfully integrate women and other minorities into the force?
6. How can I make my department a place that appeals to new applicants and retains experienced officers?

Summary: Review of feedback from the questionnaire and focus group should provide some clear ideas about prioritizing and targeting hiring goals. In order to be competitive with the general workforce and other police agencies, successful smaller departments must place significant emphasis on creating a work environment that stresses employee value and provides prospective applicants with a clear understanding of the benefits of employment with the department.

II. Community Assessment

GOAL: To Determine How the Community Views the Department

“An accurate assessment of a police department includes community input.
Ask yourself, ‘What are they saying about me at the barber shop?’”

~ Chief Jack McKeever, Lindenhurst, Illinois

We call community assessment a “community mirror aspect” of the overall department’s assessment. This mirror provides the department with information about the values, needs, and desires of the community. Smaller departments can benefit by making sure police and community values are consistently articulated to new employees. The community is an important selling point to new employees and their families. Knowing that the police department is appreciated and supported by the community is a positive factor in recruiting and retention of police staff. Police programs and services like Police Activity Leagues or Community Watch Programs are enhanced when supported by community partnerships. Such partnerships with community-based organizations or the faith community have developed successful volunteer and other community programs for police departments. (See Trends News From the Field Section for a review of Lexington, Massachusetts PD’s community-supported programs.)

III. Community Partnerships

Community Partnerships Can Include Any of the Following Examples:

- Form a community partnership group. Include youth, minority group representatives, civic and/or church representatives as well as political allies to work on a civic concern together. (Choose one with a high probability of success and document your group's recommendations).
- Tell your story. Have a reporter go on a ride-along with a police veteran. Provide community groups of all kinds with information concerning department outreach and service programs.
- Establish an "Officer of the Year" program. Have the winner speak to community service organizations and schools, get a newspaper article published about their community service.
- Begin a Police Activity League (PAL): Youth after school education and sports programs.
- Encourage development and provide training for neighborhood watch programs.
- Encourage police officers to teach at local community colleges.

The Value of Community Partnerships to Recruiting and Retention

Community partnerships are opportunities for police to listen to public concerns, to work together with community groups to solve those concerns and to develop meaningful ways to exchange information with community-based organizations so that the public sees how integral police are to the health of community life.

There are several methods for determining the community perception of your department that are inexpensive and informative. Consider the following examples:

- **Informal Survey:** Design a survey that asks important questions and solicits community suggestions for departmental improvement. See if the newspaper will print it or copy the survey and circulate it through community groups and churches. Perhaps a police survey booth in front of the local grocery store might get responses. See back page for suggested survey design from Lexington, Massachusetts Police Department.
- **Opinion Poll:** Call a random sample of people and ask them their opinion of the department. The number called will depend on the size of the community and the number of staff available to you. Ask 3-5 direct questions that offer a range of responses. Use a scale of 1-5 that will give a spectrum of choices. Example: 1. Is doing a fine job, 2. Is doing an adequate job, 3. Needs improvement, 4. Is doing a poor job, 5. Don't know. *Note: Survey or opinion poll results showing community support for police can be an effective recruitment statement. Example: 75% say the department is doing a good job.*
- **Grants:** Investigate the availability of Foundation or other grant funding for police initiatives, community partnership programs, equipment or technology acquisition. Money may be available from a variety of sources for community policing initiatives, which include community partnership programs, or technology information sharing between law enforcement agencies. (TPO Grants provide technology grants; Foundation grants are listed at the Library in the Federal Register.) A Resource Librarian will help you locate law enforcement grants.

Tip: Even if only one suggestion from the community is implemented, the department can benefit from being seen as a department that cares and responds to its citizens.

Summary: Be prepared to respond to and/or publish survey results (include the positive and negative responses) and then suggest ways the department will respond to those needs and suggestions. There are many creative ways that police and their communities can and do work together. The important point is that you, as a law enforcement executive, know successful ways to partner with your community. Departments that enjoy community support often have greater success recruiting because new police officers see this community as a positive place to live and work. Families are drawn to where officers and their families are appreciated as valuable members of the community.

Inexpensive Strategies For Effective Recruitment

The Challenge of Recruiting

As technology advances and the value of problem-solving or community-oriented policing increases, the demand for specialized police services also increases. Qualified applicants must be educated, effective communicators who understand the value of linkage to government and community resources. Recruitment of qualified, diverse applicants who can meet the standards of modern policing is a significant challenge. In order to meet this challenge, smaller departments must enhance or revise their recruiting and selection strategies. The task of recruiting should be identified as one of the most critical functions within the organization.

How Smaller Departments Can Get an Edge in Recruiting

1. Appoint a Recruiter

- The recruiter can be a pivotal position in the department. A recruiter represents the department in the community and to prospective applicants. A successful recruiter is a highly talented and motivated person with a passionate conviction that police work, especially in this department, is the best job in the world.
- Due to limited resources, many smaller agencies do not have the luxury of appointing a full-time recruiter. Still, the effectiveness of this individual, even on a part-time basis, can have striking results when the right person has this job. Consider the use of auxiliary officers or volunteer personnel to supplement recruiting function at no cost.

How to Choose a Recruiter

1. Look in your department for officers who are mission-driven, possess strong communication skills and demonstrate an ability to sell the department.
 2. Look for a non-judgmental person who is free from bias. (Recruiters who are unsuccessful in recruiting qualified women and minority applicants may be hampered by personal bias). If the department values diversity, select someone who enthusiastically shares that value.
 3. Assign a high status to this position. By spotlighting the recruiting function as prestigious, officers will feel honored to serve in this position and will strive to bring the best-qualified applicants into the department.
 4. A two-year tour of duty is recommended for this position because the challenges of this position are considerable. However, this arbitrary timeframe may vary given individual differences and job demands.
 5. Performance measures should be based on the number of qualified applicants recruited, not on the number of applicants eliminated. Help the recruiter succeed.
- Recruiters should be held to a high performance standard that emphasizes the ability to identify qualified and diverse applicants and to bring them into the selection process.
 - Any effective recruitment strategy will include ways to optimize the skills and talents of current personnel. All employees should be considered recruiters on the lookout for talented individuals for their department.
 - The recruiter's most effective tool is personal relationship. Smaller departments can successfully differentiate themselves from larger departments by focusing on people, not objects or equipment. Stress the benefits of your department and community by emphasizing camaraderie within the department and cohesion of the community.

2. Launch Auxiliary Officer, Cadet and/or Explorer Programs

Because this is a resource-intensive strategy, especially for the super small department, we recommend you develop this regionally, or at least with one or two other near-by departments. These programs not only provide additional resources to the department for police services and community outreach, but they also provide an additional pool of potential applicants. These programs promote good will and give citizens an opportunity to invest in their community through public service. Programs like these allow the community to meet its police officers. No one can sell the department as effectively as incumbent officers. Consider asking new officers why/how they chose the department.

3. Poll Your Staff for Strategies

Focus groups or brief employee surveys can be informative. You may be surprised by new recruitment ideas that are generated. Input from new hires can provide valuable insight into ways to streamline the hiring process. Focus group process and a sample survey are included in the appendix section.

4. Add Employee Incentives for Successful Recruitment

Incentives such as monetary bonuses, leave time, recruitment recognition awards (uniform pins), or additional training opportunities can motivate current staff to prioritize recruitment.

5. Form Citizen Police Academies

This is also a resource-intensive strategy for the super small agency, so partner with other agencies when possible. Regional academies can share resources among several departments. Citizen police academies have proven highly beneficial in creating public awareness and appreciation for police work. These academies vary in structure and content and can be formal or informal depending upon the community. They can be developed by several smaller agencies and serve a region as well as an individual community. Academy graduates often become community advocates for police and can serve a valuable role in any recruiting effort.

6. Hold Career Fairs

This is a resource-intensive strategy. Partner with other public services like Fire, Public Health, Sheriff, or others. The career fair is a way to introduce police work to schools, businesses and the community. Typically, this opportunity to advertise police work is extremely effective in educating the public and potential applicants. As you plan, consider teaming up with local businesses or community organizations for additional visibility and shared costs.

7. Develop a Connection to Local Colleges and Universities

Campus recruiting efforts are an excellent adjunct to the occasional career fair. Formal liaisons can be built with campus career counselors, educators and internship coordinators. Graduate students are excellent resources for additional support for department research, surveys and grant writing. Officers can co-facilitate classroom studies in criminal justice. (An officer in uniform can be an effective advertisement.)

8. Community Speaking Engagements

Chiefs can build community awareness and support for recruiting by speaking at community groups, schools, churches and service organizations. These organizations can be excellent resources for demonstrating the department's service commitment to the community and can be an effective avenue for reaching minority groups in the community.

9. Develop Military Linkages

Some innovative departments have linked with military recruiters to learn successful marketing and recruiting techniques. Military recruiters receive extensive training, some of which is applicable to police work and can be a source of information for agency recruiters.

10. Develop a Media Partnership

Print and broadcast media can be a strong ally to the police department. Media representatives are usually interested in developing a relationship with the local department because they need police information. The media savvy chief knows that a strong alliance with media is needed to provide accurate reporting about police work. An effective media strategy is to take a proactive stance by providing positive, inspirational features about the department, its officers and programs. Cooperation with the media is a two-way street and must be cultivated with attention toward development of personal relationships based on trust and honesty. A cooperative media is a tremendous asset to any department and can also be an asset to recruitment. Sell the benefits of your department through the media.

11. Use the Internet

Some small departments have been able to compete in the technology arena by developing partnerships with businesses that share their computer technology and provide web sites for small departments. The University of Arkansas' Center For Rural Law Enforcement offers free Internet access for qualifying departments. Contact Harold Stuart at (501) 570-8000.

12. Participate in an Open House

Many communities have festivals or holidays when town businesses have an open house. During these festivals and holidays provide facility tours and educate citizens about policing as an exciting career.

13. Build Recruiting Skills

The IACP offers a class called, "Building Skills for Effective Recruiting". Take advantage of this and similar law enforcement-focused recruiting classes available to you. These skills must be built and sustained by continued education and collaboration with other chiefs.

Retention

After addressing recruitment challenges, employee retention can be a major problem as well for smaller departments. Some smaller departments cannot offer the high salaries that larger municipalities do, but they have an edge in several key areas of staff retention. The table below outlines keys to staff retention and outlines what smaller departments have to offer. With a little imagination and innovation, the smaller department can actually have an edge over larger departments.

