Management Program

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Management Program

The following management program (Management Modules 1-5) is a P.O.S.T. specific program that meets the training requirements of NAC 289.260 for the Management Certificate. This P.O.S.T. certified course (Modules 1-5) is required in order to be issued a P.O.S.T. Management Certificate.

You must complete all areas (Module 1-5) with a score of 80% or better for course completion. Management Modules 1, 3, 4, and 5 can be completed at any time and in any order. Management Module 2 must be completed after completion of Management Module 1 (80-hour classroom).

Management Module 1: 80-hour classroom (This course is designed for staff that has completed the 80-hour supervisor course and is in a management or first-line supervision position).

Introduction to Management
> Self-Assessment, Four-levels of Management, Manager Core Competencies
> Evolution of Policing
>> Community Oriented Policing (COP), Problem Oriented Policing (POP)
>> SARA Model (Scan, Analysis, Response, Assess), Intelligence Led Policing (ILP)
> Management/Leadership Style Inventory

Management vs. Supervisor
> Building your Self-Confidence
> Critical Incidents
> Managing Change
> Fiscal Management

Personnel Administration
> Ethics, Integrity, Responsibility, Accountability
> Motivation, Rewards & Recognition, Delegation, Goal Setting
> Human Resource Management/Personnel Recruitment & Retention
> Mentoring Program
> Line of Duty Death

Strategic/Critical Thinking, Planning, Projections
> Grant Writing/Grant Management
> Problem Solving, Needs Assessment, Action Plans
> Strategic Planning/Critical Thinking
> Succession Planning

Management Labor Relations
> Employment Law/EEO
> Risk Management
> Future Trends in Law Enforcement
> **Written Exam**

Management Module 2: Independent Assignment – 74 Hours

* Pre-requisite: Management 1 (Classroom)

(Skills needed to complete this module are obtained during Mgmt 1 Classroom session) For registration and further information, contact Amanda Socha asocha@post.state.nv.us

Practical application of financial, management, administrative processes – Conduct a needs assessment, develop a written action plan to meet the need and prepare a budget to support your plan – submit needs assessment results, action plan and budget to P.O.S.T. Training Division, Attn: Ben Miller for grading and course completion review.

Management Module 3: Self Study – 6 hours – Policy Formulation
   (Available on P.O.S.T. website under self-study).

Management Module 4: Independent Study – 40 hours – Public/Police Administration
   Must read and submit a minimum two-page summary paper to P.O.S.T. on each of the following 2 books:
      Public Administration and law by David H. Rosenbloom, (ISBN# 978-1-4398-0398-1)
      Police Administration by Gary W. Cordner (ISBN# 987-1-4224-6324-6)

Management Module 5: Independent Study – 40 hours – Financial Administration
   Must read and submit a minimum two-page summary paper to P.O.S.T. on each of the following 2 books:
      Budget Tools: Financial Methods in the Public Sector 2nd Edition by Greg Chen, Lynne A. Weikart, and Daniel W. Williams (ISBN-13# 978-1-48330-770-1)
      The Politics of Public Budgeting: Getting and Spending, Borrowing and Balancing 7th Edition byIrene Rubin (ISBN-13 #978-1-45224-041-1)

The books required for Management Modules 4 and 5 are available on the internet, at a book store, or a limited number are available for a 45-day checkout from P.O.S.T. Contact P.O.S.T. Professional Development Bureau, Amanda Socha at asocha@post.state.nv.us for availability, to register and obtain instruction for written material for Module 4 and/or 5. Books that are damaged or not returned must be paid for by the student before the certificate will be issued.

NOTE: Papers for Module 4 and 5 shall be a minimum of 2 pages for each book, type written, double spaced and will be graded on content obtained from the reading material, spelling, punctuation, sentence structure, and organization. Must obtain a score of 80% or above on each of the papers submitted to obtain a passing score.

Upon successful completion of Management Modules 1-5 of this P.O.S.T. approved program, you will meet the training requirement needed to submit the application for the Management Certificate to P.O.S.T. Professional Standards Bureau.

Introduction to Management

POST Management Program

Introduction to Management

Instructional Goal: To prepare managers in criminal justice/law enforcement agencies to function effectively in their roles.

Performance Objectives:

By the end of this training, students will be able to pass a written exam at or above 80% on the following:

- List five functions of management
- Define P.O.D.C. Quotient
- Explain S.W.O.T.T. analysis
- Define management conceptual skills
- Define management human skills
- Define management technical skills
- List the five managerial objectives
- List 6 core law enforcement manager competencies

How Well Are Agencies Managed?

One way to consider how well a public service agency is managed is in terms of the five sequential functions of management. Likely to occur in predictable sequence, the functions provide continuity to the process of management:

- ➢ Planning
- ➢ Organizing
- ➢ Staffing
- ➢ Directing
- ➢ Controlling

Picture three consultants assigned the task of designing from scratch an agency to serve a community of 50,000. Consider the major questions they would have to address:

Planning

What resources are set aside for this agency?
How should we state the mission and goals?
What programs and activities are needed to achieve them?
What standardized procedures?
What about standing decisions on important recurring matters (policies)?
How will we develop the first budget?

Organizing

We need to establish an organizational structure, delineate positions and relationships and create job descriptions with necessary qualifications.
How do we divide up the necessary work so that personnel are assigned most effectively?

Staffing

What steps should we take to recruit and develop qualified employees?
What standards established to avoid the "rejects" of neighboring agencies, or the people who cannot make it in the private sector?
How much to budget for recruit training and continuous upgrading of employee skills, knowledge and ability?

Directing

What can be done to insure that employees are motivated and produce, both day-to-day and over the course of a career?
How to resolve conflicts and encourage independent thought?
How to stimulate innovation and creative solutions to problems?
Can we set up structures to make it easier for them to keep at the cutting edge of the field?

Controlling

How to make sure the agency achieves its objectives according to plan?
What performance standards are required?
Reporting systems?
How to insure that necessary corrective actions take place to stay on target?
How to measure results so that it can be shown that objectives are being achieved?

Using the Basic Resources: In addition to money and time managers must conserve and utilize their resources to achieve agency objectives:

- **Conceptual:** ideas, planning and managerial skills, training, technical competence, in-house information and access to outside databases and the worldwide web;
- **Physical:** vehicles and professional equipment, consumable materials, uniforms, safety gear, furniture; the buildings and constructed facilities for housing employees as well as the above;
- **Human:** health, motivation to work, supervisory leadership, intelligence, interpersonal skills, loyalty to the agency, commitment to the field.

In utilizing these resources manager will resort to the five sequential functions as well as other management skills and functions; e.g., analyzing problems, making decision, communicating with employees and citizens.

Evaluating Agency Management: No one public service manager (or management team) can be fully capable in utilizing appropriate management skills and functions. In evaluating agency management, however, it is helpful to consider the full range of duties, responsibilities and activities' needed for effective and efficient management. The following items are divided according to the five sequential functions. Many of them may be delegated to subordinates; nevertheless, the chief executive and management team must accept responsibility for all of them.

Evaluation Exercise

Directions: Indicate using the scale below how well in your judgment the chief executive & management team of your agency accomplish the following responsibilities and activities:

10	**Excellent**
8 – 9	**Good**
6 -7	**Adequate**
4 – 5	**Barely Adequate**
1 – 3	**Poor**

Planning – How well do they:

1. _____Determine the purpose of the agency with a clear mission statement, goals and objectives.

2. _____Develop essential policies (e.g., authority defined, use of discretion, alternatives to arrest, use of deadly force, high speed pursuit), and then require adherence to them.

3. _____Divide the agency's work into program (e.g., traffic, patrol, crime prevention, criminal investigation, work with youth) and annually review each program's objectives with emphasis on increased effectiveness for the next twelve months.

4. _____Establish the priority, sequence, and timing of all the steps necessary to achieve annual program objectives (with a timetable and milestones indicated.

5. _____Develop a budget that realistically reflects the importance of the annual objectives to be accomplished.

6. _____Administer the budge effectively throughout the budget year.

7. _____Develop written directives (procedures, rules) to cover all essential, recurring operations.

8. _____Utilize staff who are qualified for specialized planning and problem-solving.

9.	_____Hold staff meetings for effective planning (and at an appropriate frequency).

10.	_____Provide for adequate manpower research, crime analysis and deployment of personnel according to work load.

11.	_____Push the planning process as far down into the operational level as possible; i.e., get as many people involved as practical.

Organizing – How well do they:

12.	_____Depict the agency's structure on an annually updated organizational chart in which relationships are realistically delineated and major and subdivisions are grouped by function.

13.	_____Ensure that each employee is accountable to only one supervisor and that each unit is under the direct command of only one supervisor.

14.	_____ Establish command protocol in situations involving personnel from different units engaged in a single operation.

15.	_____Maintain accurate job descriptions of the duties and responsibilities of each job assignment within the agency.

16.	_____Annually review the job descriptions and make them available to agency personnel.

17.	_____Give authority in writing to personnel for making decisions necessary for the effective execution of job responsibilities.

18.	_____Hold supervisory personnel accountable for delegated authority, as well as for failure to delegate.

19.	_____Require in writing employees to obey any lawful order of a superior.

20.	_____Specify in writing the procedures to follow, if a subordinate receives a conflicting order or directive.

Staffing – How well do they:

21.	_____Ensure that adequate task analysis and job classification are used to describe the nature of the work performed by agency employees.

22.	_____Develop an annually reviewed selection process that results in the appointment of personnel who possess the skills, knowledge and abilities to achieve agency objectives.

23.	_____Ensure that the selection process is characterized by validity (it is job-related), utility (effective and useful), and minimum adverse impact (fairness to all potential work groups).

24.	_____Ensure the development of a full selection process:
➢	Written tests,
➢	Background investigation,
➢	Polygraph,
➢	Oral interview(s),
➢	Medical examination,
➢	Physical fitness test,
➢	Agility test, and
➢	Emotional stability/psychological fitness test.

25.	_____Work toward having a ration of employees from diverse ethnic groups in rough proportion to the makeup of the community.

26.	_____Establish an effective Equal Employment Opportunity recruitment program, i.e., one that sues trained officers knowledgeable in personnel issues, and all personnel are involved in some way in recruitment activities.

27.	_____Administer a probationary period for new officers that effectively "weeds out" those who appear not to have the ability to perform their job responsibilities as team members of the department.

28. _____Administer on the job training for new officers through a field training officer (FTO) program.

29. _____Establish in-house training programs and sees that the agency participates in outside specialized training in areas needed and consistent with agency goals and objectives.

30. _____Ensure accountability for all training programs to those assigned to the training function.

31. _____Assign quality personnel to the training function, who provides for a full program; recruit training, in-service and roll call training, specialized training, civilian personnel training.

32. _____Document, and fairly and equitable administer (insofar as empowered) a full compensation and benefits program for full time employees.

33. _____Establish and maintain an effective discipline system, such that it is a positive process whose perceived purpose is to train or develop my instruction.

34. _____Oversee a grievance process as a formal method that allows employees to resolve their grievances with management fairly and expeditiously.

35. _____Identify employees who appear to have the potential for assuming greater responsibility, and oversee a promotion process that contains validity, utility and minimum adverse impact (less susceptible to court challenge).

36. _____Strive to apply an effective performance evaluation system, to ensure the best use of human resources available, to ensure that personnel problems can be identified and dealt with promptly and fairly, and to ensure optimum job satisfaction for each employee.

37. _____Groom qualified personnel for command-level responsibility, in a manner characterized by validity, utility and minimum adverse impact.

Directing – How well do they:

38. _____Deploy personnel resources to the different law enforcement operations and shifts, to permit effective handling of operational responsibilities and problems by type, time or location.

39. _____Provide for effective supervisory leadership at all levels especially at the first line.

40. _____Work toward developing and maintaining an organizational climate in which motivation and morale, human relationships and individual effectiveness can flourish.

41. _____Provide for an adequate flow of operational communication downward through the effective use of general and special orders, activity reports, personnel memoranda, etc.

42. _____Strive to encourage communication up the chain of command, so that those with responsibility can be informed of the realities and concerns of their subordinates.

43. _____Maintain a patrol force of sufficient strength, utilizing the latest technological advances in creative deployment of officers on patrol.

44. _____Ensure the presence of adequate specialized operations: criminal investigations, juvenile operations, drugs and vice operations, crime prevention, traffic operations, special and tactical units.

45. _____Maintain and continually upgrade auxiliary and technical services: communications, automated records systems, collection and preservation of evidence, property management.

46. _____Identify appropriate victim/witness services that the agency can provide without duplicating services offered elsewhere in the community.

47. _____Provide for maintenance of physical facilities and equipment, and for adequate provision of uniforms and personal equipment.

48. _____Coordinate efforts of different operational units, and resolve any problems that may arise.

49. _____Strive to develop an open atmosphere within the agency that accepts reasonable change, and stimulates creativity and innovation in achieving goals and objectives.

Controlling – How well do they:

50. _____Establish and maintain an adequate administrative reporting system to include a daily report, a monthly report and an annual report.

51. _____Ensure that all agency forms are annually evaluated for their usefulness.

52. _____Manage an automated information system for decision-making with adequate databases (e.g., for predicting workload, determining manpower needs, preparing and administering budgets, program monitoring).

53. _____Specify reasonable standards of performance for each job assignment and insist on their attainment.

54. _____Administer the performance appraisal system specifying clear rater responsibilities and training, documentation of results, and employee   counseling.

55. _____Periodically evaluate agency programs, using clearly state objectives and performance measures.

56. _____Provide a written "Code of Conduct and Appearance," with a copy provided to every employee.

57. _____Administer and upgrade the disciplinary system, providing for training, rewarding with progressive recognition for more commendable actions, counseling and punitive actions with progressive penalties for more serious infractions.

External Actions – The following items constitute agency interface with the community and outside world. While not a part of internal management, they assess professionalism which in turn influences employee pride and morale.

How well do they:

58. _____Establish and administer a system for receiving and following-up on complaints from the public.

59. _____Maintain an aggressive public relations program to guide public perception and thinking into proper channels for better law enforcement.

60. _____Inform the public and news media of events and crimes that affect the lives of citizens in the community, with openness and candor.

61. _____Make appearances before social, civic and governmental groups.

62. _____ Encourage and demonstrate a commitment to the enhancement of professional law enforcement groups (e.g., chiefs' associations, interagency task forces and support groups, state associations, IACP, NSA, PERF, CALEA).

63. _____Join with others to work for the passage of necessary legislation, or the revision/extinction of hindering legislation.

64. _____Receive openly citizen requests for new/additional services and educate them realistically about appropriate and possible provision of services.

Add the total of all points for the 64 questions, to determine your agency **overall** rating:

575-649/Excellent, 512-575/Good, 448-574/Average, 447-below/Poor

To determine your agency rating in each of the areas, add the total points for each set of questions:

Planning - Questions 1 – 11

99-100/Excellent, 88-98/Good, 77-87/Average, 76-below/Poor

Organizing – Questions 12 – 20

81-90/Excellent, 71-80/Good, 63-70/Average, 62-below/Poor

Staffing – Questions 21 – 37

153-170/Excellent, 136-152/Good, 119-135/Average, 118-below/Poor

Directing – Questions 38 – 49

108-120/Excellent, 96-107/Good, 84-95/Average, 83-below/Poor

Control – Questions 50 – 57

72-80/Excellent, 64-71/Good, 56-63/Average, 55-below/Poor

External – Questions 58 – 64

63-70/Excellent, 56-62/Good, 49-55/Average, 48-below/Poor

Reflecting Back – It is helpful to reflect back on your high scores (8-10) and low scores (1-5), in terms of the following:

Objectivity: Are your scores an objective assessment? If other officers/staff from your agency are in the room, did they give the same scores to each item? Would an outside observer?

Rank in Agency: Will those at or near the command level of your agency award scores higher than officers at the first level (patrol officers, troopers, deputies)? Why/why not?

Weak Area: If you were to calculate an average for each of the six areas, which average would be the lowest? What does this say about your agency? Are your agencies strengths and weaknesses typical of comparable agencies?

Patterns: Within each area can we predict which items will be scored high/low by most students in the room? Does this tell us anything about Law Enforcement management today?

What is Your P.O.D.C. Quotient?

Instructions: Respond to each statement on a scale of 0 to 9, with 0 being the most negative and 9 being the most positive.

1. Do you have a three year plan of goals you plan to achieve?   _____

2. Are your business and home areas clean and orderly?   _____

3. Do you delegate appropriate responsibilities?   _____

4. Do you feel that you are in control of your time, rather than at the whim of others?   _____

5. When you do set goals, do you adjust them to compensate for unexpected events?   _____

6. Do you keep your supplies and tools where they are easily accessible?   _____

7. Do you appropriately monitor delegated work?   _____

8. Can you relax and forget work-related stress when you go home?   _____

9. Do you write a weekly list of specific goals you plan to achieve?   _____

10. Do you have an orderly file system where you can find items easily?   _____

11. Do you make important decisions quickly and without delay?   _____

12. Do you feel satisfied with your daily use of time? _____

13. Do you write a daily list of specific activities you plan to do? _____

14. Do you have a Time Organized tickler system? _____

15. Do you start important projects on time, instead of putting them off until later? _____

16. Do others know the best time of day to contact you? _____

17. Do you set priorities for the activities on your to-do list? _____

18. Can you quickly find things you file or put away last month? _____

19. Do you finish all items your plan on doing each day? _____

20. Can you effectively end phone conversations with long-winded callers? _____

21. Have you kept a record of your time use within the last six months? _____

22. Are you on time to work, meetings, and events? _____

23. Do you handle each piece of paperwork you see no more than twice? _____

24. Do you effectively handle interruptions? _____

25. Do you meet business and personal deadlines? _____

26. Have you eliminated one major time waster within the past six months? _____

27. Do you schedule a "quiet time" daily at work and home? _____

28. Do you successfully balance the time you spend on business and personal efforts? _____

This scoring section provides you with an immediate review of those areas where you are strongest and those where you need to develop an action plan to increase your self-management skills.

To determine your individual scores, transfer the score you gave to each of the 28 questions onto the space allotted for each number. As soon as you have completed the transfer, total each column to determine the total score for each category. The table under the Total Scores provides you with a reference to determine your strengths and weaknesses.

PLANNING	ORGANIZING	DIRECTING	CONTROLLING
1 _____	2 _____	3 _____	4 _____
5 _____	6 _____	7 _____	8 _____
9 _____	10 _____	11 _____	12 _____
13 _____	14 _____	15 _____	16 _____
17 _____	18 _____	19 _____	20 _____
21 _____	22 _____	23 _____	24 _____
25 _____	26 _____	27 _____	28 _____

TOTALS

_____   _____   _____   _____

Rate your individual P.O.D.C scores by the following scale:

56-63 Excellent   49-55 Good

42-48 Average   41-below Poor

Add the scores you gave to the 28 questions of the self-management pre-test and rate your overall self-management score by the following scale:

224-252 Excellent   193-223 Good
168-195 Average   167-below Poor

The Management Process in 3-D

by R. Alec Mackenzie

The chart of "The Management Process," begins with the three basic elements with which a manager deals: ideas, things, and people. Management of these three elements is directly related to conceptual thinking (of which planning is an essential part), administration, and leadership. Not surprisingly, two scholars have identified the first three types of managers required in organizations as the planner, the administrator, and the leader.[1]

Exhibit 1 The management process

This diagram shows the different elements, functions, and activities which are part of the management process. At the center are people, ideas, and things, for these are the basic components of every organization with which the manager must work. Ideas create the need for conceptual thinking; things, for administration; people, for leadership.
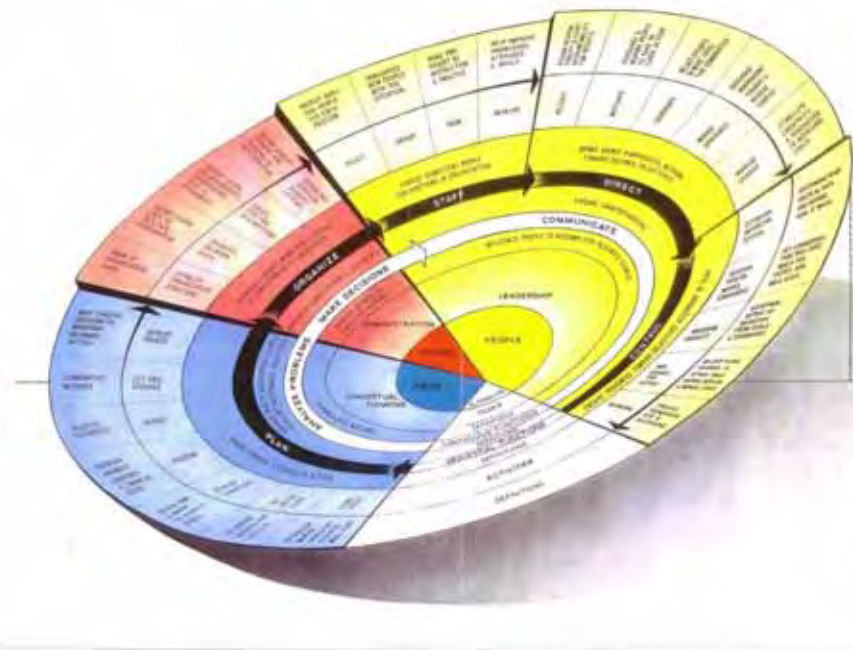
Three functions—problem analysis, decision making, and communication—are important at all times and in all aspects of the manager's job; therefore, they are shown to permeate his work process. However, other functions are likely to occur in predictable sequence; thus, planning, organizing, staffing, directing, and controlling are shown in that order on one of the bands. A manager's interest in any one of them depends on a variety of factors, including his position and the stage of completion of the projects he is most concerned with. He must at all times sense the pulse of his organization. The activities that will be most important to him as he concentrates—now on one function, then on another—are shown on the outer bands of the diagram.

Note the distinction between leader and manager. The terms should not be used interchangeably. While a good manager will often be a good leader, and vice versa, this is not necessarily the case. For example:

In World War II, General George Patton was known for his ability to lead and inspire men on the battlefield, but not for his conceptual abilities. In contrast, General Omar Bradley was known for his conceptual abilities, especially planning and managing a campaign, rather than for his leadership.

Similarly in industry, education, and government it is possible to have an outstanding manager who is not capable of leading people but who, if he recognizes this deficiency, will staff his organization to compensate for it. Alternatively, an entrepreneur may possess charismatic qualities as a leader, yet may lack the administrative capabilities required for overall effective management; and he too must staff to make up for the deficiency.

We are not dealing here with leadership in general. We are dealing with leadership as a function of management. Nor are we dealing with administration in general but, again, as a function of management.

The following definitions are suggested for clarity and simplicity:

- Management—achieving objectives through others.
- Administration—managing the details of executive affairs.
- Leadership—influencing people to accomplish desired objectives.

Functions described

The functions noted in the diagram have been selected after careful study of the works of many leading writers and teachers.[2] While the authorities use different terms and widely varying classifications of functions, I find that there is far more agreement among them than the variations suggest.

Arrows are placed on the diagram to indicate that five of the functions generally tend to be "sequential." More specifically, in an undertaking one ought first to ask what the purpose or objective is which gives rise to the function of *planning*; then comes the function of *organizing*—determining the way in which the work is to be broken down into manageable units; after that is *staffing*, selecting qualified people to do the work; next is *directing*, bringing about purposeful action toward desired objectives; finally, the function of *control* is the measurement of results against the plan, the rewarding of the people according to their performance, and the replanning of the work to make corrections—thus starting the cycle over again as the process *repeats itself*.

Three functions—analyzing problems, making decisions, and communicating—are called "general" or "continuous" functions because they occur throughout the management process rather than in any particular sequence. For example, many decisions will be made throughout the planning process as well as during the organizing, directing, and controlling processes. Equally, there must be communication for many of the functions and activities to be effective. And the active manager will be employing problem analysis throughout all of the sequential functions of management.

In actual practice, of course, the various functions and activities tend to merge. While selecting a top manager, for example, an executive may well be planning new activities which this manager's capabilities will make possible, and may even be visualizing the organizational impact of these plans and the controls which will be necessary.

Simplified definitions are added for each of the functions and activities to ensure understanding of what is meant by the basic elements described.