Keys to Staff Retention

Key To Retention	Description	Smaller Departments Offer
Quality Relationships	Performance is enhanced by positive coworker relationships.	Direct access to the chief; chief is aware of individual work performance and personal concerns of staff.
Meaning & Purpose	Workers are happier and healthier when they derive purpose and satisfaction from their work.	Police are often recognized and valued in smaller communities where people know each other, work together, and live close by.
Recognition	Workers place higher priority on recognition and appreciation than salary in most surveys.	The smaller city chief has a unique opportunity to know his/her staff well and provide the kind of recognition needed to promote loyalty and retention of staff.
Promotion & Personal Growth	Officers need to be challenged and given opportunities for promotion and personal growth	Smaller departments offer innovative career-pathing by creating specialized positions such as school liaison; fleet manager; information technology officer, firearms instructor, recruiter, evidence technician, business & community liaison, public information officer.
Safe, Friendly Communities	People like to live where they work where schools are good & the community is safe	Smaller departments are often appealing because their community offers a positive quality of life for individuals and for families.

Employee Satisfaction

The most effective way to build departmental commitment and loyalty is to demonstrate how the department values employees by providing them with the support and tools to effectively do their jobs. Job satisfaction surveys consistently name appreciation and recognition as what workers want more than a salary increase.

Any effort by management to transition employees into the department effectively and stress appreciation of their work will increase satisfaction and reduce turnover.

The New Officer: Strategies for a Successful First Day

No agency can guarantee employee retention, however, the manner in which an officer is transitioned into the department can have a significant impact on their opinion of the department, their job performance, and their decision to stay. Critical to a successful transition of the new officer is the experience of the first day.

- Select officers to meet and welcome each new employee. Let them be responsible for new hire orientations. In this way, develop a mentor program for all new employees.
- The chief should be available to meet and welcome the new employee personally.
- The mentor officer should make staff introductions, answer questions and be a point of contact for the first week if possible.
- Have this person acquaint the new employee with the department, give them a tour, show them to their locker or workstation and be available for questions. The mentor officer can also introduce the new employee to academy staff, their training officer, or supervisor.
- The mentor officer should acquaint all new hires with department policy and procedure.
- The mentor officer should inform new hires about uniforms.

This attention to new employees communicates, “you matter to us” and demonstrates the department’s commitment to provide each employee with the tools necessary to become productive and valued officers.

Mentoring: As an Effective Tool for Recruitment and Retention

Although informal mentoring has been influential in the development of good officers and leaders, the implementation of formal mentoring programs, such as “first day mentors,” has emerged as an effective tool for enhancing recruiting efforts and reducing employee turnover. By implementing a formal mentoring program, a police department distinguishes itself from other departments by conveying the message that the organization values its employees. The practice of formal mentoring has been proven successful in reducing employee turnover by providing consistent and professional attention to new recruits. The additional support to new employees yields valuable rewards.

What is Formal Mentoring?

Formal mentoring in this context refers to the process of providing a new recruit with an experienced officer as a consistent point of contact and support for a definite period of time. Unlike the field training officer (FTO), the mentor does not train and evaluate work performance. The mentor provides support and encouragement, is a resource for information and promotes continued career growth. Although distinct, the FTO and mentor roles compliment each other.

Some chiefs in small departments have expressed a concern that a formal mentoring program is impractical because of limited staffing. The mentor function can be accomplished with marginal expenditures or staff time, by using existing personnel who are trained in mentoring skills. Resources for skill development include:

- IACP Training Division provides a class in *Mentoring for Retention of Public Safety Personnel*.
- Police can learn from nonprofit and business organizations that provide training in mentoring because of the success it has demonstrated.

The benefit of this recruitment and retention strategy, mentoring, far outweighs the marginal cost of staff time. When the right person is in the position of mentor, the quality of employee retention for the agency often improves.

The Chief as a Mentor

Police officers from smaller departments have an advantage over employees from large departments when it comes to developing a mentoring relationship with their chief. Through the role of mentor, the chief has the opportunity to help officers identify their strengths and choose the training and career development to enhance their skills and esteem. The chief who emphasizes career development by providing officers with opportunities to build their skill base will develop loyal employees with high self-esteem. For this reason, it is recommended that the chief assume the primary role of mentor to the department and utilize veteran officers to serve as mentors to new recruits.

Police officers from smaller departments who have the benefit of a mentor chief have a unique opportunity to develop their skills and talents in a way that many officers in larger departments often lack. It is recommended that every chief assume the role of mentor and encourage their officers in every way possible to feel valued and to receive the best training available. This can be accomplished through inexpensive means such as assigning officers to task forces in neighboring agencies, to more expensive means such as formal training. Most of the strategies listed under the Retention section can be implemented without great expense to the department.

A difficult but important task for every chief is to recognize his/her responsibility to identify and develop a successor. Effective police leaders view their positions as temporary and continually prepare subordinates to eventually take their place without causing disruption to the agency. This is the ultimate act of mentoring. The IACP report, *Police Leadership in the 21st Century*, includes as one of its mandates, “create a network of mentors.” Mentoring can be effective at many different levels of the organization – chief to chief, veteran officer to recruit, or officer to officer. Mentoring is an inexpensive and effective means of transferring

information and experience throughout the organization and the mentoring relationship enhances staff retention because it communicates care and concern to staff.

Frequently Asked Questions about Recruitment and Retention

1. How can I attract and retain quality employees when the salary is not competitive with larger agencies?

Although many factors contribute to effective staff recruitment and retention, the compensation package is an important consideration for most employees. The police chief has the responsibility to educate and inform citizens, business leaders and elected officials of the necessary compensation requirements needed to remain competitive in the marketplace. It is vital that the cost to recruit, hire, train and retain police officers is directly related to the benefit of public confidence and safety.

The budgetary impact of employee turnover must be clearly compared to the cost of recruiting, hiring and training new police officers.

Hidden Cost of Officer Turnover

1. Citizen complaints are often higher for less experienced officers.
2. Overtime for officers drains the department's budget of needed resources
3. New, inexperienced officers tend to have more automobile accidents.

Police officers make important decisions every day that affect the lives of individual citizens. The legal implications of decisions concerning arrest and/or use of deadly force are of growing concern to all communities. The decisions police make require specialized training and experience. The role and impact of the police officer in a small community, from patrol officer to school officer, can be even more influential than in a larger community simply due to visibility. It is important for the community to recognize that the cost of hiring and retaining good police officers is less than the cost related to officer turnover. A community with a positive image of its public safety is more likely to provide financial support to police programs and services.

2. Because of my agency's size, there are limited opportunities for promotions. How can I overcome this obstacle?

Traditionally, the smaller department has fewer opportunities for advancement and promotion than larger, urban departments. Smaller police agencies have a unique opportunity to redefine promotion and creatively institutionalize advancement in a manner than separates them from larger departments in a positive way.

The smaller city chief can develop personal relationships with his/her officers that chiefs from larger departments cannot. These relationships often inform the chief of the interests, skills and hobbies of the officers. From this information, consider developing "specialist" categories in the place of actual rank promotions. A list of several specialist categories that are being used currently includes:

- ◆ School Liaison Officer
- ◆ Fleet Manager
- ◆ Firearms Manager
- ◆ Firearms Instructor
- ◆ New Hire Mentor
- ◆ Recruiter
- ◆ Special Programs Coordinator (for youth and community volunteerism).

3. How do I overcome the image that small town policing is not as professional as larger agency policing?

Small town policing should never be equated with a lack of sophistication or an ignorance of contemporary policing trends and issues. For instance, smaller departments are often experts in community policing techniques, but may not be able to purchase some of the newer information technology or equipment. There are no easy answers. Positive solutions take time and effort to build.

The first issue to consider is that of image. The chief and how he/she presents him/herself to the department and to the community largely influence the image of the department. The chief who models a continued commitment to personal and professional growth will lead a department to do likewise. It is important to build a positive department image by also providing the best equipment and training available to your department. Some suggestions for building and maintaining a positive image within your department and community include:

- Membership in state and national police organizations will keep you informed of grants and training programs for smaller departments.
- Whenever possible, attend conferences and membership meetings to take advantage of networking opportunities and information sharing.
- Read law enforcement publications that, like *Police Chief*, provide professional information and personal support.
- Involve yourself in national service organizations with local chapters. Very often, these organizations provide opportunities to network and occasionally provide specialty grants for equipment or program development.

15

Website Development for Smaller Agencies

A Best Practices Guide

Best Practices Guide



International Association of Chiefs of Police

Services, Support and Technical Assistance for
Smaller Police Departments

Website Development for Smaller Police Agencies

by G. Matthew Snyder & Lt. David J. Mullholland

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Best Practices Guide for Website Development for Smaller Police Agencies

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Tapping the Potential of the Web

The Internet has dramatically changed how we gather information and conduct research in our personal and professional lives. This World Wide Web, as it is called, literally puts the world on one's desktop. It is easy to overlook the fundamental benefits it has to offer a large or small police department, given its expanse and complexity. With a little bit of effort and minimal financial resources, a police department can establish powerful lines of communication with its constituents, peers, and a much broader community of citizens through a department web site.

Through a presence on the World Wide Web police agencies can overcome the historical monopoly the media has had on controlling information dissemination from the agency to the public. While the media will always have a role in covering incidents and occasionally highlighting programs, the chief of police can now easily have his or her own multidimensional online publication - essentially, a virtual public information officer accessible to the public 24/7/365.

Benefits of a Web Presence

- Agency controlled content
- Information can be changed in real time
- Existing paper publications can easily be put on-line.
- Community access to and understanding of department increases
- Recruiting tool for officer, civilian, and volunteer positions
- Promote department activities and employees

Many agencies have already embraced the value of maintaining a web presence. Some have very complex web sites while others have a simple single page overview of their department. Some of the more unique resources to help local agencies build a web site are identified in the Web Site Resources section that follows. It should be noted that many agencies are willing to share their web site programming code with other police departments that want to offer similar online services. A department's Webmaster is the best point of contact to obtain design and application guidance.

For agencies without a web site, the barriers to establishing an online presence are minimal. The practical barriers and technical barriers to consider include:

Practical barriers

- Identifying what information the public most wants to know
- Identifying what an agency wants published on the web site
- Identifying the person responsible for managing the web site

Technical barriers

- Who will design and build the site
- Who will host the site and
- How should it be secured from cyber vandalism

The following adage – Plan, Program, Promote and Manage – also describes how to build a web presence.

Plan: Decide on the components you want to display on the web site. Remember brevity is critical. Online attention spans are short. Determine where the site will be hosted (local agency, government server, third party server). Begin to collect all of the material planned for the web site.

Program: Convert the material to an internet readable format. In accordance with the requirements dictated by the web-hosting server, format the material for web publishing. For MS Word documents this may be as easy as saving files in hypertext markup language (HTML) format. Inexpensive web site design software packages are readily available. See the “Software List” that follows for suggestions of inexpensive and simple software packages to get you started. Remember, an easily understood navigational structure between pages is critical. The user should be within three clicks of the page they want when they arrive at the home page.