Prospective gains

Hopefully, this diagram of the management process will produce a variety of benefits for practitioners and students. Among these benefits are:

- A unified concept of managerial functions and activities.
- A way to fit together all generally accepted activities of management.
- A move toward standardization of terminology.
- The identifying and relating of such activities as problem analysis, management of change, and management of differences.
- Help to beginning students of management in seeing the "boundaries of the ballpark" and sensing the sequential relationships of others.
- Clearer distinctions between the leadership, administrative, and strategic planning functions of management.
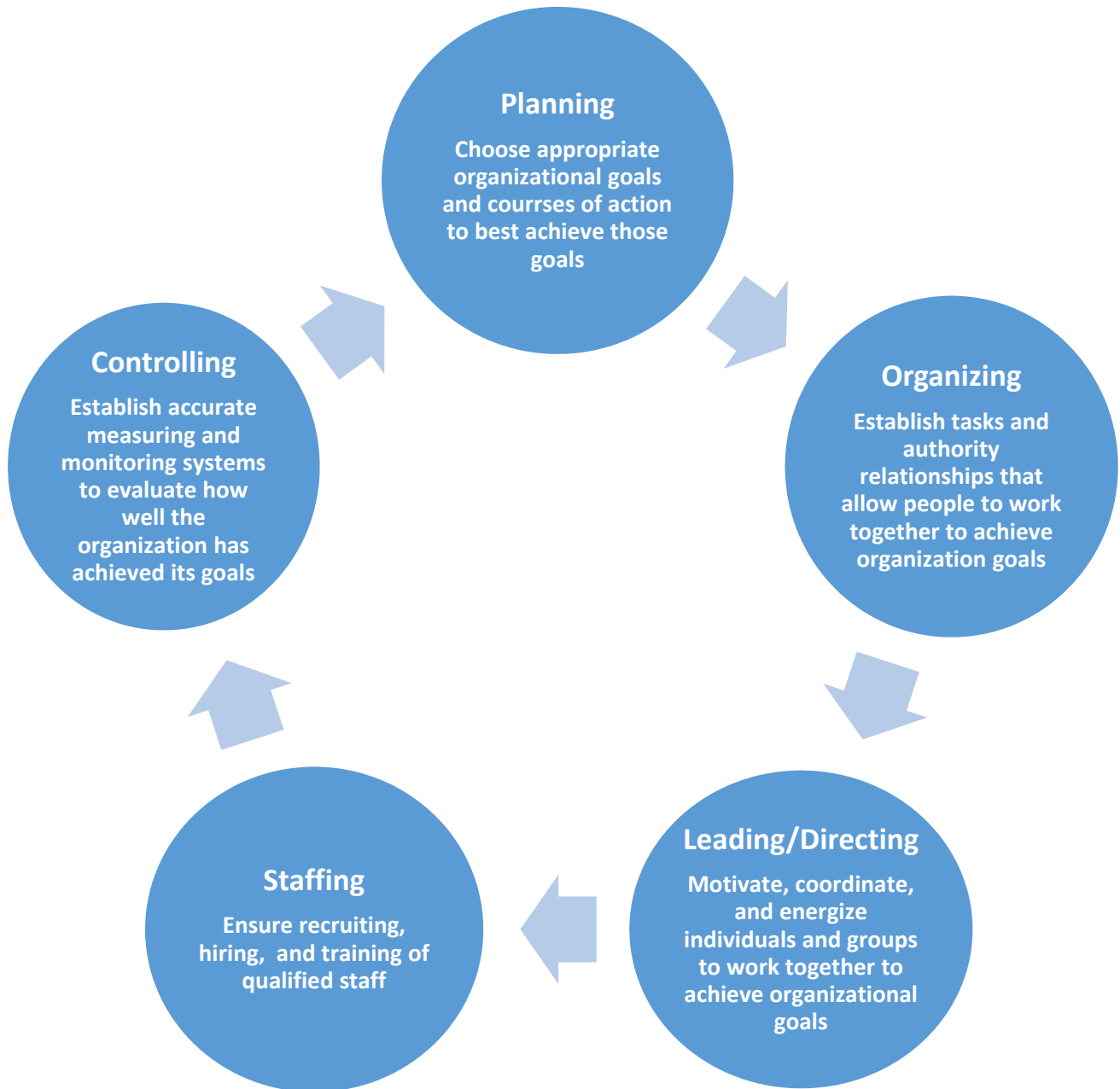
In addition, the diagram should appeal to those who, like myself, would like to see more emphasis on the "behaviorist" functions of management, for it elevates staffing and communicating to the level of a function. Moreover, it establishes functions and activities as the two most important terms for describing the job of the manager.

1. See H. Igor Ansoff and R.G. Brandenburg, "The General Manager of the Future," California Management Review, Spring 1969, p. 61.
2. The following studies were particularly helpful: Harold Koontz, Toward a Unified Theory of Management (New York, McGraw-Hill Book Company, 1964); Philip W. Shay, "The Theory and Practice of Management," Association of Consulting Management Engineers, 1967; Louis A. Allen, The Management Profession (New York, McGraw-Hill Book Company, 1964), a particularly useful analysis of managerial functions and activities; Ralph C. Davis, Fundamentals of Top Management (New York, Harper & Brothers, 1951); Harold F. Smiddy, "GE's Philosophy & Approach for Manager Development," General Management Series # 174, American Management Association, 1955; George R. Terry, Principles of Management (Homewood, Illinois, Richard D. Irwin, Inc., 1956); William H. Newman, Administrative Action (Englewood Cliffs, N.J., Prentice-Hall, Inc., 1950); Lawrence A. Appley, Values in Management (New York, American Management Association, 1969); Ordway Tead, Administration: Its Purpose and Performance (New York, Harper & Brothers, 1959); Peter F. Drucker, The Practice of Management (New York, Harper & Row, 1954).

Mr. Mackenzie is Vice President of The Presidents Association, Inc., an organization affiliated with the American Management Association. He has had extensive experience in planning, organizing, and teaching seminars for businessmen here and abroad. He is coauthor with Ted W. Engstrom of Managing Your Time (Zondervan Publishing House, 1967).

Five Functions of Management

Planning

Choose appropriate organizational goals and courrses of action to best achieve those goals

Organizing

Establish tasks and authority relationships that allow people to work together to achieve organization goals

Controlling

Establish accurate measuring and monitoring systems to evaluate how well the organization has achieved its goals

Leading/Directing

Motivate, coordinate, and energize individuals and groups to work together to achieve organizational goals

Staffing

Ensure recruiting, hiring, and training of qualified staff

Management Skills Function Matrix

Skill	Function			
	Planning	**Organizing**	**Directing/Leading**	**Controlling**
Acquiring Power		✓	✓	
Active Listening			✓	✓
Budgeting	✓			✓
Choosing an effective Leadership style			✓	
Coaching			✓	
Creating Effective Teams		✓	✓	
Delegating (empowerment)		✓	✓	
Designing Motivating Jobs		✓	✓	
Developing Trust			✓	
Discipline			✓	✓
Interviewing		✓	✓	
Managing Conflict			✓	✓
Managing Resistance to Change		✓	✓	✓
Mentoring			✓	
Negotiating			✓	
Providing Feedback			✓	✓
Reading Organizational Culture		✓	✓	
Running Productive Meetings	✓	✓	✓	✓
Scanning the Environment	✓			✓
Setting Goals	✓			✓
Solving Problems Creatively	✓	✓	✓	✓
Valuing Diversity	✓	✓	✓	✓

SWOTT Analysis
Understanding Strengths, Weaknesses, Opportunities, Threats, and Trends

Why use the tool?

SWOTT Analysis is an effective way of identifying your Strengths and Weaknesses, and of examining the Opportunities, Threats, and Trends you face.

How to use tool:

To carry out a SWOTT Analysis write down answers to the following questions. Where appropriate, use similar questions:

Strengths:

- What advantages do you have?
- What do you do well?
- What relevant resources do you have access to?
- What do other people see as your strengths?

Consider this from your own point of view and from the point of view of the people you deal with. Don't be modest. Be realistic. If you are having any difficulty with this, try writing down a list of your characteristics. Some of these will hopefully be strengths!

Weaknesses:

- What could you improve?
- What do you do badly?
- What should you avoid?

Again, consider this from an internal and external basis: Do other people seem to perceive weaknesses that you do not see? Are your competitors doing any better than you? It is best to be realistic now, and face any unpleasant truths as soon as possible.

Opportunities:

- Where are the good opportunities facing you?
- What are the interesting trends you are aware of?

Useful opportunities can come from such things as:

- Changes in technology and markets on both a broad and narrow scale
- Changes in government policy related to your field
- Changes in social patterns, population profiles, lifestyle changes, etc.
- Local Events

A useful approach to looking at opportunities is to look at your strengths and ask yourself whether these open up any opportunities. Alternatively, look at your weaknesses and ask yourself whether you could open up opportunities by eliminating them.

Threats:

- What obstacles do you face?
- What is your competition doing?
- Are the required specifications for your job or services changing?
- Is changing technology threatening your position?
- Do you have bad debt or cash-flow problems?
- Could any of your weaknesses seriously threaten your opportunity for promotion and/or success?

Trends:

- What are the current trends in the industry?
- What do I need to do to make myself more competitive?

Carrying out this analysis will often be illuminating - both in terms of pointing out what needs to be done, and in putting problems into perspective.

Key points:

SWOTT analysis is a framework for analyzing your strengths and weaknesses, and the opportunities, threats and trends you face. This will help you to focus on your strengths, minimize weaknesses, and take the greatest possible advantage of opportunities available.

Carrying out a personal SWOTT Analysis is an important step in finding life and career direction.

Strength

Weakness

POSITIVE

NEGATIVE

S W
O T
T

SWOT

Opportunity

Threat

Trends

Managerial Skills

(A summary of Katz's HBR article) M.J. Arul

What makes a good manager? Innate traits or acquired skills? Assuming that a manager is one who directs the activities of other persons and undertakes the responsibility for achievement of objectives through such efforts, successful management seems to rest on three basic developable skills: technical, human and conceptual. The relative importance of these three skills varies with the level of managerial responsibility. (See diagram, below.)

Technical Skill

The technical skill implies an understanding of and proficiency in a specific kind of activity, particularly one involving methods, processes, procedures, or techniques; it involves specialized knowledge, analytical ability within that specialty, and facility in the use of the tools and techniques of the specific discipline. Vocational and on-the-job training programs largely do a good job in developing this skill.

Human Skill

This refers to the ability to work with, understand and motivate other people; the way the individual perceives (and recognizes the perceptions of) his superiors, equals, and subordinates, and the way he behaves subsequently. The person with highly developed human skills is aware of his own attitudes, assumptions, and beliefs about other individuals and groups; he is able to see the usefulness and limitations of these feelings. He is sufficiently sensitive to the needs and motivations of others in his organization so that he can judge the possible reactions to, and outcomes of, the various courses of action he may undertake.

Human skills could be usefully divided into (a) leadership ability within the manager's own unit and (b) skill in intergroup relationships. Experience shows that outstanding capability in one of these roles is frequently accompanied by mediocre performance in the other. Intragroup skills are essential in lower and middle management roles and intergroup skills become increasingly important in successively higher levels of management.

To acquire the Human Skill, the executive must develop his own personal point of view toward human activity so that he will (a) recognize the feelings and sentiments which he brings to a situation, (b) have an attitude about his own experience which will enable him to re-evaluate and learn from them, (c) develop ability in understanding what others by their actions and words are trying to communicate to him and (d) develop ability in successfully communicating his ideas and attitudes to others.

The process of acquiring this ability can be effectively aided by a skilled instructor through use of case problems coupled with impromptu role playing. It is important that the trainee self-examines his own concepts and values, which may enable him to develop more useful attitudes about himself and about others.

Conceptual Skill

This skill involves the ability to see the enterprise as a whole; it includes recognizing how the various functions of the organization depend on one another, and how changes in any one part affect all the others; and it extends to visualizing the relationship of the individual business to the industry, the community, and the political, social and economic forces of the nation as a whole.

The conceptual skill involves thinking in terms of the following: relative emphasis and priorities among conflicting objectives and criteria; relative tendencies and probabilities (rather than certainties); rough correlations and patterns among elements (rather than clear-cut cause-and-effect relationships).

Training can enhance previously developed conceptual abilities. In developing the conceptual skill, some of the best results have been achieved through "coaching" of subordinates by superiors. One way a superior can help "coach" his subordinate is by assigning a particular responsibility, and then responding with searching questions or opinions, rather than giving answers.

Another excellent way to develop this skill is through trading jobs: by moving promising young men and women through different functions of the business but at the same level of responsibility. Special assignments, particularly the kind which involve inter-departmental problems, can also help develop this skill.

Relative Significance of Managerial Skills

Conceptual	Conceptual	Conceptual
Human	Human	Human
Technical	Technical	Technical *
Supervisory level	**Middle mgmt level**	**Top mgmt level**

* Technical skills are not so important for the chief executives in large organizations where such executives have extensive staff assistance and highly competent, experienced technical operators are available. In smaller organizations, however, where technical expertise is not as pervasive and seasoned staff assistance is not available, the chief executive has a much greater need for personal experience in the industry.

Manager Competencies

Commitment to Continuous Learning – taking actions to improve personal and professional skills, knowledge and abilities, may require self-directed, self-paced learning or ensuring that you are always at the leading edge of field.

- Analyzes own performance, prepares and follows personal development plan, takes short-term actions to improve performance in current job
- Keeps current I own field of expertise taking initiative to understand up-to-date information and best practices
- Actively seeks feedback from others, integrates feedback into personal development plan and modifies thinking and behavior
- Pursues long-term development plans by independently analyzing future requirements in personal career goals and law enforcement trends

Conceptual Thinking – Ability to identify patterns or connections between situations that are not obviously related, and to identify key or underlying issues in complex situations. It includes using creative, conceptual or inductive reasoning.

- Uses basic skills and knowledge of past experiences to identify problems
- Sees patterns between current situation and past situation; points out patterns, trends, or missing information to others
- Applies and modifies complex learned concepts or methods to new situations
- Clarifies complex data or situations into a clear presentation; integrates many small pieces of information to make sense of them

Public Focus – Focus on discovering and meeting public needs.

- Follows up on public inquiries, requests, and complaints
- Maintains clear communication with the public
- Takes personal responsibility for correcting public problems within areas of responsibility
- Makes self-available to public particularly during critical time periods
- Makes concrete attempt to make things better for the public
- Addresses underlying public need, seeks information and matches needs to services
- Identifies solutions that have long-term benefits for the public

Developing Others – fostering the long-term learning or development of others.

- Expresses positive expectations of others regarding future abilities or potential to learn
- Gives detailed instructions to explain how to do task, gives on-the-job demonstrations and helpful suggestions
- Gives reasons for tasks and uses methods such as question to confirm others have understood directions
- Gives specific feedback, positive and corrective, and assesses competence of others so as to delegate full responsibility when they are ready
- Gives constructive behavioral and performance feedback rather than criticizing personal traits
- Does longer-term coaching or training of others, arranging appropriate assignments and experiences to foster learning, and build skills
- Designs new programs to meet training needs of staff

Initiative / Proactivity – take independent action or proactively create opportunities to resolve or prevent problems in keeping with role.

- Shows persistence in overcoming obstacles when things do not go smoothly
- Addresses present problems rather than ignoring them
- Acts proactively in the short term (one to three months ahead)
- Act proactively with an eye on the current year (four to twelve months ahead)
- Anticipates and acts with future in mind (one to two years ahead)

Leadership – Taking a role as leader of a team or other group. Leadership is often, but not always, shown from a position of formal authority.

- Manages meetings – sets agendas and objectives, controls time, gives assignments
- Keeps those affected by decisions informed and provides reasons for decisions
- Uses formal authority and power in a fair manner; treats everyone fairly
- Promotes team effectiveness – enhances team morale and productivity; publicly credits others
- Preserves the team and its reputation in the organization
- Positions self as leader – models desired behavior; secures team members' "buy-in" regarding mission, goals, and policies
- Communicates a compelling vision

Strategic Business Sense – the ability to understand the implications of decisions and the ability to strive to improve agency performance. It requires an awareness of business issues, processes and outcomes as they impact the agency and the public.

- Understands basic business fundamentals – how own job fits in relation to the agency mission and objectives
- Understands tactical business fundamentals and incorporates them into decision making
- Is aware of general economic conditions
- Thinks in strategic terms when evaluating own strategic actions against agency strategic goals
- Proactive in planning actions to align with agency strategic goals and to meet external events

Teamwork and Cooperation – working co-operatively with others, being part of a team working together, as opposed to working separately or competitively.

- Co-operates by participating with others in doing own share of work
- Keeps others informed of relevant or useful information
- Expresses positive expectations of team members
- Encourages group members to contribute
- Values and solicits ideas and opinions from others
- Assist others in the accomplishment of team goals
- Acts to promote positive climate, good morale, and cooperation within the team
- ➢ Brings team conflict out into the open and encourages or facilitates a beneficial resolution
- Expected behaviors
- ➢ Target behaviors
- ❖ Behaviors beyond target

Manager Competencies – Technical Expertise

Performance Planning, Feedback & Evaluation – Enabling and developing direct reports through effective use of the Performance Management and Employee Development processes. Demonstrates competency in such activities as goal setting, training and development, career planning, performance coaching and performance evaluation.

- Novice: Limited understanding; is given clear and specific instructions to get job done
- Working Knowledge: Understands enough to independently handle most tasks in this area most of the time but is supplied with direction for work objectives
- Experienced Knowledge: Technically experienced and fully competent; can exercise independent judgment regarding all technical issues; understands how area of knowledge relates to broader issues
- ➢ Expert Knowledge: Specialist knowledge of the area; is relief on for guidance
- ❖ Teaching Knowledge: Understands which aspects of this knowledge area need to be transferred to others in order to achieve agency goals; plays a role in transferring skills and knowledge to others

Project Management – The ability to plan and organize resources to deliver required objectives in a defined situation.

- Novice: Limited understanding; is given clear and specific instructions to get job done
- Working Knowledge: Understands enough to independently handle most tasks in his/her area most of the time but is supplied with direction for work objectives
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- Expected behaviors
- ➢ Target behaviors
- ❖ Behaviors beyond target

Core Competencies with Skill Levels

Domain #1:Analytic Assessment Skill

Specific Competencies	Front Line Staff	Supervisory Staff	Management Staff
Defines a problem	Knowledgeable to proficient	Proficient	Proficient
Determines appropriate uses and limitations of both quantitative and qualitative data	Aware to knowledgeable	Proficient	Proficient
Selects and defines variables relevant to defined public problems	Aware to knowledgeable	Proficient	Proficient
Identifies relevant and appropriate data and information sources	Knowledgeable	Proficient	Proficient
Evaluates the integrity and comparability of data and identifies gaps in data sources	Aware	Proficient	Proficient
Applies ethical principles to the collection, maintenance, use, and dissemination of data and information	Knowledgeable to proficient	Proficient	Proficient
Partners with communities to attach meaning to collected quantitative and qualitative data	Aware to knowledgeable	Proficient	Proficient
Makes relevant inferences from quantitative and qualitative data	Aware to knowledgeable	Proficient	Proficient
Obtains and interprets information regarding risks and benefits to the community	Aware to knowledgeable	Proficient	Proficient
Applies data collection processes, information technology applications, and computer systems storage/retrieval strategies	Aware to knowledgeable	Knowledgeable to proficient	Knowledgeable to proficient
Recognizes how the data illuminates ethical, political, economic, and overall public issues	Aware	Knowledgeable to proficient	Proficient

Domain #2: Policy Development/Program Planning Skills

Specific Competencies	Front Line Staff	Supervisory Staff	Management Staff
Collects, summarizes, and interprets information relevant to an issue	Knowledgeable	Proficient	Proficient
States policy options and writes clear and concise policy statements	Aware	Knowledgeable to proficient	Proficient
Identifies, interprets, and implements laws, regulations, and policies related to specific programs	Aware	Knowledgeable to proficient	Proficient
Articulates the fiscal, administrative, legal, social, and political implications of each policy option	Aware	Knowledgeable	Proficient
States the feasibility and expected outcomes of each policy option	Aware	Knowledgeable	Proficient
Utilizes current techniques in decision analysis and planning	Aware	Knowledgeable to proficient	Proficient
Decides on the appropriate course of action	Aware	Knowledgeable to proficient	Proficient
Develops a plan to implement policy, including goals, outcome and process objectives, and implementation steps	Aware	Knowledgeable to proficient	Proficient
Translates policy into organizational plans, structures, and programs	Aware	Knowledgeable to proficient	Proficient
Prepares and implements emergency response plans	Aware to knowledgeable	Knowledgeable to proficient	Proficient
Develops mechanisms to monitor and evaluate programs for their effectiveness and quality	Aware to knowledgeable	Proficient	Proficient

Domain #3: Communication Skills

Specific Competencies	Front Line Staff	Supervisory Staff	Management Staff
Communicates effectively both in writing and orally, or in other ways	Proficient	Proficient	Proficient
Solicits input from individuals and organizations	Knowledgeable to proficient	Proficient	Proficient
Advocates for public programs and resources	Knowledgeable	Proficient	Proficient
Leads and participates in groups to address specific issues	Knowledgeable	Proficient	Proficient
Uses the media, advanced technologies, and community networks to communicate information	Aware to knowledgeable	Proficient	Proficient
Effectively presents accurate demographic, statistical, programmatic, and scientific information for professional and lay audiences	Knowledgeable	Proficient	Proficient

Attitudes

Specific Competencies	Front Line Staff	Supervisory Staff	Management Staff
Listens to others in an unbiased manner, respects points of view of others, and promotes the expression of diverse opinions and perspectives	Proficient	Proficient	Proficient

Domain #4: Cultural Competency Skills

Specific Competencies	Front Line Staff	Supervisory Staff	Management Staff
Utilizes appropriate methods for interacting sensitively, effectively, and professionally with persons from diverse cultural, socioeconomic, educational, racial, ethnic and professional backgrounds, and persons of all ages and lifestyle preferences	Proficient	Proficient	Proficient
Identifies the role of cultural, social, and behavioral factors in determining the delivery of public services	Knowledgeable	Proficient	Proficient
Develops and adapts approaches to problems that take into account cultural differences	Proficient	Proficient	Proficient

Attitudes

Specific Competencies	Front Line Staff	Supervisory Staff	Management Staff
Understands the dynamic forces contributing to cultural diversity	Knowledgeable	Knowledgeable to proficient	Proficient
Understands the importance of a diverse law enforcement workforce	Knowledgeable	Proficient	Proficient

Domain #5: Community Dimensions of Practice Skills

Specific Competencies	Front Line Staff	Supervisory Staff	Management Staff
Establishes and maintains linkages with key stakeholders	Knowledgeable	Proficient	Proficient
Utilizes leadership, team building, negotiation, and conflict resolution skills to build community partnerships	Aware to proficient	Proficient	Proficient
Collaborates with community partners to promote the well-being of the population	Knowledgeable to proficient	Proficient	Proficient
Identifies how public and private organizations operate within a community	Knowledgeable	Proficient	Proficient
Accomplishes effective community engagements	Aware to knowledgeable	Proficient	Proficient
Identifies community assets and available resources	Knowledgeable to proficient	Proficient	Proficient
Develops, implements, and evaluates a community assessment	Knowledgeable	Proficient	Proficient
Describes the role of law enforcement in the community	Knowledgeable	Proficient	Proficient

Domain #6: Financial Planning and Management Skills

Specific Competencies	Front Line Staff	Supervisory Staff	Management Staff
Develops and presents a budget	Aware	Knowledgeable	Proficient
Manages programs within budget constraints	Aware	Knowledgeable to proficient	Proficient
Applies budget processes	Aware	Knowledgeable	Proficient

Specific Competencies	Front Line Staff	Supervisory Staff	Management Staff
Develops strategies for determining budget priorities	Aware	Knowledgeable	Proficient
Monitors program performance	Aware to knowledgeable	Proficient	Proficient
Prepares proposals for funding from external sources	Aware	Proficient	Proficient
Applies basic human relations skills to the management of organizations, motivation of personnel, and resolution of conflicts	Aware to knowledgeable	Proficient	Proficient
Manages information systems for collection, retrieval, and use of data for decision-making	Aware	Knowledgeable to proficient	Proficient
Negotiates and develops contracts and other documents for the provision of population-based services	Aware	Knowledgeable	Proficient
Conducts cost-effectiveness, cost-benefit, and cost utility analyses	Aware	Knowledgeable	Proficient
Domain #7: Leadership and Systems Thinking Skills			
Creates a culture of ethical standards within organizations and communities	Knowledgeable to proficient	Proficient	Proficient
Helps create key values and shared vision and uses these principles to guide action	Aware to knowledgeable	Knowledgeable to proficient	Proficient
Identifies internal and external issues that may impact delivery of essential law enforcement services (i.e. strategic planning)	Aware	Knowledgeable to proficient	Proficient
Facilitates collaboration with internal and external groups to ensure participation of key stakeholders	Aware	Knowledgeable to proficient	Proficient
Promotes team and organizational learning	Knowledgeable	Knowledgeable to proficient	Proficient
Contributes to development, implementation, and monitoring of organizational performance standards	Aware to knowledgeable	Knowledgeable to proficient	Proficient
Uses the legal and political system to effect change	Aware	Knowledgeable	Proficient
Applies the theory of organizational structures to professional practice	Aware	Knowledgeable	Proficient

List of 31 Core Competencies

I. *Competencies Dealing with People*
1. **Establishing Focus:** The ability to develop and communicate goals in support of the business' mission.
2. **Providing Motivational Support:** The ability to enhance others' commitment to their work.
3. **Fostering Teamwork:** As a team member, the ability and desire to work cooperatively with others on a team; as a team leader, the ability to demonstrate interest, skill, and success in getting groups to learn to work together.
4. **Empowering Others:** The ability to convey confidence in employees' ability to be successful, especially at challenging new tasks; delegating significant responsibility and authority; allowing employees freedom to decide how they will accomplish their goals and resolve issues.
5. **Managing Change:** The ability to demonstrate support for innovation and for organizational changes needed to improve the organization's effectiveness; initiating, sponsoring, and implementing organizational change; helping others to successfully manage organizational change.
6. **Developing Others:** The ability to delegate responsibility and to work with others and coach them to develop their capabilities.
7. **Managing Performance:** The ability to take responsibility for one's own or one's employees' performance, by setting clear goals and expectations, tracking progress against the goals, ensuring feedback, and addressing performance problems and issues promptly.

8. **Attention to Communication:** The ability to ensure that information is passed on to others who should be kept informed.
9. **Oral Communication:** The ability to express oneself clearly in conversations and interactions with others.
10. **Written Communication:** The ability to express oneself clearly in business writing.
11. **Persuasive Communication:** The ability to plan and deliver oral and written communications that make an impact and persuade their intended audiences.
12. **Interpersonal Awareness:** The ability to notice, interpret, and anticipate others' concerns and feelings, and to communicate this awareness empathetically to others.
13. **Influencing Others:** The ability to gain others' support for ideas, proposals, projects, and solutions.
14. **Building Collaborative Relationships:** The ability to develop, maintain, and strengthen partnerships with others inside or outside the organization who can provide information, assistance, and support.
15. **Customer Orientation:** The ability to demonstrate concern for satisfying one's external and/or internal customers.