Basic Web Site Components

- ◆ Chief Executives welcome and introduction
- ◆ Agency structure, mission, and values
- ◆ Agency contact information (directory of employees or offices, mailing address, fax, phone, e-mail)
- ◆ Summary of key programs and services (DARE, TRIAD, GREAT, SRO’s, etc.)
- ◆ Answers to frequently asked questions
- ◆ Links to other community and law enforcement online resources

Promote: Just because you build it does not mean they will come. Make the community aware of the web address. Some agencies put their web address on their patrol cars, business cards, and letterhead. Links are just as important. Make sure your site is linked to other web sites your constituents might access (State Association of Chiefs of Police, other local police departments, community sites, local media, local governments, etc.). Also, register your site with the main Internet search engines (Yahoo, Google, Hotbot, etc.). A list of search engines that list web sites free of charge follows. Periodically run a search on the web for your department and see if it hits on your page.

Manage: Once it’s operational, keep it fresh. A basic web presence, (a relatively simple web page), will require minimal maintenance. Identify a single point of contact to coordinate adding and updating online information (webmaster). More complex web sites will require more time to produce and manage. While a variety of people may produce material for the web site, one person should manage the process of publishing updates. Even in smaller agencies, there will be officers with a keen interest in technology who can serve in

this role. Chief executives should periodically review their web site and verify its usefulness by comparing it to other agencies web pages.

Software List

Dreamweaver

<http://www.macromedia.com/software/dreamweaver/>

FrontPage

<http://www.microsoft.com/frontpage/>

HomeSite

<http://www.allaire.com/products/HOMESITE/>

BBEdit

<http://www.barebones.com/>

Cool Page

<http://www.cool%2Dpage.com/index%5Fframe.html>

AOL Press

<http://www.aolpress.com/press/index.html>

Arachnophilia

<http://www.arachnoid.com/arachnophilia/index.html>

Coffee Cup

<http://www.coffeecup.com/editor/>

Cold Fusion Studio

<http://www.allaire.com/products/ColdFusion/index.cfm>

Drumbeat

<http://www.drumbeat.com/>

Once the agency's web presence is established, it will be useful to track the usage statistics (how many people have viewed it). Notice which pages visitors most often access and how long they stay on your site. These web statistics are generally available from the hosting service or office that maintains your server. These statistics can verify popularity of the site, be useful when measuring the impact of web marketing efforts and provide convincing data to validate a grant proposal or request for funding. You may also find that web traffic dramatically increases after a major incident involving your department or jurisdiction.

Advanced Web Site Components

- ◆ Anonymous crime stoppers tips
- ◆ Local most wanted, stolen property, and missing children info
- ◆ Online incident reporting (minor incidents and property damage only accidents)
- ◆ E-commerce (purchase copies of reports and local records checks)
- ◆ Crime mapping and analysis data availability
- ◆ Public Surveys

The web offers one of the most economical and accessible public relations tools for a law enforcement agency. With a minimal financial investment, a little bit of time and some promotion, an agency can tap this resource to open doors to many parts of the community not previously reached. The public has a natural curiosity about the inner workings and activities of their law enforcement agency. A well-designed agency web site can provide a much more objective view of the agency and its programs than available through other media reports. Welcome to the 21st Century!

The Internet Name Game

After an agency has decided to develop a web site, a domain name for the web site must be chosen. Each web site has an Internet Protocol (IP) address, or a series of numbers that routes an inquiry to a web page. A domain name is a substitute for those numbers. The domain name generally ends with .com, .org, .net, .gov, or a country identifier such as .co.uk (United Kingdom). The ".com" portion is known as the top level domain, or domain extension. Many domain names also include a sub-domain (also called a second level

domain), or an additional portion of the address that points to the hosting agency. Choosing a domain name is important if an agency wants a web page that can be easily accessed by the public and quickly found using a search engine.

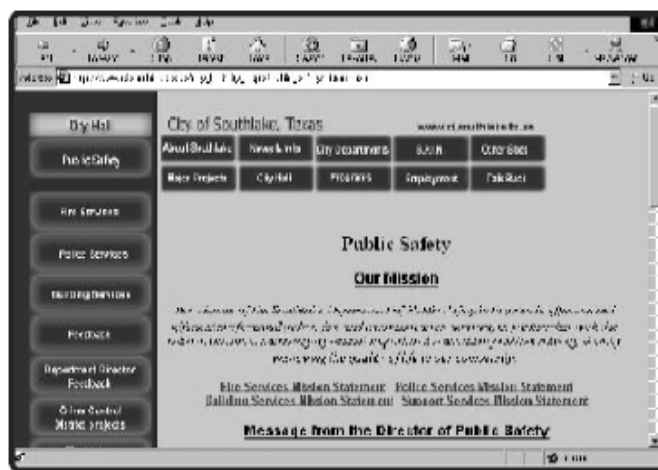
The Internet is organized by a hierarchical directory of all domain names and the computers and companies referred to as InterNIC. Until recent de-monopolization, the only way a name could be registered was through Network Solutions. Now, there are numerous businesses acting as registrars that will register domain names for a fee.

Agencies should choose a domain name between 3 and 67 characters long, remembering that simpler is better. Characters may be letters, numbers, or hyphens and are not case sensitive. Hyphens may not be used as the first character or last character. Spaces are not allowable. The best choice is a name easily associated with the agency, and acronyms may be quite appropriate if immediately associated with the agency.

At one time, the use of some domain extensions (.net, .org, etc.) was limited to organizations or institutions with specific functions. Most of these limitations are no longer in place or enforced. It is advisable to register your domain name with multiple extensions. If an agency registers as “citypolice.org”, someone could register and publish an anti-law enforcement website “citypolice.com” and mislead the unsuspecting public that keys in the wrong address.

An agency that has chosen a domain name can go to any number of sites on the Internet to register the registry service, but it should be around \$25 to \$35 per year. Some services may include a one-time set up fee. Registrations are normally in one-year increments with renewals up to a period of ten years. An agency should not pay a monthly fee or additional “holding fees” and should be aware that some registrar business only register a name for a “90-day period.” The registrar should be accredited by the Internet Corporation for Assigned Names and Numbers (ICANN).

When registering a domain name, the agency will be asked to provide contact and technical information. It is important to register with accurate information, using a reliable contact email address that will be in service throughout the life of the website. This contact information is submitted to a central database known as the



*Department of
Public Safety
Southlake, Texas
home page*

registry. Contact information is crucial for several reasons, chief of which is the ability for the registrar to contact the agency when the domain registration is about to expire. There is always an abundance of web entrepreneurs waiting for high traffic domain names to expire and be available for purchase. Domain names are not owned by the agency. The agency has bought the rights to that name until such time as the agency turns the name back in, or fails to renew its registration.

Domain names should be registered as soon as possible, even if an agency has no immediate plans to publish a web site. This ensures that the name is available when the agency is prepared to move forward with its Internet plans. When a domain name is registered without a website, it must be “parked” on a server. Some registry business can provide that “parking space” along with an “under construction” web page.

There are several important considerations for an agency registering a domain name. The agency should ensure that it, and not the registry service, is listed as the registrar, or administrative contact. If the registry service retains that title, it can control, modify, sell, transfer, or abandon the domain name at any time. The agency should maintain the ability to transfer the domain name to a different registry service (usually can be done after a period of at least 60 days). Contracts should be carefully read to check for expirations, renewals, and any hidden fees.

If an agency chooses to use a web hosting service, it is essential to select a service that provides an exclusive domain name without their service as a sub domain (e.g., citypolice.webhostingservice.com). Many search engines will not hit on these sites and those that do give such sites low priority. Also, these services frequently plague site-visitors with pop-up ads. With that in mind, there are many economical solution providers that will provide web space, web management tools, robust security, and domain registration in a turn-key package.

some
examples of **Police
Department
Websites**

Smaller ■ 1-25 SWORN OFFICERS

Durham (NH) Police Department

<http://www.ci.durham.nh.us/html/police.html>

- Community Survey

Nahant (MA) Police Department

<http://www.nahantpolice.org>

- On-line Community Survey

Baldwin (PA) Borough Police Department

<http://www.geocities.com/~baldwinboro/survey.html>

- On-line Community Survey

Mid-size ■ 25-50 SWORN OFFICERS

Merrimac (NH) Police Department

<http://ci.merrimac.nh.us/MPD/mpd.htm>

- Comprehensive web page

West Deptford (NJ) Police Department

<http://www.westdeptford.com/wetwdpd.htm>

- On-line Drug Activity Report
- On-line Criminal Activity Report

Fairfield (NJ) Police Department

<http://www.fairfieldnj.org/police>

- On-line Incident Report

Falls Church (VA) Police Department

<http://www.falls-church.va.us/police/default.html>

Portage (IN) Police Department

<http://www.ci.portage.in.us/police/>

- On-line Community Survey

Large ■ OVER 50 SWORN OFFICERS

Philadelphia (PA) Police Department

<http://www.ppdonline.org/>

- Abandoned Vehicle on-line Report
- Hazardous Highway Condition
- Permit Forms
- Request for Reports

South Plainfield (NJ) Police Department

<http://www.southplainfieldnj.com/police/>

- Request copy of report on-line

Mesa (AZ) Police Department

<http://www.ci.mesa.az.us/police>

- Patrol Activity Reports & Maps

Menlo Park (CA) Police Department

<http://www.geocities.com/meloparkpdtest/>

- On-line Report Forms
- On-line Crime Report Forms
- On-line Anonymous Tip & Suspicious Activity Report
- On-line Traffic Complaint Form

Littleton (CO) Police Department

<http://www.littletongov.org/police>

- On-line Crime Map

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State Associations of Chiefs of Police

Overview

Listing

Your State Association – An Important Resource

Most states have an association specifically organized to represent the interests of law enforcement executives throughout the state. Whether this organization is exclusive to police chiefs or includes sheriffs and other executive level members of the law enforcement community, it is an extremely important and useful resource for all chiefs – new or experienced.

While specifics vary widely, state associations exist to promote and advance the science and art of police administration and crime prevention; to develop and disseminate professional administrative practices, and to promote their use in the police profession; to further cooperation and the exchange of information among the state's chiefs; and to encourage the adherence of all police officers to high professional standards of conduct in strict compliance with the Law Enforcement Officer's Code of Ethics.

Each state association pursues these and other goals through a variety of benefits, tools, and opportunities. Some programs that your state association might offer include:

- Peer support network
- Resources for chief, city manager, and city council on issues that are controversial (e.g., firearms)
- Legislative Advocacy Programs
- Specific committees, such as, legislative, ethics, and training
- Representation on POST or other certifying commissions
- Vehicles for interaction with federal, state, and private sector partners
- Area Representation Programs
- Coordination with other law enforcement associations, such as the IACP
- Political Action Policy & Procedures
- Annual Conference
- Executive Level Training Programs
- Accreditation Programs
- State specific publications about the profession
- Email or fax systems for timely updates on crucial issues
- Administrative assistance, in areas such as testing services and recruitment
- Vendor information

Each of these programs provides a specific service to help law enforcement executives best serve their agencies and their communities.