II. *Competencies Dealing with Business*
16. **Diagnostic Information Gathering:** The ability to identify the information needed to clarify a situation, seek that information from appropriate sources, and use skillful questioning to draw out the information, when others are reluctant to disclose it
17. **Analytical Thinking:** The ability to tackle a problem by using a logical, systematic, sequential approach.
18. **Forward Thinking:** The ability to anticipate the implications and consequences of situations and take appropriate action to be prepared for possible contingencies.
19. **Conceptual Thinking:** The ability to find effective solutions by taking a holistic, abstract, or theoretical perspective.
20. **Strategic Thinking:** The ability to analyze the organization's competitive position by considering market and industry trends, existing and potential customers (internal and external), and strengths and weaknesses as compared to competitors.
21. **Technical Expertise:** The ability to demonstrate depth of knowledge and skill in a technical area.
22. **Initiative:** Identifying what needs to be done and doing it before being asked or before the situation requires it.
23. **Entrepreneurial Orientation:** The ability to look for and seize opportunities; willingness to take calculated risks to achieve goals.
24. **Fostering Innovation:** The ability to develop, sponsor, or support the introduction of new and improved method, products, procedures, or technologies.
25. **Results Orientation:** The ability to focus on the desired result of one's own or one's unit's work, setting challenging goals, focusing effort on the goals, and meeting or exceeding them.
26. **Thoroughness:** Ensuring that one's own and others' work and information are complete and accurate; carefully preparing for meetings and presentations; following up with others to ensure that agreements and commitments have been fulfilled.
27. **Decisiveness:** The ability to make difficult decisions in a timely manner.

III. *Self-Management Competencies*
28. **Self Confidence:** Faith in one's own ideas and capability to be successful; willingness to take an independent position in the face of opposition.
29. **Stress Management:** The ability to keep functioning effectively when under pressure and maintain self-control in the face of hostility or provocation.
30. **Personal Credibility:** Demonstrated concern that one be perceived as responsible, reliable, and trustworthy.
31. **Flexibility:** Openness to different and new ways of doing things; willingness to modify one's preferred way of doing things.

20 Manager Competencies

Competencies are defined as the abilities, skills, knowledge, and motivation needed for success on the job.

1. **Ethics and Values** – whether writing a code or developing an ethics program, organizations need to identify and define a set of values that represent the ethical ideals of the organization. Managers need honesty and conformity to law; aware and avoid conflicts of interests; service orientation and procedural fairness; the ethic of democratic responsibility; the ethic of public policy determination; and the ethic of compromise and social integration.
2. **Vision and Mission** – has a vision and a personal and business mission statement and is able to motivate others to achieve goals.
3. **Leadership** – Inspires, motivates, and guides others toward goals; trains and coaches, mentors, and challenges staff; adapts leadership styles to various situations; and models high standards of honesty, integrity, trust, openness, and respect for the diversity of individuals by applying these values daily.
4. **Strategic Thinking** – uses Analytical/Critical/Conceptual/Creative/Intuitive thinking to break issues down, judge and evaluate carefully, and develop an action plan.
5. **Communication** – Clearly conveys information and ideas, through a variety of media, to individuals in a manner that engages the audience and helps them understand and retain the message. Keeps open lines of communication horizontally and vertically (up/down/across).
6. **Adaptability** – Maintains effectiveness when experiencing major changes
7. **Building Trust** – Interacts with others in a way that gives them confidence
8. **Interpersonal Skills** – Considers and responds appropriately to the needs, feelings, and capabilities of others and adjusts approaches to suit different people and situations.
9. **Decision Making** – Identifies and understands issues, problems, and opportunities; compares data from different sources to draw conclusions; uses effective approaches for choosing a course of action or develops appropriate solutions; and takes action that is consistent with available facts, constraints, and probable consequences.
10. **Managing Conflict** – ability to investigate and gather facts to evaluate and solve conflict.
11. **Written Communications** – Expresses facts and ideas in writing in a succinct and organized manner.
12. **Problem Solving and Decision Making** – Understands the problem solving matrix, is able to find the root of the problem, develop action plan, make a decision, evaluate, and adjust.
13. **Manages Change** – thoughtful planning and sensitive implementation, and above all, consultation with, and involvement of, the people affected by the changes.
14. **Human Resource Management** – Reviews subordinates in a timely and efficient manner; praises and supports subordinates appropriately; and counsels, coaches, and disciplines subordinates as necessary. Identifies program deficiencies and implements corrective action.
15. **Innovation** – Generates innovative solutions in work situations; trying different and novel ways to deal with work problems and opportunities.
16. **Planning and Organizing** – Establishes courses of action for self and staff to ensure that work is completed efficiently.
17. **Technical Expertise** – Uses knowledge that is acquired through formal training and/or job experience to perform; works with, understands, and evaluates technical information related to the job; and advises others on technical issues.
18. **Manages the Budget and Finances** – to ensure implementation of the agency's vision and mission.
19. Manages External Environment – represent the agency in the community; maintain a good working relationship with other government and community agencies; promotes volunteer opportunities.
20. **Manages Self** – maintains professionalism at all time in voice, actions, dress, and decisions. Is always responsive not reactive.

What is a Manager?

Five Managerial Objectives

Manage Your Boss

Manage Your Collegues

Manage Yourself

Manage People You Serve

Manage Your Staff

Leadership versus Management

by Bonnie Bucqueroux

The best police departments benefit from excellent leadership and superior management. But what we must remember are the differences between the two -- and the fact that the same person may not be good at both.

LEADER	MANAGER
Vision	Implementation
"Big Picture"	Detail
Long Term	Short Term
Inspire	Direct
Strategic Planning	Action Planning
Outline Framework	Assess Progress
Proactive	Reactive
Motivate	Facilitate
Change Agent	Steady Hand
Delegate	Delegate
Communicate	Communicate

Leadership - Leadership rests on vision - what the late Bob Trojanowicz characterized as the ability to paint the Big Picture. A leader is someone who can persuade other people to envision a better future and inspire them to work enthusiastically to make that dream a reality. Some leaders can persuade by sheer charisma, but that can result in a shaky foundation for long-term change. Others wisely rely on including key stakeholders in the decision-making process, grounding major decisions in consensus. The challenge of leadership also requires communicating, clearly and consistently, what the future should look like and what it will take to get there.

Management - Management is the ability to structure and supervise the changes that can make that vision a reality. The manager's job is to focus on the individual brush strokes that make up the Big Picture, prodding people to do their best, overcoming obstacles and pitfalls, and documenting and assessing progress toward ultimate goals.

On rare occasion, a great leader is also a great manager and vice versa. Lincoln apparently not only had the ability to inspire, but also the skills to manage the steps required to make his vision a reality. Yet it is more likely that a person is one or the other. President Reagan, like him or not, was clearly an exceptional leader. His successor, President Bush, like him or not, was more the manager. The challenge for police departments is to make sure that they strive for excellence in both categories.

Both are essential

It is a mistake to think of leaders as to managers. If a police department is going to implement a change as profound as implementing community policing, it will need the skills of both.

It would also be a mistake to think of leadership and management as the sole province of the chief and top command. As Drew Diamond of the Police Executive Research Forum notes, all people have both positional and personal power. The chief clearly has the top leadership position, and that position has power. But in almost any police department, it wouldn't take long to come up with a list of sergeants with the positional and personal power to make or break any chief's best-laid plans. Or think of the officer who, by force of personality, can inspire his peers to do their best. The challenge is to harness the personal and positional potential at all levels in service of implementing community policing.

Qualities of a Successful Police Manager

Patience – managers must be calm and steadfast, despite opposition to their beliefs, opinions, and attitudes.

Wisdom – managers must have the ability to fairly and equitably judge the behaviors and actions of subordinates.

Virtue – managers must show moral excellence, not only speaking it, but also by everyday actions in dealing with departmental problems and personal issues.

Empathy – managers must learn to accept and understand the feelings of their subordinates, always being prepared to see others in a positive light.

Kindness – managers must try to be kind and gentle in all their dealing with others.

Trust – managers must develop confidence in subordinates, not just respecting their position or knowledge, but also allowing them to achieve their personal goals as well as those of the organization.

Knowledge – managers must constantly attempt to upgrade their knowledge of technical matters, the management theories being developed and implemented in government and industry, and facts as they occur within their own department.

Self-Control – managers must be able to restrain their emotions.

Police Managers Can Develop These Qualities by:

- ✓ Showing a high frustration tolerance.
- ✓ Encouraging full participation of subordinates
- ✓ Emphasizing the subordinate's right to express another point of view
- ✓ Understanding the rules and acts of ethical competitive warfare
- ✓ Expressing hostility tactfully
- ✓ Accepting victory with controlled emotions
- ✓ Never permitting setbacks to defeat them
- ✓ Knowing how to "be their own boss"
- ✓ Continually seeking success
- ✓ Being experts in their field

Tenets for the Modern Day Police Leader

1. **The Mission** – Begin with the end in mind – do not worry about what everyone else things!
2. **Discipline** – Persevere! *This is the bridge between achieving goals and accomplishment!*
3. **The Challenge of Change** – Embrace it, it presents opportunities to excel!
4. **Competence** – Know your job and work on improving it!
5. **Appearance** – <u>Look</u> like, <u>walk</u> like and <u>act</u> like a leader!
6. **Courage** – Stand up for what is right!
7. **Character** – Integrity and honesty guides your life!
8. **Humility** – do your job quietly; have self-confidence and not arrogance!
9. **Openness** – Be approachable and demonstrate you care!
10. **Decisiveness** – Be <u>empowered</u>. Make timely and informed decisions!
11. **Communications** – Information is critical – up, down, and across
12. **Respect others** – Give it and you will get it!
13. **Training** – Make your personnel the best they can be!
14. **Recognition** – Reward performers
15. **Listen** – Never be too busy! Pay attention to subordinates
16. **Attitude** – *Great Leaders* do not have the right to be negative!

17. **Responsibility** – Take ownership of the good and the bad!
18. **Mentor** – Groom potential <u>All-Stars</u>! (succession planning)
19. **Compassion** – Demonstrate a sincere interest in subordinates!
20. **Think ahead** – Always have a plan – there is no playbook for each and every situation.

THE HEART OF LEADERSHIP
DEVELOPMENT IS
SELF-DEVELOPMENT

1 DISCOVER who you really are—

Your actions, behaviors, beliefs and values. *Your REAL self.*

2 DEVELOP a clear vision

Of who you want to be as a leader. *Your IDEAL self.*

3 DESIGN a plan—

To improve your KSAs (knowledge, skills, and abilities) and modify your limiting behaviors, beliefs, and vision.

4 DEVELOP relationships—

They must be powerful and authentic with people who will: push you, support you, hold you accountable, and tell you the truth.

5 DELIVER the results—

Follow through by practicing the new skills and vision you have designed in your plan.

Free Online Management Training & Leadership Skills Course

Business Management Certification

Our free online management training and leadership skills course will teach you management concepts, leadership styles, and the fundamentals of a mini-MBA business management certifications program. It is the perfect management training solution for busy professionals who need to balance work, family, and career building.

- Study at no cost
- Study when it is convenient
- Study from your own computer
- Study online over the Internet
- No need to register or enroll
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- Option for a **Master Certificate in Business Management & Certification Reference Letter**

Management Training & Leadership Skills Course Introduction

Lesson 1 – How to be a Great Manager through Strong Leadership

Lesson 2 – How to Manage and Organize your Department to Meet the Goals

Lesson 3: How to Manage your Employees & Build a Strong Team

Lesson 4 – How to Hire & Retain the Right People

Lesson 5 – How to Deal with Conflict, Problems, Difficult Employees & Firing

Lesson 6 – How to Delegate, Manage your Time, Solve Problems & Make the Right Decisions

Lesson 7 – How to Get your Point Across through the Art of Business Communications

Lesson 8 – Business Basics Part I – Business Types, Ethics& Law, Economics, Finance & Accounting

Lesson 9 - Business Basics Part II – Operations Management, Customer Service, IS & HR

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Action Plans

POST Management Program

Instructional Goal: Provide supervisors and managers information on how to create an action plan.

Performance Objectives:

- Discuss action plans
- Discuss reason to create an action plan
- Review steps to complete an action
- Review action plan template

WHAT IS AN ACTION PLAN?

An action plan is a document that lists what steps must be taken in order to achieve a specific goal.

The purpose of an action plan is to clarify what resources are required to reach the goal, formulate a timeline for when specific tasks need to be completed and determine what resources are required. A roadmap on where you are going and how you will get there.

In some ways, an action plan is a "heroic" act: it helps us turn our dreams into a reality. An action plan is a way to make sure your organization's vision is made concrete. It describes the way your group will use its strategies to meet its objectives. An action plan consists of a number of action steps or changes to be brought about.

Each action step or change to be sought should include the following information:

- **What** actions or changes will occur
- **Who** will carry out these changes
- **By when** they will take place, and for how long
- **What** resources (i.e., money, staff) are needed to carry out these changes
- **Communication** (who should know what?)

WHAT ARE THE CRITERIA FOR A GOOD ACTION PLAN?

The action plan for your initiative should meet several criteria.

Is the action plan:

- **Complete?** Does it list all the action steps or changes to be sought in all relevant parts (e.g. agency, schools, business, government, etc.)?
- **Clear?** Is it apparent who will do what by when?
- **Current?** Does the action plan reflect the current work? Does it anticipate newly emerging opportunities and barriers?