As in most associations, the primary value is in the idea that there is strength in numbers. Through committee work, conferences, and legislative efforts, there is great value in being a part of your state association. Associations serve as both a resource and a means of giving back to the law enforcement community. A contact list for each state's association is located at the end of this chapter.

The IACP Mentoring Project and State Associations Working Together

In order to locate, support, and anchor newer chiefs to their state associations and to the Mentoring Project resources, the project staff has developed a tiered approach to delivering leadership technical assistance via mentoring. Knowing that each state has unique levels of readiness to implement mentoring with their states and different intentions for doing so this approach offers the associations choices. The tiers include:

1. **Information Exchange** – Sharing all materials, protocols, and procedures and systems with states to enable them to replicate a similar independent project.
2. **Executive Committee Presentation** – Project staff educates the committee about the project and the resources.
3. **State Association Membership Presentation** – Project staff educates the general membership about the project and the resources.
4. **Individual Mentoring** – (IACP Version) The Mentoring Project staff will administer the program at IACP headquarters. A cooperative marketing plan will be established and executed within the state.
5. **Group Mentoring** – A model will be developed to implement one-on-one mentoring in a group setting. (2005)
6. **Mentor Training** – “I Am A Mentor”, a program designed to teach a group of experienced chiefs how to mentor new chiefs. (2005)

If you would like to learn more about cooperating with the Mentoring Project please contact, Kristine Saltarelli, Project Coordinator at 1-800-THE-IACP, ext. 338 or mentoring@theiacp.org.

A Police Chief’s Desk Reference Your State Chapter

The Mentoring Project staff is working together with the state associations to create an **additional chapter** for you to add to your copy of this reference. This additional chapter will contain state specific key contacts, legislative issues, training opportunities, and other topics important for a new chief in your state to know. The chapters will be housed on the IACP Mentoring Project webpage:

<http://www.theiacp.org/research/RCDChiefMentoring.html>

They can also be found on your state association’s webpage (see the end of this chapter). Check these web pages occasionally for updates.

State Association Listing

The most up to date contact information on State Associations can be found at the SACOP Membership Directory page located on line at: http://www.theiacp.org/div_sec_com/div/sacoproster.pdf

ALABAMA ASSOCIATION OF CHIEFS OF POLICE

Executive Director

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Alabama Association of Chiefs of Police
PO Box 538
Marion, AL 36756
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e-mail: jwa@bellsouth.net
Web site: www.aacop.com

ALASKA ASSOCIATION OF CHIEFS OF POLICE

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Web site: www.arkansaschiefs.org

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COLORADO ASSOCIATION OF CHIEFS OF POLICE

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Web site: www.lachiefs.org

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Other Resources

Complimentary Subscription Form to *Big Ideas*

Sample Issue: *Big Ideas for Smaller Agencies*

Mentoring Project Applications

IACP Membership Application

Big Ideas for Smaller Police Departments

Subscription

This quarterly newsletter was created with agencies with fewer than twenty-five sworn officers in mind. The goal of *Big Ideas* is to provide an effective method for sharing project Best Practice Guides, which provide current innovations in the field and present new resources for issues dealing specifically with small agencies. Past topics have included Budgeting, Grant Writing, and a guide to writing a Policy and Procedure Manual.

We would like to offer you subscription to the Big Ideas newsletter absolutely free. To receive your complimentary subscription visit <http://www.surveymonkey.com/s.asp?u=44625940412>.

Requests can also be submitted by returning this form to: Elaine Deck, IACP, 515 N. Washington Street, Alexandria, VA 22314 or fax 703-836-4543.

Name: _____ Title/Rank: _____

Department/Agency: _____ Deliver magazine to: () Home () Business

Street/P.O. Box: _____

City: _____ State: _____ Zip: _____

E-mail: _____

Telephone: _____ Fax: _____

Yes, sign me up for the IACP e-mail newsletter

This section must be completed to process your free one-year subscription. Check the answer that best describes your position and agency.

Agency/Affiliation

- Municipal/County Police
- Sheriff's Department
- State Agency
- Federal Agency
- Campus Police
- Military
- Police Academy
- Police Equipment Dealer
- Security
- Professional Criminal Justice
- University/College Library
- Distributor/Manufacturer
- Other

Rank/Occupation

- Chief Executive
- Sheriff
- Command Staff
- Supervisory Personnel
- Line Officer
- Police Civilian
- Professor
- Other

Population of Jurisdiction

- Under 2,500
- 2,500-9,999
- 10,000-24,999
- 25,000-49,999
- 50,000-99,999
- 100,000+

Signature: _____ Date: _____

Big Ideas

for SMALLER POLICE DEPARTMENTS

Winter 2004

A quarterly publication of
The International Association of Chiefs of Police
focusing on concerns of smaller agencies

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By Elaine Deck

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Support for First Year Chiefs

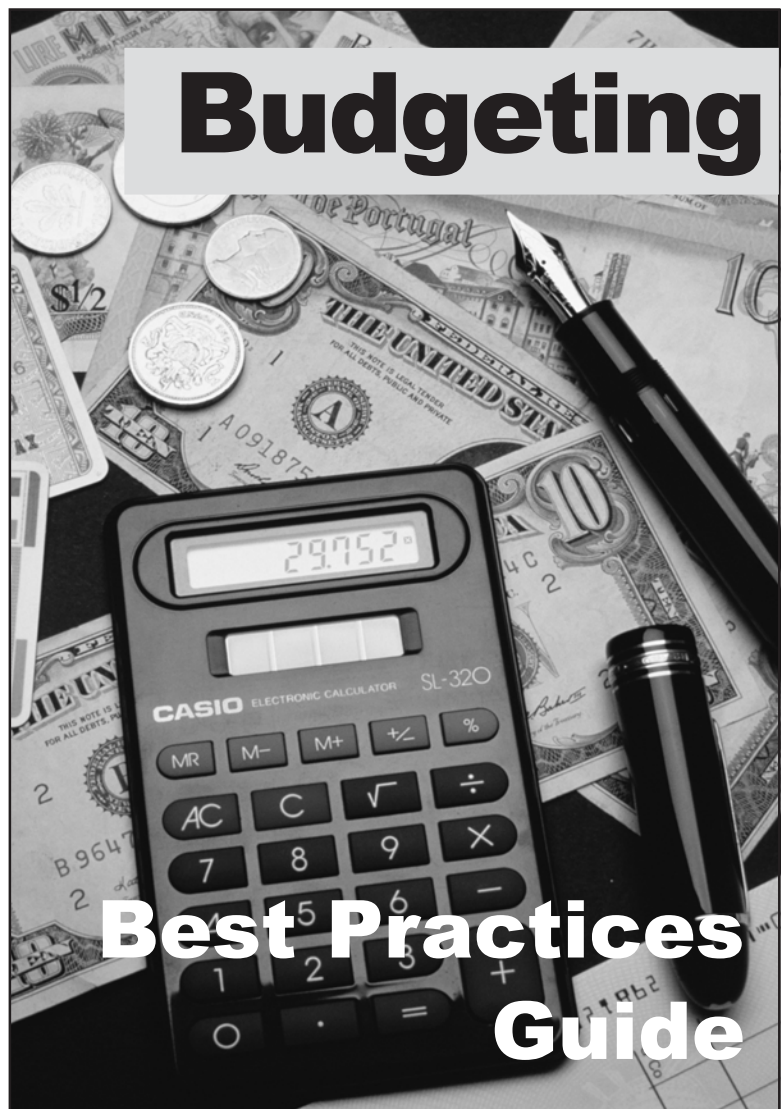
New Leadership Initiative on
Violence Against Women

Consolidating Police Services
Report

Feature..... 4

Budgeting in Smaller
Police Agencies

By Chief W. Dwayne Orrick



Editor's Welcome

Greetings,

The winter issue features the project's newest Best Practices Guide, *Budgeting in Smaller Police Agencies*, written by Chief W. Dwayne Orrick of the Cordele, Georgia, Police Department. I thank Chief Orrick and the city of Cordele for their time and cooperation in producing this helpful document. Budgeting Strategies has also been added to the list of project training topics. In addition, you'll find an insert, *A Police Chief's Primer on Information Sharing*.

Tuition-Free Training Opportunities

<u>Date</u>	<u>Agency</u>	<u>Location</u>
January 6, 2004	Wisconsin Chiefs Class IV Cities	The Dells, Wisconsin
February 10-11, 2004	Virginia Chiefs Association	Roanoke, Virginia

Annual Conference

IACP's Annual Conference, held in Philadelphia, Pennsylvania, October 21-25, 2003, was a great success. The Smaller Agency Training Track provided training to 850 participants on four topics – Strategic Planning, Practical Retention Strategies, Budgeting Strategies, and Internal Affairs Policy. Our gratitude extends to the advisors and chiefs who were instructors and to all who attended and participated. We look forward to providing several new topics at our next annual conference in Los Angeles, California to be held November 13-17, 2004.

New Staff

I am happy to introduce our new project staff: Pamela Juhl, project coordinator for the Mentoring New Police Chiefs Project, and Kristine Saltarelli, project assistant and newsletter assistant editor. I am pleased to have them working with me to expand our level of support and technical assistance for smaller police agencies in the United States.

If you would like to participate in our upcoming trainings or would like more information about other training opportunities, please contact any of us for additional information at 1-800-THE-IACP. Best wishes for the new year!



Elaine Deck
Editor

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Chief William Harrison, *Capitol Heights, Maryland, Police Dept. (Ret.)*
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Chief Jeanne A. Miller, *Reynoldsburg, Ohio, Police Dept.*
Chief W. Dwayne Orrick, *Cordele, Georgia, Police Dept.*
Chief Edward Reina, *Yavapai/Prescott Tribal Police*
Chief Paul Schultz, *Lafayette, Colorado, Police Dept.*
Chief Harvey Sprafka, *Knoxville, Iowa, Police Dept.*
Chief Beau Thurnauer, *Coventry, Connecticut, Police Dept.*

This project is supported by grant award #97-DD-BX-0043 from the Bureau of Justice Assistance, U.S. Department of Justice, to the International Association of Chiefs of Police. The views expressed here do not necessarily reflect those of the Department of Justice.

New Projects

Support for First Year Police Chiefs

IACP's Mentoring Project will begin a piloting phase early this year to pair experienced consultant police chiefs with new chiefs from smaller departments to provide assistance on leadership, management, organizational, and other issues as needed. The assistance to new chiefs will include written materials, guidance, and on-site visits, as needed. A major component of the project will be *A Police Chief's Desk Reference* that will include a collection of IACP documents, Best Practices Guides, a policy/procedure manual template, and other resource material. The Bureau of Justice Assistance of the U.S. Department of Justice funds this project. Experienced police chiefs interested in learning more about serving as a volunteer consultant please contact Pam Juhl at mentoring@theiacp.org or 1-800-THE-IACP, ext. 340.

New Leadership Initiative on Violence Against Women

The Research Center Directorate of the IACP is launching a long-range, innovative, multi-faceted National Law Enforcement Leadership Initiative on Violence Against Women. With three years of funding from the Department of Justice's Office on Violence Against Women (OVW), the project's goals are to enhance the leadership capacity of law enforcement executives across the U.S. to address the violence against women issues, strengthen the skills and increase the commitment of law enforcement officers to stop violence against women, and enhance the ability of communities to respond to victims. The range of issues to be addressed includes: sexual assault, domestic violence, stalking and trafficking.

The initiative will be comprised of three components:

- **National Law Enforcement Leadership Institute** to promote among law enforcement executives an in-depth understanding of the complex realities of violence against women.
- **National Law Enforcement Trainer Certification Program** to teach core training skills and evaluate instructor effectiveness on issues of violence against women.
- **Database of Certified Trainers** who are committed to educating law enforcement about violence against women using strategies of adult learning.

We believe the combination of these efforts will result in an emergence of committed law enforcement leaders invested in dramatically reducing violence against women. For further information, please contact Nancy Turner at 1-800-THE-IACP, ext. 216.

New Products

Consolidating Police Services Report

IACP Consolidating Police Services Report: The IACP Research Center Project, Services, Support and Technical Assistance for Smaller Police Departments, has recently completed a planning guide for police agencies and communities that are interested in examining the possibility of consolidating some or all of their police services with surrounding communities. The fiscal concerns of many communities, due in large part to the downturn of the economy in recent years, seem to be a driving factor in considering consolidation options. The report provides an exploration of the types of consolidations, preconceptions of consolidations and the IACP Planning Model for examining whether consolidation might be a cost-effective option for the agency or the community to pursue. The report can be obtained online at www.theiacp.org/research/ConsolidatingPoliceServicesIACPPlanningApproach.pdf or contact Kristine Saltarelli at 1-800-THE-IACP, ext. 338.

Budgeting in Smaller Police Agencies

A Best Practices Guide:

By Chief W. Dwayne Orrick
Cordele, Georgia, Police Department

The best police chiefs are never satisfied with the status quo and are always seeking ways to improve themselves and their departments. Police chiefs also realize that money is the fuel that runs their organization.¹ To accomplish their goals, law enforcement leaders must have sufficient funding. Funding is received through the budgeting process. If the department fails in the budgeting process, it is likely to fall short of meeting its yearly goals. Few law enforcement officers climb the organizational ladder in aspiration of working on a budget. Budget development requires the chief to step out of a “comfort zone” of operational procedures and into the administrative and political environment.

In smaller communities, the city council or city manager is likely to develop the budget with little or no input from the police department. Yet without law enforcement input into budget development, a final budget can fail to meet both agency requirements and community safety needs.

The purpose of this guide is to remove some of the mystery of budget development while helping police leaders of smaller departments take an active role in obtaining funding for something they know a lot about, running a police department.

Steps of Budget Development and Execution

- Reviewing the budget cycle
- Developing a personnel budget
- Projecting the capital or long-term expenditures
- Forecasting operational or short-term costs
- Budget cutting techniques used by analysts
- Approaches to budget justification
- Budget execution

Developing a budget is an art, not a science. There is no “one best way” to develop a budget. There are different types of budgets and each community does things a little differently. Regardless of the technique used, budgeting serves as the funding process for department operations. The budget can also be viewed in several ways:

Planning document: It is the funding document for what the organization plans to accomplish during the next year.

Political document: It is a financial expression of our values.

Living document: The conditions and events impacting the department change over time. The organization must be flexible and respond to these conditions.

Budget development is defined as a process of estimating revenues and expenditures, comparing the two, and making adjustments until they balance.² Unlike personal budgets, redundancy is built into the public funding process to ensure accountability. To facilitate this process, local governments subject themselves to a budget cycle. The budget cycle is a year-round process consisting of four phases. Two or more of these phases may be occurring simultaneously. These phases include executive preparation, legislative review, execution, and the audit.

Reviewing the Budget Cycle

There are four phases in the budget cycle review process.

Phase One: Executive Preparation

This phase marks the beginning of a new budget year. In most communities, budget analysts will provide department heads and elected officials with a budget calendar. This calendar will provide a timeline for the development of the budget. It is important to never underestimate the time required to develop the department’s budget proposals. Budget hearings are usually held with each agency to review and analyze projected expenditures.

Phase Two: Legislative Review

During this phase, the proposed budgets for all of the departments, including the police, are presented to elected officials. Final additions and/or deletions are made by the elected body before the budget is approved and funds are appropriated for expenditure.

Phase Three: Execution

Also known as the fiscal year, this is the period when the agency spends the appropriated funds. The fiscal year defines the beginning and ending funding dates of agency services (e.g., July to June).

Phase Four: Audit

This is the final stage of the budget cycle. During this period, accountants review each department's expenditures to ensure funds were appropriately spent.

Developing a Personnel Budget

The personnel budget comprises 75-80% of the department's total budget. While it accounts for the largest portion of funds, the personnel section is, in many ways, the easiest to project.

First Step: The agency needs to ensure the department's manpower allocation is accurate. Many factors affect the staffing levels of a law enforcement organization, including the community conditions and service requirements, operational philosophy, and budgetary considerations. If the department has never completed an analysis of its staffing allocation, one should be conducted.

In an effort to substantiate the need for current or enhanced staffing levels, many administrators use mathematical equations to project the number of officers needed. Even though most formulas are regarded as being unbiased and objective, extraneous variables prevent any method from providing a "perfect" estimate. All methods have different limitations in their ability to forecast the number of officers needed. Failure to provide accurate, justifiable, and objective projections can sabotage the department's credibility and efforts to effectively address the staffing needs. To ensure that an unbiased report is completed, some agencies rely on outside expert consultants to complete these studies.

If the agency is responding to dramatic changes in workload, due to a rise in community population, an analysis should be completed on an annual basis. Otherwise it should be done every three years. This process will ensure the department has adequate staff to address the needs of the community and allow administrators to strategically plan for the future needs of the department.

Second Step: Once the staffing levels have been established, the department should compare its salary and benefits package with those of other agencies in the surrounding area. Personnel studies have shown that salary is not the highest motivator, but lack of appropriate salary compensation is a de-motivator. Therefore, it is important for the department to keep pace with the pay schedule in its labor market.

Salary Survey. To obtain comparison information, a salary survey should be conducted. Many states collect and maintain this information, but the accuracy of the data may be questionable. Some jurisdictions mail surveys to collect this information. This technique is dependent on survey questionnaires being comprehended and returned by the respondent.

Telephone Survey. Another popular technique for gaining accurate compensation data is through conducting a telephone survey of agencies in a 30 - 40 mile radius. If the department is losing staff to a particular agency, such as a larger department or the state police, it should be included in the survey. When collecting the information, comparisons should be made of positions with similar job responsibilities, not rank. For example, a shift commander may be a sergeant in one department and a lieutenant in another. When completed, the results should be presented in a table for comparison. It should include the base rate of pay, insurance, and other benefits for each community by position. The survey should also identify if the department works eight-, ten-, or twelve-hour schedules and if the surveyed communities have other programs such as take-home cars, recruitment bonuses, educational incentives, or shift differentials.

Collective Bargaining. In states with collective bargaining, staffing and salary levels may be influenced by the union contract. Regardless, this information is important to have during negotiations.

Staff Turnover. Traditionally, staff turnover has been considered a cost of doing business. Since these expenditures do not appear as a line item, little attention has been given to the cost of losing an experienced employee. Police officer development of knowledge, skills, and abilities occurs at a substantial cost to the local government. These skills make officers attractive candidates for many employers, public and private. Because of this, many smaller agencies have become "training grounds" for larger agencies. Comparing the cost of turnover with the cost to retain seasoned employees allows an agency to project the cost savings by reducing its turnover. This information may provide significant justification for adjustments in compensation costs.³

To calculate the cost of personnel services, the following information must be completed. The information to complete this computation may be obtained from the community's payroll department and personnel department.

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Calculating the Cost of Personnel Services Data Categories

- Base Salary
- Merit or Longevity Increases
- Cost of Living Increases (Percentage of base, merit, and longevity increases)
- FICA 7.5% of salary with increases (if applicable)
- Workers' compensation (Percentage of salary with increases)
- Retirement
- Health/Dental/Life Insurance
- Overtime
- Other compensation-related benefits specific to the community
- Total

Cost of living increases may be part of a collective bargaining agreement or linked to the Consumer Price Index. Other communities may make a political compromise in deciding adjustments to be made.

Overtime can be projected in the same manner as the short-term or operating budget. It is important for supervisors to closely monitor overtime. The use of overtime is a highly leveraged expenditure and costs 50% more than regular staffing. *An assessment of overtime usage may identify the need for staff transfers, schedule adjustments, or increased staffing levels.* The National Institute of Ethics suggests false claims for overtime are a leading cause for discipline actions against officers. To prevent this, any claims should be approved by the immediate supervisor.⁴

In an effort to control costs, some agencies require staff to take compensation time in lieu of overtime pay. In some cases, it may be more cost effective to pay overtime than to give compensatory or “comp” time.

1. The Fair Labor Standards Act (FLSA) allows an employee to accumulate 480 hours comp time.
2. Comp time not taken within the “work period” must be compensated at 1½ times the normal rate.
3. Time must be compensated at the higher rate of pay. If the officer is promoted, he must be given the time off at the higher rate of pay. If he is demoted, he must be paid while taking the comp time at the higher rate of pay.

Monitor Sick Leave. Like overtime, the use of sick leave requires close review by supervisory staff. Covering positions for persons who have called in sick costs the department 250% of the budgeted amount. The person who called in sick is being paid and another officer is paid overtime to cover the vacancy. Accurate records of sick leave must be maintained and monitored for any trends. Several studies have indicated that abuse of sick leave is a precursor of misconduct and a problem employee. Because of this, persons who use high levels of sick leave should be confronted and efforts taken to reduce the use of sick leave.

Personnel Grants. In recent years, many departments have made use of personnel grants, such as the COPS Universal Hiring Grants. It is recommended that the agency review the grant application guidelines for retention requirements before the department applies for these funds. The chief of police or a department representative should bring the application to the attention of the governing body and receive their approval for the application. *Any retention requirements should be included in the council minutes.* This is important because when the grant expires, if elected officials have changed since the hiring was initiated, some analysts may try to eliminate the positions. It will be necessary to provide a copy of the grant and the minutes of the meeting to indicate that the authority approved the continued use of funds.