WHY SHOULD YOU DEVELOP AN ACTION PLAN?

There is an inspirational adage that says, "People don't plan to fail. Instead they fail to plan." Because you certainly don't want to fail, it makes sense to take all of the steps necessary to ensure success, including developing an action plan.

There are lots of good reasons to work out the details of your organization's work in an action plan, including:

- To lend credibility to your organization. An action plan shows members of the community (including grant makers) that your organization is well ordered and dedicated to getting things done.
- To be sure you don't overlook any of the details
- To understand what is and isn't possible for your organization to do
- For efficiency: to save time, energy, and resources in the long run
- For accountability: To increase the chances that people will do what needs to be done

WHEN SHOULD YOU CREATE AN ACTION PLAN?

It is developed after you have determined the vision, mission, objectives, and strategies of your group. If you develop an action plan when you are ready to start getting things done, it will give you a blueprint for running your organization or initiative.

Remember, though, that an action plan is always a work in progress. It is not something you can write, lock in your file drawers, and forget about. Keep it visible. Display it prominently. As your organization changes and

grows, you will want to continually (usually monthly) revise your action plan to fit the changing needs of your group and community.

HOW TO WRITE AN ACTION PLAN

Determine what people and sectors of the community should be changed and involved with finding solutions.

If you have been using the VMOSA (Vision, Mission, Objectives, Strategies, Action Plans) model, you might have already done this, when you were deciding upon your group's objectives. Again, try to be inclusive. Most issues that community partnerships deal with are community-wide, and thus need a community-wide solution. Possible sectors include the media, the business community, religious organizations, schools, youth organizations, social service organizations, health organizations, and others.

Some members of the community you might consider asking to join the action planning group include:

- Influential people from all the parts of the community affected by your initiative (e.g., from churches and synagogues, the school system, law enforcement, etc.)
- People who are directly involved in the problem
- Members of grassroots organizations
- Members of the various ethnic and cultural groups in your community
- People you know who are interested in the problem or issue
- Newcomers or young people in the community who are not yet involved

Convene a planning group in your community to design your action plan. This might be the same group of people who worked with you to decide your group's strategies and objectives. If you are organizing a new group of people, try to make your planning committee as diverse and inclusive as possible. Your group should look like the people most affected by the problem or issue.

Once everyone is present, go over your organizations:

- Vision
- Mission
- Objectives
- Strategies
- Targets and agents of change Proposed changes for each sector of the community

Develop an action plan composed of action steps that address all proposed changes. The plan should be complete, clear, and current. Additionally, the action plan should include information and ideas you have already gathered while brainstorming about your objectives and your strategies. What are the steps you must take to carry out your objectives while still fulfilling your vision and mission? Now it's time for all of the VMOSA components to come together. While the plan might address general goals you want to see accomplished, the action steps will help you determine the specific actions you will take to help make your vision a reality. Here are some guidelines to follow to write action steps.

Members of the community initiative will want to determine:

- *What* action or change will occur
- *Who* will carry it out
- *When* it will take place, and for how long
- *What resources* (i.e., money, staff) are needed to carry out the change
- *Communication* (who should know what)

Review your completed action plan carefully to check for completeness. Make sure that each proposed change will help accomplish your group's mission. Also, be sure that the action plan taken as a whole will help you complete your mission; that is, make sure you aren't leaving anything out.

Follow through. One hard part (figuring out what to do) is finished. Now take your plan and run with it! Remember the 80-20 rule: successful efforts are 80% follow through on planned actions and 20% planning for success.

Keep everyone informed about what's going on. Communicate to everyone involved how his or her input was incorporated. No one likes to feel like their wit and wisdom has been ignored.

Keep track of what (and how well) you've done. Always keep track of what the group has actually done. If the community change (a new program or policy) took significant time or resources, it's also a good idea to evaluate what you have done, either formally or informally.

Keep several questions in mind for both yourself and others:

- Are we doing what we said we'd do?
- Are we doing it well?
- Is what we are doing advancing the mission?

You can address these questions informally (ask yourself, chat with friends and other people), as well as formally, through surveys and other evaluation methods.

Celebrate a job well done! Celebrate your accomplishments; you and those you work with deserve it. Celebration helps keep everyone excited and interested in the work they are doing.

A Guide for Creating Action Plans

1. **Identify the issue, challenge, or problem to be addressed.**
   The purpose of an action plan is to organize and develop solutions to address a specific issue, challenge, or problem. The challenge could range from lack of equipment, staff, training, etc. The best way to determine the issue, challenge, or problem would be to conduct a needs assessment.

2. **Evaluate the issue.**
   Examine the list of challenges again and choose one that you feel most committed and confident about addressing through a plan of action. Once you have done this, the next step is to evaluate the challenge more objectively and thoroughly. Evaluate the challenge in relation to five primary areas:

   1) Background
   2) Need
   3) Constraints
   4) Resources available
   5) Resources needed

   Background refers to the history of the issue/challenge, including the cause and other individuals and programs that have tried to address it. If you are not familiar with the issue, this may take a little research on your part. However, based upon what you understand now, what is the history of this issue in the given context.

   Need has to do more with solutions to the issue or challenge. Essentially ask yourself: "What needs to happen to effectively address this issue?"

   Constraints are those factors that are keeping you from addressing the challenge. They might include lack of time, money, education about the issue, volunteers, etc.

   Resources Available are those resources that are easily and readily available and accessible right now to address the issue.

Resources Needed are those resources that are not easily and readily available and accessible right now to address the challenge.

3. **Develop a Mission Statement**

   Now that you have developed a more thorough conceptualization of the issue/challenge, you can now work to refine the purpose of the action plan and the projects it will initiate. The Mission (or Vision) Statement aims to be a broad and concise description of your purpose for creating an action plan to address the problem. It does not establish specific tasks that the organization/agency will accomplish, but rather what the problem is and generally how it will be addressed.

4. **Create Goals**

   Goals function as a kind of thesis statement for the action plan. They explain exactly what the intended tasks will be in order to fulfill the mission. Keep in mind that effective goals are action oriented, clear (who, what, where, by when), and are related directly to the problem.

   You may want to tailor your goals to mee the criteria of being SMART:

   S - specific
   M - measurable
   A - achievable
   R - realistic
   T - timed

5. **Construct Action Steps**

   Now you have arrived to the most crucial part of the action plan: the action steps. Essentially, the action steps are a realistic list of solutions and activities that will address the challenge, thus fulfilling the goals and working to achieve the mission.

   To develop the action steps, you must first brainstorm a list of possible solutions using your background evaluation earlier developed. Especially keep in mind your Need, Constraints, Resources Available, and Resources Needed assessment.

   Once you have developed this primary action step, determine (using your evaluation) if there are any constraints and if there are resources.

   Next, decide 3 more things:

   1) Who will be responsible for coordinating or carrying out the action?
   2) A time by which that action might occur
   3) The intended outcome of the action.

6. **Format your action plan**

   Now arrange the plan into a formal document that you can easily distribute to those in your organization or anyone just interested in knowing your plans.

   Suggested action plan format:

   Title

   1) Mission Statement
   2) Goals
   3) Issue and Background
   4) Action Steps

Action Plan Template

Use this Action Plan Template to identify specific steps you need to take in order to achieve the goals and objectives outlined in your business plan. This tool can also be used to create the action plan that will accompany your marketing plan. Tip: Make each action step as simple and specific as possible, breaking down complex actions into single steps.

Goal:					
Action Step *What needs to be done?*	Responsible Person *Who should take action to complete this step?*	Deadline *When should this step be completed?*	Necessary Resources *What do you need in order to complete this step?*	Potential Challenges *Are there any potential challenges that may impede completion? How will you overcome them?*	Result *Was this step successfully completed? Were any new steps identified in the process?*

Using Action Plans

Use an Action Plan whenever you need to plan a small project.

To draw up an Action Plan, simply list the tasks that you need to carry out to achieve your objective, in the order that you need to complete them. (This is very simple, but it is still very useful!)

Use the three-step process below to help you:

Step 1: Identify Tasks

Start by brainstorming all of the tasks that you need to complete to accomplish your objective.

It's helpful to start this process at the very beginning. What's the very first action you'll need to take? Once that task is complete, what comes next? Are there any steps that should be prioritized to meet specific deadlines, or because of limits on other people's availability?

Step 2: Analyze and Delegate Tasks

Now that you can see the entire project from beginning to end, look at each task in greater detail.

Are there any steps that you could drop, but still meet your objective? Which tasks could you delegate to someone else on your team, or could be dealt with by a freelancer? Are there any deadlines for specific steps? Do you need to arrange additional resources?

Step 3: Double-Check with SCHEMES

Use the SCHEMES* mnemonic to check that your plan is comprehensive.

SCHEMES stands for:

- Space.
- Cash.
- Helpers/People.
- Equipment.
- Materials.
- Expertise.
- Systems.

You may not need to think about all of these to complete your project. For instance, for a small internal project to streamline the format of your team's reports, you might only need to think about "Helpers/People," "Expertise," and "Systems."

Note:

Once you've completed your Action Plan, keep it by you as you carry out the work, and update it with additional activities if required.

Learning from Your Action Plan

If you think you'll be trying to achieve a similar goal again, revise your Action Plan after the work is complete, by making a note of anything that you could have done better.

For instance, perhaps you could have avoided a last-minute panic if you'd alerted a supplier in advance about the size of order you'd be placing. Or maybe you didn't allow enough time to do certain tasks.

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Building Your Self Confidence

POST Management Program

Instructional Goal: To assist managers/manager trainees in building their self-confidence to enhance their management potential.

Performance Objectives: By the end of this course of instruction, student will be able to pass a written exam at or above 80% on the following:

- List the 2 main things that contribute to self-confidence
- Discuss the 3 steps to building your self-confidence
- List 2 of the 9 ideas to strengthen your leadership self-esteem
- List 3 of the 10 strategies to obtain the mental edge to reach your potential
- List 2 of the 4 ways that failure can help you build confidence

	Statement	Not at all	Rarely	Sometimes	Often	Very Often
1	I tend to do what I think is expected of me, rather than what I believe to be "right."	5	4	3	2	1
2	I handle new situations with relative comfort and ease.	1	2	3	4	5
3	I feel positive and energized about life	1	2	3	4	5
4	If something looks difficult, I avoid doing it.	5	4	3	2	1
5	I keep trying, even after others have given up.	1	2	3	4	5
6	If I work hard to solve a problem, I'll find the answer.	1	2	3	4	5
7	I achieve the goals I set for myself.	1	2	3	4	5
8	When I face difficulty, I feel hopeless and negative	5	4	3	2	1
9	I relate to people who work very hard, and still don't accomplish their goals	5	4	3	2	1
10	People give me positive feedback on my work and achievements.	1	2	3	4	5
11	I need to experience success early in a process, or I won't continue	5	4	3	2	1
12	When I overcome an obstacle, I think about the lessons I've learned	1	2	3	4	5
13	I believe that if I work hard, I'll achieve my goals.	1	2	3	4	5
14	I have contact with people of similar skills and experience who I consider successful.	1	2	3	4	5
					Total=_____	

Interpreting the Results

Score	Comment
14-32	You probably wish you had more self-confidence! Take a closer look at all the things you have achieved in your life. You may tend to focus more on what you do not have or what you have failed at, and this takes time and attention away from recognizing and using your skills and talents.
33-51	You are doing an OK job of recognizing your skills, and believing in your abilities. But perhaps you're a little too hard on yourself, and this may stop you from getting the full benefit of your previous successes.
52-70	Excellent! You are doing a fabulous job of learning from every experience, and not allowing obstacles to affect the way you see yourself. But you need to nurture your self-confidence, to ensure that your life remains full of confidence-building success.

Building Self-Confidence

Believe in Yourself, and Find Success!!

From the quietly confident doctor whose advice we rely on, to the charismatic confidence of an inspiring speaker, self-confident people have qualities that everyone admires.

Self-confidence is extremely important in almost every aspect of our lives, yet so many people struggle to find it. Sadly, this can be a vicious circle: People who lack self-confidence can find it difficult to become successful.

After all, most people are reluctant to back a project that's being pitched by someone who was nervous, fumbling and overly apologetic.

On the other hand, you might be persuaded by someone who speaks clearly, who holds his or her head high, who answers questions assuredly, and who readily admits when he or she does not know something.

Self-confident people inspire confidence in others: their audience, their peers, their bosses, their customers, and their friends. And gaining the confidence of others is one of the key ways in which a self-confident person finds success.

The good news is that self-confidence really can be learned and built on. And, whether you're working on your own self-confidence or building the confidence of people around you, it's well-worth the effort!

So, how confident do you seem to others?

Your level of self-confidence can show in many ways: your behavior, your body language, how you speak, what you say, and so on. Look at the following comparisons of common confident behavior with behavior associated with low self-confidence. Which thoughts or actions do you recognize in yourself and people around you?