Projecting the Capital or Long-Term Expenditures

The capital budget allows the community to make long-term plans regarding the purchase of expensive items.⁵ A capital improvement program provides a plan for the addition, replacement or improvement of assets. It also includes the cost to support these purchases and a schedule of replacement within a three- to five-year period. By scheduling these purchases, the community can provide for the orderly replacement of major equipment and avoid peaks and valleys in the expenditures. This allows the community to balance cost with potential revenue and builds credibility of police budget planning. For example, if an agency has ten patrol cars, instead of replacing all ten cars at once, replacements should spread over five years. This will allow the orderly replacement of two cars a year and the budget is easier to balance.

Items must have all three of the following characteristics to be included in the capital budget:

- A tangible asset (something you can touch/feel)
- Life expectancy or useful life of more than one year
- Exceed a minimum cost threshold established by the governing authority (\$500 - \$5000)

Capital Improvement Program Includes:

- Land, Buildings, and Improvements to Systems
- Motor Vehicles
- Office Equipment
- Machinery and Tools
- Computer Equipment (some software and supplies)

Developing the capital improvement program involves five steps:

1. Inventory all of the department's equipment meeting the inclusion guidelines.
2. Identify the life expectancy for each item. Product life expectancy can be determined by manufacturer research, talking with other personnel on staff, and reviewing a list provided by the Internal Revenue Service.
3. Establish an estimated replacement cost for each item.
4. Create a replacement schedule for the items that will need to be replaced in the next five years. Include the associated costs.
5. Include additional equipment or enhancements to current equipment on the schedule.

Justifying Capital Expenditures

Make or Save Money. When requesting expenditures in the capital improvement program, the department must be able to articulate a legitimate need for the equipment. If the department can describe how the purchase will make the community money or save money, the budget analyst is more likely to approve the request. There are some ethical issues that must be considered when law enforcement officials are being used to "make" money. For instance, do not attempt to justify speed detection devices as a way to increase revenue for the community. However, the department may more easily demonstrate how the community will save money by making staff more efficient and effective with the equipment. For example, the use of a computer or a computerized Report Management System may allow officers to record more information and return to the streets faster. Some agencies, have effectively used increased accountability, reduced maintenance costs, and quick response from off-duty officers in the event of an emergency as justifications for a take-home car program.

It Is Cheaper to Spend the Money This Year. The department may demonstrate the cost to the community for the purchase is less this year than it will be in the future.

Safety. The issue of safety may be used as a strong justification for capital purchases. For instance:

1. The department radio system has numerous "dead spots" where officers cannot communicate with the dispatcher. This would be a good justification for additional towers or the purchase of a new radio system.
2. A neighboring jurisdiction experienced a tornado. Fortunately, no one was hurt, but citizen complaints arose afterwards because the community had no warning system for tornados.
3. The police chief noted that the possibility of an accidental hazardous materials spill was high due to the number of trains carrying such materials on nearby railroads. As a result, the governing authority implemented a program to install emergency warning sirens to cover the entire city.

Prioritizing Funding. Some communities establish a rank order of priorities for capital expenditures such as:

1. Legislative requirements
2. Hazards to staff/public
3. Economic advantage
4. Enhanced provision of services
5. New service or convenience⁶

The prioritization of expenditures may vary with each community. However, knowing these priorities and linking the request to the highest available justification may increase the likelihood of approval. Recognize that competition for these funds is often tight and the requests may be postponed for a more pressing issue in another area of the community.

Grant Funds. Grants and asset forfeiture funds are considered one-time revenue sources. It is not fiscally prudent to use these funds to make operating expenditures when additional supplies will need to be purchased the following year without additional funding to make the purchase. In addition, most state and federal guidelines forbid the use of these funds to

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Feature

supplant or replace existing funds. For this reason, grants and asset forfeiture funds are good sources to enhance the department's capital improvement program. These are appropriate revenue sources for one-time expenditures. Replacement components or additional components can be scheduled years down the road.

Forecasting Operational or Short-Term Costs

Step 1: Operating Budget Projections

The first step to developing operating budget projections is to identify the current fiscal year's budget as a baseline for each category. Many of the same police department functions are repeated each year. Therefore, this year's budget gives the department a good starting point for estimating next year's costs.

Step 2: Service Delivery Assessment

Community officials usually determine if the department can initiate new programs, make major adjustments to current operations, or reduce current levels of service delivery. The department's strategic plan can be very helpful in clarifying any adjustments needed.

Step 3: The Cost of Police Services

It is imperative to determine how much it will cost to provide police services. Many administrators simply make incremental adjustments to each area or line item, such as three percent. While this approach may be appropriate in some situations, these adjustments should not be done arbitrarily. The department leadership should critically evaluate the relative cost of agency procedures. Efforts should be made to determine if there are more cost effective ways to provide police services. This evaluation process is often overlooked, but it is essential to making conscientious use of the public's money. Police administrators should engage the staff in evaluating what the agency needs and what it can eliminate. Questions, like the following, should be asked:

- What, if anything, can the department fund at lower levels?
- Is the organization performing work that serves no function?
- What community services or operations need additional funding to accomplish agency goals?

Step 4: Adjustments to Budget Projections

Finally, document how expenditures will be used, how the estimates were developed, and why the department needs the funds. A list that includes calculations and assumptions used to make the projections is sufficient. This documentation will provide much of the justification needed during the upcoming budget hearings.

Budget Cutting Techniques Used by Analysts

As discussed earlier, developing a budget involves reconciling estimated budget revenues and expenditures until the two balance. Therefore, some budget cuts are inevitable and cannot be avoided. In his study of the budgeting process, Arnold Meltsner noted that analysts are likely to cut funding requests in several ways.⁷ Each of these cutting techniques may be observed during budget reviews.

Cut All Requests for Personnel Increases

Staffing is a highly leveraged expenditure. As a general rule, once a department receives additional staffing, they are seldom reduced. But, in an effort to control costs, increases will be among the first budget items to be cut. In communities where there is a true need for increased staff, these personnel cuts will impede the ability of the department to provide effective public safety services.

Cut Equipment Viewed as Luxuries

Every police agency has equipment that the elected officials feel are luxuries and unnecessary, such as cellular phones or leather chairs. When police administrators fully inform community leaders about the role of safety equipment like cell phones, they can more successfully avoid cuts and build valuable political capital.

Use Precedent--Cut Items That Have Been Cut Before

If the request has been cut before with little impact on the department's operations, future requests will likely be cut again.

Recommend Repair and Renovation, Not Replacement

It is a common accounting technique to postpone new purchases by repairing current equipment. This approach is particularly feasible if the agency has a good maintenance program. If the department has a regular replacement schedule, postponement of necessary purchases may impact

agency purchases for several years. As a result, the department may be forced to expedite the replacement schedule in future years.

Recommend a Study to Defer the Costs

Studies provide important information for making rational decisions regarding the cost and need for the requested agency funding. Most elected officials do not like feeling “forced into” purchasing decisions. If a budget request is for equipment or supplies that personnel genuinely need, officials should feel confident in its approval after the study. Therefore, it is important to anticipate a study being requested. Never wait until the last minute to recommend an important purchase.

Cut All Costs by a Fixed Amount (e.g., 5%)

Across the board reductions give the perception that all agencies are equally sharing the burden of the community budget cuts. However, other departments may not be run as efficiently as the police and may have more excess to cut. *In addition, few other departments provide services 24 hours a day, 365 days a year.*

Cut Department Budgets That Lack Community Support

Agencies that do not enjoy strong community support may experience difficulty in defending requests. In addition, if the department head has a reputation of making unreasonable requests or does not have the confidence of the budget analysts, he or she is more likely to have budget requests cut. Under such circumstances, legitimate requests may be eliminated.

Don't Cut When Staff or Public Safety Is Involved

The primary purpose of government is to provide for the public safety. If budget cuts result in a “legitimate” risk to staff, or if public health and safety can be demonstrated, the request will likely be approved. To demonstrate this, the chief should conduct a risk analysis to identify the possibility of threats and the probability of each threat occurring. Then a cost-benefit analysis can be conducted to determine the most cost effective way to address the potential threat.

Point Out Areas for Manager or Legislative Attention

Budget analysts may know they cannot cut some of the department's requests during the budget review and may suggest that elected officials question the need for proposed funding even after a final budget decision has received approval.⁸ During budget review hearings, it is critical to

ensure that cuts are made where the department can absorb the loss. To accomplish this, a detailed review must be made of the operational expenditures and each request for a budget cut must be rank ordered according to the following criteria:

1. Urgent and necessary for legal purposes/code compliance/mission
2. Necessary
3. Desirable, but not necessary

It is better for the department itself to generate a list of areas where the budget can be reduced. The police chief must know in advance the consequences for any potential cuts. As a compromise, the chief may propose cuts be made in other areas he or she feels is more appropriate.

Approaches to Budget Justification

As the department goes through the budget review process, the chief should be ready to justify each line item expenditure that is proposed in the budget. A variety of techniques could be used to justify the projected expenditures and this list should not be considered to be exclusive.

Be Prepared

Don't get caught off guard. Know what the hot budget issues are and have a response ready when they surface. If the police chief arrives at a budget hearing without good justification for proposed expenditures, a difficult battle will ensue. Arbitrary or unsubstantiated increases will likely be eliminated. If the department is expected to make a formal budget presentation, *it should be rehearsed.* This rehearsal should preferably be done before persons who are unfamiliar with the department's operations and who will ask pointed questions. The use of high quality visual aids is recommended.⁹

Mandates

Agencies are mandated to comply with local, state, and federal regulations such as minimum training hours, collective bargaining agreements, and the FLSA. The chief should be able to list these requirements and the associated costs.

Safety Issues

Making an affirmative link between proposed requests and officer/public safety will greatly increase the chances the proposed expenditures will survive budget cuts.

Feature

Higher Costs

Areas such as fuel prices are volatile. Uncontrollable increases will require budget adjustments.

Training

It has been estimated that *police departments get ten dollars returned for every dollar invested in training*. Training is an important agency investment to develop staff readiness to meet the future challenges of the community.

Improvement

Every year, police chiefs across the country hear the phrase, “Do more with less.” Perhaps we need to focus on doing *differently* with less? Examine each function of the department to identify redundancies or activities that have no real purpose.¹⁰ Agency improvements can occur through changes in operational procedures, reorganization, or the use of equipment like computers to make staff more effective. Involve the staff in this process. Many times, the personnel closest to the problem have the best ideas for how to improve operations.

Politics

Failure of the police chief to develop effective political alliances is a common reason why agencies fail to receive requested operational funding. Many elected officials do not know or understand a police department’s needs. Every city government action falls somewhere on the political spectrum. Though it is not recommended for a police chief to become involved in the campaigns of local officials, he or she cannot work in a vacuum and must be able to maneuver in the political environment. Oftentimes, elected officials have an uninformed perspective of the police department. Take time to listen to their concerns. At the same time, explain the department’s problems and what it needs to serve the community effectively. Working together, the chief and elected body can improve the department’s service delivery.¹¹

Demonstrate Expenditure Cost Effectiveness

A budget is like an eco-system. A change in one area may impact another. For example, it may cost more to repair a vehicle or computer to maintain it for another year, than it costs to lease or purchase a new one. Accountants understand this concept very well. The chief should be able to explain how a recommended expenditure will save money for the community.

Alternative Funding Sources

Departments that make use of grants and asset forfeiture funds are more likely to receive authorization for requested governing body expenditures since they’ve shown they can leverage other resources.

Model a Positive Attitude

Officers look to the chief for how they should respond to attacks on the budget. Periods of retrenchment are not permanent and should be viewed as a challenge. This situation may be an opportunity to trim the excess, build teamwork, and work on a common cause. If this period is faced as a challenge to be overcome, most of the staff will support the department’s efforts. As a result, the organization will become leaner, stronger, and more productive. A negative or combative response by the chief to budget cuts or attacks may give staff the perception of being aboard a sinking ship. Attempt to focus on solutions whenever possible.

Develop an Agency Strategic Plan

If you don’t know where you are going, you won’t ever get there. Many states require local governments to develop a strategic plan. Some departments have begun to conduct community surveys and hold one-day community planning sessions that help to identify operational issues the community has prioritized and often provide clarity about the public’s perception of the department’s service delivery. Community responses, along with comments from staff, elected officials and the public can be very beneficial in acknowledging the department’s strengths, identifying its weaknesses, and improving the quality of its service delivery. The goals and objectives developed during these planning and review sessions should be linked to the budgetary expenditures. Ask for the IACP Smaller Agency Project’s *Strategic Planning Best Practices Guide*.

Develop Community Confidence and Trust

Trust by community leaders in the agency’s effectiveness and professionalism is built by developing a reputation of making reasonable budget requests and by planning well. When the chief makes a funding request, budget officials must know the proposal has been fully researched, all of the alternatives explored, and the recommendation is in the best interest of the staff and the community.

“Police departments get ten dollars returned for every dollar invested in training.”

Use the Media Wisely

Too often we unnecessarily distance ourselves from the media. Brave men and women in police departments across the country are making great sacrifices to serve their communities. Yet this service too often goes unrecognized by the community. Working with the media will help to spotlight officers' efforts and to build public support for the department's operations.

Economic Development

More communities are starting to realize that public safety is tied to economic and industrial development. As businesses relocate and expand their operations, they examine the quality of life in the community. The department's ability to address citizen fear of crime can influence the perception of the quality of life in the community as a whole.

Write the Justification

Even when they are not required, written justifications are a good way to help develop the agency's argument for the requested funds. The budget justification should identify the need, problem or program to be addressed, the additional personnel and resources needed, and the expected results.

Budget Hearings

Budget hearings can sometimes become very emotional. The police chief can be faced with many challenges to receiving sufficient funding to meet realistic agency goals. At the same time, budget and elected officials are faced with the responsibility of making difficult decisions regarding cutting costs or raising taxes. During these meetings, police leaders should never demonstrate anger or indignation toward an elected official or argue with members of the elected body. It demonstrates a lack of restraint and projects an unprofessional image. In the long run the entire department will suffer.¹²

Budget Execution

After the governing body approves the department's budget, funds are appropriated and agency staff is expected to provide law enforcement services within the projected costs. This process is budget execution.

Budget execution is much like firing a weapon. Though the sight alignment and trigger squeeze are correct, the rounds are grouped to one side at the seven-yard mark. This may not cause much concern. But if the shooter does not take corrective action, he will miss the target at 15 and 25 yards. The same is true with a police budget. If the line item is two

percent over budget after the first month and no corrective action is taken it may be 24% over at the end of the year. While two percent over budget does not seem like much, it can have a significant impact for the entire community. Two percent of a \$500,000 budget is \$10,000.

In order to stay on target with the budget, the department's expenditures must be monitored on a monthly basis. The department should receive a statement of expenditures and appropriations from the community's finance department with several columns to identify the appropriations, month-to-date expenditures, year-to-date expenditures, remaining balances, and percentage of expenses.

The difference in the budgeted amount and the expenditures is referred to as *variance*. An easy way to track the progress of the budget is to compare the percentage of expenditures for each area with the portion of the fiscal year that has passed. The percentage of funds that have been spent is calculated by dividing the amount spent (expenditures) by the budgeted amount. For example, assume the department budgeted \$1,200 in a particular category or line item and has spent \$300. So 300 is divided by 1,200 resulting in .25 or twenty-five percent.

Compare this percentage to the portion of the fiscal year that has passed. Three months divided by 12 months equals .25 or one quarter of the year. In this illustration, the department is on budget. If the expenditure were less than the portion of the year that had passed, the department would have been under budget and vice versa.

When expenditures are identified as being over budget, a reason for the cost overrun must be determined. Assuming expenditures have been charged to the proper line item or section, *variance in the budget is always caused by one of three factors:*

- **Price.** The department is paying more or less than was expected for the supplies or services.
- **Volume.** The organization has experienced an increase/decrease in the amount used. Reaction to seasonal activity or large isolated expenditures such as insurance premiums or bulk purchase of fuel can cause dramatic fluctuations in a line item.
- **Efficiency of Operations.** The department is operating more/less efficiently than expected.

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After the analysis is completed, describe in writing the reason for the variance and the corrective action to be taken to bring the section in line with the budget. Officials should also make a separate notation as a reminder for when the next year's budget projections are being developed.

As the fiscal year progresses, each community department head is expected to attend periodic budget reviews. The purpose of these meetings is to track how each department, and the community as a whole, are progressing within the budget. During these meetings, be aware of any variance and have an explanation ready. This preparation demonstrates the department is monitoring itself appropriately.

Mastering the budgeting process is critical for the success of the police organization. It is a learned skill that requires ingenuity, creativity, attention to detail, and good communication skills.

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⁴ Trautman, Neal E. *The National Law Enforcement Officer Disciplinary Research Project*. The National Institute of Ethics, 1997.

⁵ Vogt, A. John. "Budgeting Capital Outlays and Improvements." *Budget Management: A Reader in Local Government Financial Management*. Jack Rabin, W. Bartley Hildreth, and Gerald J. Miller (Eds), Carl Vinson Institute of Government, University of Georgia, 1983. 130.

⁶ *Ibid.* 132.

⁷ Meltsner, Arnold J. *The Politics of City Revenue*. Berkley: University of California Press, 1971.

⁸ *Ibid.* 178.

⁹ Swanson. 20.

¹⁰ Arreola, Philip, and Edward Kondraki. "Cutback Management, Cost Containment, and Increased Productivity." *The Police Chief* (October 1992): 111.

¹¹ Stefanic, Martin D. "Preparing a Budget: Some Tricks of the Trade." *The Police Chief* (May 1985): 52.

¹² Orrick, Dwayne W. "Justifying Police Budgets." *The Police Chief* (August 2003).



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New Chief Application

**IACP Mentoring Project: Support for First Year Police Chiefs
IACP Research Center—Smaller Police Departments Programs**

New police chiefs may apply to work with a mentor in this project if they are serving in a smaller police department of 25 or less sworn officers or in population sizes of less than 25,000. Chiefs are eligible from appointment through year three.

Please send this form, your resume and information about your community/agency to:

Kristine Saltarelli, Project Coordinator, New Police Chief Mentoring Project, fax: 703-836-4743

Name _____ Date Appointed Chief _____

CURRENT POSITION:

Name of Department _____ # of Years in Police Service _____

Sworn Officers in Department _____ # Civilians in Department _____ Population size _____

Address _____
Street Town/City State Zip Code

Telephone (w) _____ Telephone (other) _____

Fax _____ Email _____

PREVIOUS POSITION:

Job Title _____ Previous Department _____

Location of previous position _____
Town/City State

Length of time in previous position _____ Number of Sworn Officers in Department? _____

Are you active in your State Association of Chiefs of Police? Yes_ _ No_ _

Does your department have a union? Yes___ No_ _ Are you a member of IACP? Yes_ _ No_ .

How did you learn about the IACP Mentoring Project? _____

I hereby certify that the statements provided above and on the attachments to this application are true and complete to the best of my knowledge.

I am aware that IACP volunteer consultants provide guidance and recommendations only and that any legal issues should be reviewed with my supervisor and the jurisdiction's legal counsel. IACP assumes no responsibility for the advice and guidance given under this project.

I understand that IACP asks each volunteer consultant to set forth his or her educational and training credentials and other qualifications and experience, but IACP does not independently verify this information other than to check references provided by the volunteer consultant.

Although IACP requires participants in the mentoring program to sign confidentiality agreements and to keep information gained through the project confidential, I am aware that a court, legislative or enforcement agency could compel disclosure of certain information, regardless of the parties' agreement to treat it confidentially.

Signature: _____ Date _____

New Chief Application

IACP Mentoring Project

Levels of Assistance: Rate each entry, using a scale of 1 to 5 to indicate the level of assistance that you feel you need. Add additional areas of concern, if any, to the "Other" category.