Self-Confident	Low Self-Confidence
Doing what you believe to be right, even if others mock or criticize you for it.	Governing your behavior based on what other people think.
Being willing to take risks and go the extra mile to achieve better things.	Staying in your comfort zone, fearing failure and so avoid taking risks.
Admitting your mistakes, and learning from them.	Working hard to cover up mistakes and hoping that you can fix the problem before anyone notices.
Waiting for others to congratulate you on your accomplishments.	Extolling your own virtues as often as possible to as many people as possible.
Accepting compliments graciously. "Thanks, I really worked hard on that prospectus. I'm pleased you recognize my efforts."	Dismissing compliments offhandedly. "Oh that prospectus was nothing really, anyone could have done it."

As you can see from these examples, low self-confidence can be self-destructive, and it often manifests itself as negativity. Self-confident people are generally more positive – they believe in themselves and their abilities, and they also believe in living life to the full.

What is Self-Confidence?

Two main things contribute to self-confidence: self-efficacy and self-esteem.

We gain a sense of self-efficacy when we see ourselves (and others similar to ourselves) mastering skills and achieving goals that matter in those skill areas. This is the confidence that, if we learn and work hard in a particular area, we'll succeed; and it's this type of confidence that leads people to accept difficult challenges, and persist in the face of setbacks.

This overlaps with the idea of self-esteem, which is a more general sense that we can cope with what's going on in our lives, and that we have a right to be happy. Partly, this comes from a feeling that the people around us

approve of us, which we may or may not be able to control. However, it also comes from the sense that we are behaving virtuously, that we're competent at what we do, and that we can compete successfully when we put our minds to it.

Some people believe that self-confidence can be built with affirmations and positive thinking. At Mind Tools, we believe that there's some truth in this, but that it's just as important to build self-confidence by setting and achieving goals – thereby building competence. Without this underlying competence, you don't have self-confidence: you have shallow over-confidence, with all of the issues, upset and failure that this brings.

Building Self-Confidence

So how do you build this sense of balanced self-confidence, founded on a firm appreciation of reality?

The bad news is that there's no quick fix, or 5-minute solution.

The good news is that building self-confidence is readily achievable, just as long as you have the focus and determination to carry things through. And what's even better is that the things you'll do to build self-confidence will also build success – after all, your confidence will come from real, solid achievement. No-one can take this away from you!

So here are our three steps to self-confidence, for which we'll use the metaphor of a journey: preparing for your journey; setting out; and accelerating towards success.

Step 1: Preparing for Your Journey

The first step involves getting yourself ready for your journey to self-confidence. You need to take stock of where you are, think about where you want to go, get yourself in the right mindset for your journey, and commit yourself to starting it and staying with it.

In preparing for your journey, **do these five things:**

1. Look at what you've already achieved:
Think about your life so far, and list the ten best things you've achieved in an "Achievement Log." Perhaps you came top in an important test or exam, played a key role in an important team, produced the best sales figures in a period, did something that made a key difference in someone else's life, or delivered a project that meant a lot for your business.

Put these into a smartly formatted document, which you can look at often. And then spend a few minutes each week enjoying the success you've already had!

2. Think about your strengths:
Next, use a technique like SWOTT Analysis to take a look at who and where you are. Looking at your Achievement Log, and reflecting on your recent life, think about what your friends would consider to be your strengths and weaknesses. From these, think about the opportunities, threats and the trends that you face.

Make sure that you enjoy a few minutes reflecting on your strengths!

3. Think about what's important to you, and where you want to go:
Next, think about the things that are really important to you, and what you want to achieve with your life.

Setting and achieving goals is a key part of this, and real self-confidence comes from this. Goal setting is the process you use to set yourself targets, and measure your successful hitting of those targets.

Set goals that exploit your strengths, minimize your weaknesses, realize your opportunities, and control the threats you face.

And having set the major goals in your life, identify the first step in each. A tip: Make sure it's a very small step, perhaps taking no more than an hour to complete!

4. Start managing your mind:
At this stage, you need to start managing your mind. Learn to pick up and defeat the negative self-talk which can destroy your confidence.

Further useful reading - this teaches you how to use and create strong mental images of what you'll feel and experience as you achieve your major goals – there's something about doing this that makes even major goals seem achievable!

5. And then commit yourself to success!
The final part of preparing for the journey is to make a clear and unequivocal promise to yourself that you are absolutely committed to your journey, and that you will do all in your power to achieve it.

If as you're doing it, you find doubts starting to surface, write them down and challenge them calmly and rationally. If they dissolve under scrutiny, that's great. However, if they are based on genuine risks, make sure you set additional goals to manage these appropriately.

Either way, make that promise!

Tip: Balanced Self-Confidence

Self-confidence is about balance. At one extreme, we have people with low self-confidence. At the other end, we have people who may be over-confident.

If you are under-confident, you'll avoid taking risks and stretching yourself; and you might not try at all. And if you're over-confident, you may take on too much risk, stretch yourself beyond your capabilities, and crash badly. You may also find that you're so optimistic that you don't try hard enough to truly succeed.

Getting this right is a matter of having the right amount of confidence, founded in reality and on your true ability. With the right amount of self-confidence, you will take informed risks, stretch yourself (but not beyond your abilities) and try hard.

<u>**Step 2: Setting Out**</u>

This is where you start, ever so slowly, moving towards your goal. By doing the right things, and starting with small, easy wins, you'll put yourself on the path to success – and start building the self-confidence that comes with this.

Build the knowledge you need to succeed:
Looking at your goals, identify the skills you'll need to achieve them. And then look at how you can acquire these skills confidently and well. Don't just accept a sketchy, just-good-enough solution – look for a solution, a program or a course that fully equips you to achieve what you want to achieve and, ideally, gives you a certificate or qualification you can be proud of.

Focus on the basics:

When you're starting, don't try to do anything clever or elaborate. And don't reach for perfection – just enjoy doing simple things successfully and well.

Set small goals, and achieve them:

Starting with the very small goals you identified in step 1, get in the habit of setting them, achieving them, and celebrating that achievement. Don't make goals particularly challenging at this stage, just get into the habit of achieving them and celebrating them. And, little by little, start piling up the successes!

Keep managing your mind:

Stay on top of that positive thinking, keep celebrating and enjoying success, and keep those mental images strong. You can also use a technique like Treasure Mapping to make your visualizations even stronger!

And on the other side, learn to handle failure. Accept that mistakes happen when you're trying something new. In fact, if you get into the habit of treating mistakes as learning experiences, you can (almost) start to see them in a positive light. After all, there's a lot to be said for the saying "if it doesn't kill you, it makes you stronger!"

Step 3: Accelerating Towards Success

By this stage, you'll feel your self-confidence building. You'll have completed some of the courses you started in step 2, and you'll have plenty of success to celebrate!

This is the time to start stretching yourself. Make the goals a bit bigger, and the challenges a bit tougher. Increase the size of your commitment. And extend the skills you've proven into new, but closely related arenas.

Tip 1:

Keep yourself grounded – this is where people tend to get over-confident and over-stretch themselves. And make sure you don't start enjoying cleverness for its own sake…

As long as you keep on stretching yourself enough, but not too much, you'll find your self-confidence building apace. What's more, you'll have earned your self-confidence – because you'll have put in the hard graft necessary to be successful!

Leadership Caffeine:

9 Ideas for Strengthening Your Self-Esteem

January 31, 2011 by Art Petty

One definition of self-esteem reflects, *"confidence in one's own worth or abilities."* Another source, psychologist and author, Dr. Nathaniel Branden, offers: "Self-esteem is the experience of being competent to cope with the basic challenges of life and being worthy of happiness."

While typically not a topic discussed over coffee, many leaders struggle with issues of low self-esteem. They question their abilities to cope with the problems at hand, they often doubt they are worthy of the position of leadership they occupy, and they most definitely agonize quietly over much of their professional existence. Others manifest their low self-esteem with over-the-top aggressiveness and strong controlling behaviors.

Regardless of how the self-esteem issue is expressed, the sufferers struggle with a debilitating level of self-doubt. Unfounded criticism and minor setbacks easily derail the positive thought train. **Instead of pursuing success, the leader with low self-esteem settles for a kind of tortured survival.**

Nine Ideas to Help Strengthen Your Leadership Self-Esteem

1. **Recognize that you're not alone.** The greatest historical figures and leaders throughout history struggled with self-doubt, and many of the most outwardly confident leaders battle this same issue in private. You are most definitely not alone.
2. **Cultivate "bigger purpose" thinking about your job.** The focus on a large and compelling mission promotes action and helps set priorities. It also sets the stage for self-esteem reinforcing behaviors and achievements.

I crafted my *Leader's Charter* to remind me of my true role as a leader and serve as my "bigger purpose." A few moments reviewing and reflecting upon The Charter every morning, does wonders for your attitude and for providing a strong reason for being.

The Leader's Charter:

- *Your primary role as a leader is to:*
- *Create an environment that facilitates high individual and team performance,*
- *Support innovation in process, programs and approaches,*
- *Encourage collaboration where necessary, and*
- *Promote the development of your associates in roles that leverage their talents and that challenge them to pursue new and greater accomplishments.*

With all of that "purpose" to focus on, it's hard to spend time wondering whether you are up to the job. Your actions and approaches towards others are inherent in The Charter. And as you live your day(s) according to the concepts, you cannot help but produce small victories. These small victories are rocket-fuel for self-esteem.

3. **Small victories count! Keep tabs on yours.** Keep a list of the small victories to reinforce your growing self-esteem and good attitude. And remember to share the wealth by celebrating or praising the positive accomplishments of others. Your positive praise helps others build their own self-esteem.
4. **Read something inspirational.** My own doses of self-esteem fuel come from biographies of historical figures who battled overwhelming odds, only to succeed. It's amazing what looking at a truly bad situation faced by someone else will do to put your own situation in perspective.
5. **Trust feedback from trusted sources.** Not all feedback and not all feedback providers are created equal. The comment from an audience member recently regarding a concept that I "failed to develop" on one of my slides was interesting but frankly irrelevant. The talk had been a success however, it clearly bugged this

guy that I had not expanded upon the issue he felt so passionately about. I suggested he make it a self-study topic.

6. **Pull out of a stall. Take action.** Actions…and movement are important steps in building self-esteem. An internal preoccupation on your supposed negatives coupled with no action is truly self-reinforcing.

7. **Focus your actions on your strengths.** Just for a few moments, forget about the weaknesses that you believe are holding you back. Preoccupying on your weaknesses reinforces low self-esteem thinking.
8. **Don't overlook your physical appearance.** Focus on getting in shape, losing weight, getting a better haircut and/or improving your style of dress. Much of our self-esteem flows from how we feel about our looks and physical presence.

9. **Selectively take action to strengthen weaknesses.** As the small victories pile up, and as you build upon your strengths and refocus your efforts around your priorities (The Charter), selectively identify weaknesses to strengthen and take action. Buy and read and apply the lessons in a self-help book, take a course or seek a mentor to guide your efforts and offer reinforcement.

Build Self Confidence

Self-confidence is the difference between feeling unstoppable and feeling scared out of your wits. Your perception of yourself has an enormous impact on how others perceive you. Perception is reality — the more self-confidence you have, the more likely it is you'll succeed.

Although many of the factors affecting self-confidence are beyond your control, there are a number of things you can consciously do to build self-confidence. By using these 10 strategies you can get the mental edge you need to reach your potential.

1. Dress Sharp

Although clothes don't make the man, they certainly affect the way he feels about himself. No one is more conscious of your physical appearance than you are. When you don't look good, it changes the way you carry yourself and interact with other people. Use this to your advantage by taking care of your personal appearance. In most cases, significant improvements can be made by bathing and shaving frequently, wearing clean clothes, and being cognizant of the latest styles.

This doesn't mean you need to spend a lot on clothes. One great rule to follow is "spend twice as much, buy half as much". Rather than buying a bunch of cheap clothes, buy half as many select, high quality items. In long run this decreases spending because expensive clothes wear out less easily and stay in style longer than cheap clothes. Buying less also helps reduce the clutter in your closet.

2. Walk Faster

One of the easiest ways to tell how a person feels about herself is to examine her walk. Is it slow? Tired? Painful? Or is it energetic and purposeful? People with confidence walk quickly. They have places to go, people to see, and important work to do. Even if you aren't in a hurry, you can increase your self-confidence by putting some pep in your step. Walking 25% faster will make to you look and feel more important.

3. Good Posture

Similarly, the way a person carries herself tells a story. People with slumped shoulders and lethargic movements display a lack of self-confidence. They aren't enthusiastic about what they're doing and they don't consider themselves important. By practicing good posture, you'll automatically feel more confident. Stand up straight, keep your head up, and make eye contact. You'll make a positive impression on others and instantly feel more alert and empowered.

4. Personal Commercial

One of the best ways to build confidence is listening to a motivational speech. Unfortunately, opportunities to listen to a great speaker are few and far between. You can fill this need by creating a personal commercial. Write a 30-60 second speech that highlights your strengths and goals. Then recite it in front of the mirror aloud (or inside your head if you prefer) whenever you need a confidence boost.