- | | |
|--------------------------------|--|
| 1 = no assistance needed | 4 = high level of assistance needed |
| 2 = some assistance needed | 5 = very high level of assistance needed |
| 3 = moderate assistance needed | |

EXAMPLE:

Management

- 4 Lines of authority 10e
- 3 Marketing strategies 10f

➤ **Collective Bargaining**

- ___ Management/employee rights 1a
- ___ Negotiating contracts 1b
- ___ Living with contracts 1c

➤ **Community Policing**

- ___ Realistic definitions & applications/successful programs 2a
- ___ Partnerships with civic associations, organizations, businesses, schools 2b
- ___ Volunteers in Police Service 2c
- ___ Citizen Police Academy 2d
- ___ Community surveys 2e

➤ **Crime Control**

- ___ Crime prevention 3a
- ___ Mutual aid agreements: regional/county/state 3b
- ___ Investigations 3c
- ___ Terrorism: personnel/training/equipment 3d
- ___ Weapons 3e
- ___ Task forces 3f
- ___ Major crime 3g
- ___ Gangs 3h
- ___ Drugs 3i
- ___ Auto theft 3j
- ___ Tactical operations 3k

➤ **Financial**

- ___ Budgeting 4a
- ___ Leveraging limited resources 4b
- ___ Capital equipment plans 4c
- ___ Grant resources, writing 4d
- ___ Purchasing: principles and practical considerations 4e

➤ **Governance/Policies**

- ___ Relationships with elected officials, municipal administrators, commissions, etc. 5a
- ___ Model policies & protocols in policing 5b
- ___ Local/state/federal policies 5c

➤ **Inherited Issues**

- ___ Unresolved predecessor issues 6a

➤ **Leadership Skills**

- ___ Communication/active listening 7a
- ___ Conflict resolution 7b
- ___ Decision-making 7c
- ___ Establishing authority/limit setting 7d
- ___ Establishing and communicating the vision and goals 7e
- ___ Relationship building 7f
- ___ Shaping organizational culture 7g
- ___ Staff motivation 7h
- ___ Stress management 7i
- ___ Supporting employees 7j

➤ **Liability/Legal Issues**

- ___ Federal and state statutes 8a
- ___ Chief's personal liability issues 8b
- ___ Force 8c
- ___ Sexual harassment 8d
- ___ Pursuits 8e
- ___ Domestic violence 8f

➤ **Maintenance and Safety**

- ___ Maintaining facility 9a
- ___ OSHA compliance—safety officer 9b
- ___ Fleet vehicle management 9c

➤ **Management**

- ___ Internal affairs investigations 10a
- ___ Internal records system 10b
- ___ Internal surveys 10c
- ___ Learning about new initiatives 10d
- ___ Lines of authority 10e
- ___ Marketing strategies 10f
- ___ Measuring success 10g
- ___ Setting priorities 10h
- ___ Strategic planning 10i
- ___ Team-based management 10j

➤ **Media**

- ___ Effective media policy 11a
- ___ Proactive relationship with media 11b
- ___ Public Information Officer issues 11c
- ___ Print vs. electronic media 11d

➤ **Personnel Issues**

- ___ ADA accommodation 12a
- ___ Ethics issues 12b
- ___ Benefit package/wages 12c
- ___ Sick Leave 12d
- ___ Diversity issues 12e
- ___ Family issues 12f
- ___ Mentoring new officers 12g
- ___ Optimizing use of limited personnel 12h
- ___ Marketing/competing for recruits 12i
- ___ Mental health issues 12j
- ___ Hiring: testing, background, selection issues 12k
- ___ Intra-staff issues/conflicts 12l
- ___ Employee recognition 12m
- ___ Use of discipline 12n
- ___ Retention 12o
- ___ Allocation and deployment 12p

➤ **Technology**

- ___ Identifying/acquiring emerging technology/applications 13a
- ___ Website development 13b
- ___ Future needs projection 13c

➤ **Traffic Management**

- ___ Enforcement 14a
- ___ DUI/impaired driving 14b
- ___ Crash investigations/studies 14c

➤ **Training/Staff Development**

- ___ Internal resources 15a
- ___ External resources 15b
- ___ Funding 15c

➤ **Other** (please list/describe; use reverse side of page if needed):

New Chief Application

IACP Mentoring Project

Note to police chiefs requesting assistance: *To help ensure appropriate and timely assistance from IACP staff and consultants, please briefly describe your current situation and the nature of the help desired. Use additional sheets if needed.*



Mentor Application

IACP Mentoring Project: Support for Newer Police Chiefs Research Center—Smaller Police Departments Program

Experienced police chiefs may apply to serve as a mentor in this project if they have worked in a smaller police department for at least 5 years (25 or less sworn officers or in population sizes of less than 25,000) and have been active in the law enforcement field within the past 5 years.

Please send this form and your resume to:

Kristine Saltarelli, Project Coordinator, New Police Chief Mentoring Project, fax: 703-836-4743

Name _____ # of Years in Police Service _____

Name of last Department _____ # of Years as Chief _____

Sworn Officers in Department _____ # Civilians in Department _____ Population size _____

Address _____
Street Town/City State Zip Code

Telephone _____ Fax _____ Email _____

Name/Title of Supervisor (or Retired) _____

Supervisor's approval to participate in Mentoring Project? Yes _____ No _____

Have you served as a chief of a smaller department for 5 years?
Required for participation (25 or less officers or population sizes less than 25,000) Yes _____ No _____

Location _____ # of years _____ # of officers _____

Education/Training:

of years post-high school Education _____ Degree(s) awarded _____ Date(s): _____

Name of major command school attended (e.g., FBI N A, SPI, NWTI, FBI LEEDS) _____

Dates _____ Session # _____

Other Education Training: _____

Teaching Experience (e.g., Academy, College, Professional Development Seminar) _____

Does your department have a union? Yes _____ No _____

IACP Member: Yes _____ No _____ State Association Member: Yes _____ No _____

How did you learn about IACP's Mentoring Project? _____

Mentor Application – page 2

IACP Mentoring Project

Areas of Experience/Capability: Rate each entry, using a scale of 1 to 5 to indicate your level of competence in assisting a newer police chief from a smaller police department.

1 = no interest/training/experience
 2 = some interest/training/experience
 3 = moderate interest/training/experience

4 = high interest/training/experience
 5 = very high interest/training/experience

EXAMPLE:

Management

4 Lines of authority 10e

3 Marketing strategies 10f

➤ **Collective Bargaining**

- ___ Management/employee rights 1a
- ___ Negotiating contracts 1b
- ___ Living with contracts 1c

➤ **Community Policing**

- ___ Realistic definitions & applications/successful programs 2a
- ___ Partnerships with civic associations, organizations, businesses, schools 2b
- ___ Volunteers in Police Service 2c
- ___ Citizen Police Academy 2d
- ___ Community surveys 2e

➤ **Crime Control**

- ___ Crime prevention 3a
- ___ Mutual aid agreements: regional/county/state 3b
- ___ Investigations 3c
- ___ Terrorism: personnel/training/equipment 3d
- ___ Weapons 3e
- ___ Task forces 3f
- ___ Major crime 3g
- ___ Gangs 3h
- ___ Drugs 3i
- ___ Auto theft 3j
- ___ Tactical operations 3k

➤ **Financial**

- ___ Budgeting 4a
- ___ Leveraging limited resources 4b
- ___ Capital equipment plans 4c
- ___ Grant resources, writing 4d
- ___ Purchasing: principles and practical considerations 4e

➤ **Governance/Policies**

- ___ Relationships with elected officials, municipal administrators, commissions, etc. 5a
- ___ Model policies & protocols in policing 5b
- ___ Local/state/federal policies 5c

➤ **Inherited Issues**

- ___ Unresolved predecessor issues 6a

➤ **Leadership Skills**

- ___ Communication/active listening 7a
- ___ Conflict resolution 7b
- ___ Decision-making 7c
- ___ Establishing authority/limit setting 7d
- ___ Establishing and communicating the vision and goals 7e
- ___ Relationship building 7f
- ___ Shaping organizational culture 7g
- ___ Staff motivation 7h
- ___ Stress management 7i
- ___ Supporting employees 7j

➤ **Liability/Legal Issues**

- ___ Federal and state statutes 8a
- ___ Chief's personal liability issues 8b
- ___ Force 8c
- ___ Sexual harassment 8d
- ___ Pursuits 8e
- ___ Domestic violence 8f

➤ **Maintenance and Safety**

- ___ Maintaining facility 9a
- ___ OSHA compliance—safety officer 9b
- ___ Fleet vehicle management 9c

➤ **Management**

- ___ Internal affairs investigations 10a
- ___ Internal records system 10b
- ___ Internal surveys 10c
- ___ Learning about new initiatives 10d
- ___ Lines of authority 10e
- ___ Marketing strategies 10f
- ___ Measuring success 10g
- ___ Setting priorities 10h
- ___ Strategic planning 10i
- ___ Team-based management 10j

➤ **Media**

- ___ Effective media policy 11a
- ___ Proactive relationship with media 11b
- ___ Public Information Officer issues 11c
- ___ Print vs. electronic media 11d

➤ **Personnel Issues**

- ___ ADA accommodation 12a
- ___ Ethics issues 12b
- ___ Benefit package/wages 12c
- ___ Sick Leave 12d
- ___ Diversity issues 12e
- ___ Family issues 12f
- ___ Mentoring new officers 12g
- ___ Optimizing use of limited personnel 12h
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- ___ Mental health issues 12j
- ___ Hiring: testing, background, selection issues 12k
- ___ Intra-staff issues/conflicts 12l
- ___ Employee recognition 12m
- ___ Use of discipline 12n
- ___ Retention 12o
- ___ Allocation and deployment 12p

➤ **Technology**

- ___ Identifying/acquiring emerging technology/applications 13a
- ___ Website development 13b
- ___ Future needs projection 13c

➤ **Traffic Management**

- ___ Enforcement 14a
- ___ DUI/impaired driving 14b
- ___ Crash investigations/studies 14c

➤ **Training/Staff Development**

- ___ Internal resources 15a
- ___ External resources 15b
- ___ Funding 15c

➤ **Other** (please list/describe; use reverse side of page if needed):

Mentor Application – page 3
IACP Mentoring Project

Examples of Successes: *Please provide details below of your experiences and accomplishments, focusing on those in which you have been especially successful in your role as police chief. Use additional pages, if needed, to include more details and/or other examples.*

References: *Please list three persons not related to you who know your qualifications (e.g., supervisor, union or employee group president, officer in your department, community representative).*

1. Name _____ Title _____
Company/Agency _____ Telephone _____
Address _____
Street Town/City State Zip Code
E-mail _____

2. Name _____ Title _____
Company/Agency _____ Telephone _____
Address _____
Street Town/City State Zip Code
E-mail _____

3. Name _____ Title _____
Company/Agency _____ Telephone _____
Address _____
Street Town/City State Zip Code
E-mail _____

I hereby certify that the statements provided above and on the attachments to this form are true and complete to the best of my knowledge.

References. I authorize the IACP to contact references listed in this application that may have information relevant to my qualifications. I further authorize contacted individuals to give IACP any and all information concerning my previous employment or any other pertinent information they may have, personal or otherwise, and release all parties from all liability for any damage that may result from furnishing such information. I waive any right I might have to inspect, copy, or otherwise have access to any information that any contacted person may disclose about me.

Confidentiality. As a mentor participating in the IACP Mentoring Project, I agree not to divulge to any other person, firm or entity outside of this project, or in any way use for personal benefit, or that of another, any information obtained about the new chiefs with whom I am matched during the Mentoring Project. I acknowledge that all information concerning the new chiefs is strictly confidential. I am also aware that, regardless of efforts to maintain confidentiality, a court, legislative or enforcement agency could compel disclosure of certain information, regardless of the parties' agreement to treat it confidentially.

Signature: _____ Date _____

This document was prepared by The International Association of Chiefs of Police, under grant number 1997-DD-BX-0043, awarded by the Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice. The opinions, findings, and conclusions or recommendations expressed in this document are those of the authors and do not necessarily represent the official position of the U.S. Department of Justice.

November 2004

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