5. Gratitude

When you focus too much on what you want, the mind creates reasons why you can't have it. This leads you to dwell on your weaknesses. The best way to avoid this is consciously focusing on gratitude. Set aside time each day to mentally list everything you have to be grateful for. Recall your past successes, unique skills, loving relationships, and positive momentum. You'll be amazed how much you have going for you and motivated to take that next step towards success.

6. Compliment other people

When we think negatively about ourselves, we often project that feeling on to others in the form of insults and gossip. To break this cycle of negativity, get in the habit of praising other people. Refuse to engage in

backstabbing gossip and make an effort to complement those around you. In the process, you'll become well liked and build self-confidence. By looking for the best in others, you indirectly bring out the best in yourself.

7. Sit in the front row

In schools, offices, and public assemblies around the world, people constantly strive to sit at the back of the room. Most people prefer the back because they're afraid of being noticed. This reflects a lack of self-confidence. By deciding to sit in the front row, you can get over this irrational fear and build your self-confidence. You'll also be more visible to the important people talking from the front of the room.

8. Speak up

During group discussions many people never speak up because they're afraid that people will judge them for saying something stupid. This fear isn't really justified. Generally, people are much more accepting than we imagine. In fact most people are dealing with the exact same fears. By making an effort to speak up at least once in every group discussion, you'll become a better public speaker, more confident in your own thoughts, and recognized as a leader by your peers.

9. Work out

Along the same lines as personal appearance, physical fitness has a huge effect on self-confidence. If you're out of shape, you'll feel insecure, unattractive, and less energetic. By working out, you improve your physical appearance, energize yourself, and accomplish something positive. Having the discipline to work out not only makes you feel better, it creates positive momentum that you can build on the rest of the day.

10. Focus on contribution

Too often we get caught up in our own desires. We focus too much on ourselves and not enough on the needs of other people. If you stop thinking about yourself and concentrate on the contribution you're making to the rest of the world, you won't worry as much about you own flaws. This will increase self-confidence and allow you to contribute with maximum efficiency. The more you contribute to the world the more you'll be rewarded with personal success and recognition.

How To Build Self-Confidence

Whether you think you can or think you can't - you are right."

Henry Ford

When I was in my late teens a friend of mine, an elite athlete, gave me the most profound, yet simple advice that changed the way I would view myself forever. He told me:

"If you don't think very highly of yourself, you can't expect anyone else think it of you."

Translation - It means that we alone are responsible for building self-confidence. We cannot depend upon, or wait for anyone else's approval. We must see ourselves as worthy and capable of achieving anything we choose to achieve.

Ultimately, how we see ourselves is more important than how anyone else sees us.

If we don't work at loving and accepting ourselves, nothing anyone else thinks matters.

Tips For Building Self-Confidence

- **Acknowledge Your Uniqueness.**
  Believe in yourself and know that you are one of a kind. In the words of Walt Whitman know:

  "That you are here--that life exists, and identity;
  That the powerful play goes on, and you will contribute a verse."

  There is no one else like you on this planet. No one looks like you, has the same talents, experiences, or perspective as you do. You are unique and are therefore here to make your unique contribution. If we each focus on what we bring into the world to share, there can be no comparisons, envy or regret. We are here to "contribute a verse".

- **Give it Your Best.**
  When you do the best you can, with the best of what you've got, you can't help but feel good about yourself and that confidence comes through in everything that you do. Giving it your best makes you unafraid to take risks or step out of your comfort zone - both great confidence-builders.

- **Persevere.**
  Everybody has setbacks and obstacles to contend with. Don't let them undermine your confidence. Treat them as opportunities to strengthen your resolve and then persevere.

- **Overcome adversity.**
  Overcoming adversity builds and strengthens self-confidence. The greatest songs, works of art and literary pieces have been written by those who have experienced the depths of despair, loss and emptiness and overcame them. Experiencing sadness and loss, and then rising above them, gives rise to hope and triumph. It makes you stretch and become more than you were.

- **Accomplish something.**
  Set goals for yourself and then push yourself to reach them. Self-confidence soars when you know you can do what you put your mind to. It makes you feel unstoppable.
  Likewise, achieve mastery. Mastery experiences are those in which you know you have worked hard and put in great effort to achieve success.

- **Separate Yourself From the Event.**
  You are not what happens to you, nor how you believe others see you. In other words, you are not *defined* by what happens to you, nor are you defined by how others see you. You are who you choose to be - a person of character, dignity and self-confidence.

- **Confront your fears.**
  There's nothing that destroys self-confidence more than succumbing to fear. Everyone feels fear at various times; we're human, however facing circumstances with courage and poise strengthens character and builds

self-confidence. Put yourself out there! If you're afraid to meet new people, attend social events, etc. - don't stay home and fret. Doing builds confidence. Of course, you'll feel, and probably be awkward the first few times in new situations, however, the more you do it, the better you'll get, and therefore the better you'll feel about yourself.

- **Good looks do *not* equal self-confidence.**
  Some of the most attractive people in the world are insecure and lack self-confidence. Marilyn Monroe was considered to be one of the sexiest, most beautiful people in the world, yet she lacked a positive self-image. She misguidedly allowed external factors, such as the approval of others, to determine her self-worth. Good looks may help you feel good about yourself temporarily, but are by no means enough.

- **Take good care of yourself.**
  When you are in fit, in good health, and make a point of looking your best, you can't help but feel confident. This is different, of course, from comparing your looks to others. It's about being comfortable with you. Everyone looks good when they're in good shape, well groomed, and healthy. You can't help but have a glow about you when you take good care of yourself.

- **Learn how to give yourself a pep talk.**
  We all have our down moments, moments of doubt, confusion and uncertainty. When that happens, we must learn how to restore self-confidence. One way is to understand that everyone goes through such moments. Another is to remember past successes, visualize the desired outcome, and keep at it! Practice makes perfect.

Self-confidence is absolutely essential to achieving success in any endeavor. You acquire it by doing, learning, accomplishing, and persisting.

How to Build Self Confidence: 6 Essential and Timeless Tips by Henrik Edberg

"Never bend your head. Always hold it high. Look the world straight in the face."
   Helen Keller

"Whatever we expect with confidence becomes our own self-fulfilling prophecy."
   Brian Tracy

"Confidence is courage at ease." **Daniel Maher**

I believe that one of the most common wishes is simply to feel more confident in various situations in life. But how?

Confident friends may say: "Well, just be confident, man!" However, to a person that doesn't feel that confident this piece of advice may not be very helpful at all.

Here are however some time-tested and timeless advice. I hope you will find is useful to improve and maintain your own levels of confidence.

1. Take action. Get it done.

"Having once decided to achieve a certain task, achieve it at all costs of tedium and distaste. The gain in self-confidence of having accomplished a tiresome labor is immense."
   Thomas A. Bennett

"Nothing builds self-esteem and self-confidence like accomplishment." **Thomas Carlyle**

"Inaction breeds doubt and fear. Action breeds confidence and courage. If you want to conquer fear, do not sit home and think about it. Go out and get busy." **Dale Carnegie**

The most important step in building self-confidence is simply to take action. Working on something and getting it done. Sitting at home and thinking about it will just make you feel worse. Simple. But not always easy to do. To make it a bit easier, here are a three of my favorite ways to make it easier to take action:

- **Be present.** This will help you snap out of over thinking and just go and do whatever you want to get done. This is probably the best tip I have found so far for taking more action since it puts you in a state where you feel little emotional resistance to the work you'll do. And it puts you in state where the right actions often just seem to flow out of you in a focused but relaxed way and without much effort. One of the simplest ways to connect with the present moment is just to keep your focus on your breathing for a minute or two.
- **Lighten up.** One way to dissuade yourself from taking action is to take whatever you are about to do too seriously. That makes it feel too big, too difficult and too scary. If you on the other hand relax a bit and lighten up you often realize that those problems and negative feelings are just something you are creating in your own mind. With a lighter state of mind your tasks seems lighter and become easier to get started with.
- **Really, really want it.** Then taking action isn't something you have to force. Taking action becomes a very natural thing. It's something you can't wait to do.

2. **Face your fear.**

"The way to develop self-confidence is to do the thing you fear."
   William Jennings Bryan

"You gain strength, courage and confidence by every experience in which you really stop to look fear in the face. You are able to say to yourself, 'I have lived through this horror. I can take the next thing that comes along.' You must do the thing you think you cannot do."
   Eleanor Roosevelt

Look, I could tell you to do affirmations or other exercises for months in front of your mirror. It may have a positive effect. Just like preparing yourself it may help you to take action with more confidence.

But to be frank, if you don't listen to the quotes above and face your fears you won't experience any better self-confidence on a deeper and more fundamental level. Having experiences where you face your fear is what really builds self-confidence. There is no way around it.

However, there are ways to face your fears that do not include that much shaking of the knees. There are ways to make it easier for yourself.

- **Be curious.** When you are stuck in fear you are closed up. You tend to create division in your world and mind. You create barriers between you and other things/people. When you shift to being curious your perceptions go SWOOSH! and the world just opens up. Curiosity is filled with anticipation and enthusiasm. It opens you up. And when you are open and enthusiastic then you have more fun things to think about than focusing on your fear. How do you become more curious? One way is to remember how life has become more fun in the past thanks to your curiosity and to remember all the cool things it helped you to discover and experience.
- **Realize that fear is often based on unhelpful interpretation.** As humans we like to look for patterns. The problem is just that we often find negative and not so helpful patterns in our lives based on just one or two experiences. Or by misjudging situations. Or through some silly miscommunication. When you get too identified with your thoughts you'll believe anything they tell you. A more helpful practise may be to not take your thoughts too seriously. A lot of the time they and your memory are pretty inaccurate.

3. **Understand in what order things happen.**

One of my favorite snippets of movie-dialogue is this one from the 1999 film "Three Kings".

In this scene Major Archie Gates (George Clooney) wants the small team to save a fellow soldier and steal Saddam's gold just after the first Gulf War has ended.

The young soldier Conrad Vig (Spike Jonze) has his doubts about the plan:

Archie Gates: *You're scared, right?*
Conrad Vig: *Maybe.*
Archie Gates: *The way it works is, you do the thing you're scared shitless of, and you   get the courage AFTER you do it, not before you do it.*
Conrad Vig: *That's a dumbass way to work. It should be the other way around.*
Archie Gates: *I know. That's the way it works.*

Great movie. Great little piece of dialogue. Even though it may not be what people want to hear.

The thing is, when you do things you don't just build confidence in your ability to handle different situations. You also experience progressive desensitization. What that means is that situations – like for example public speaking or maybe just showing your latest blog post to an audience out there – that made you feel all shaky become more and more normal in your life. It is no longer something you psyche yourself up to do. It just becomes normal. Like tying your shoes, hanging out with your friends or taking a shower.

It may seem scary now. But after having done whatever you fear a few to a dozen times or so you may think: "Is that it?" You almost feel disappointed of how anticlimactic it has become. You may even get a bit angry with yourself and wonder why you avoided doing it for so long.

4. Prepare.

"One important key to success is self-confidence. An important key to self- confidence is preparation."
    Arthur Ashe

When you know nothing of what you are about to do it's very easy to get lost in vague, foggy fear and start building big horror scenarios in your mind of what may happen if you give it a try.

Preparing yourself and educating yourself can be a big help here. By for example rehearsing and rewriting your speech over and over you can pretty much learn it by heart. By doing research you can find breathing techniques that can quickly make you calmer and present. Or simple visualization techniques that make you feel more confident and positive as you step out on the stage.

This is obviously more work than not doing anything about the speech at all before you start giving it. But it can make a huge difference in your confidence levels if you take the time to prepare yourself. And of course, the speech and the delivery of it will most likely be a lot better too.

So prepare and you will feel more comfortable and confident. Just don't make the mistake of getting stuck in the preparation phase and using it as a way to avoid taking action and the possible pain that it may result in.

5. Realize that failure or being wrong will not kill you.

"Confidence comes not from always being right but from not fearing to be wrong."
    Peter T. Mcintyre

"I quit being afraid when my first venture failed and the sky didn't fall down."
    Allen H. Neuharth

Again, you have to face your fear. Because it is only then that you discover the thing that billions of people throughout history have discovered before you. Failure won't kill you. Nor will being wrong. The sky will not fall down. That's just what people that haven't faced their fear yet think.

The thing is to reframe failure from being something that makes your legs shake to something useful and important for the growth of your self-confidence and your overall growth as a human being. Here are four ways that failure can help you out:

- **You learn.** Instead of seeing failure as something horrible you can start to view it more as a learning experience. When standing in the middle of a failure, you can ask yourself questions like: What's awesome about this situation? What can I learn from this situation?
- **You gain experiences you could not get any other way.** Ideally, you probably want to learn from other people's mistakes and failures. That's not always easy to do though. Sometimes you just have to fail on your own to learn a lesson and to gain an experience no one can relate to you in mere words.
- **You become stronger.** Every time you fail you become more accustomed to it. You realize more and more that it's not the end of the world. And, again, you get desensitized. You can handle things that would have been very hard to handle a few years back. Failing can also a have an exhilarating component because even though you failed you at least took a chance. You didn't just sit on your hands doing nothing. And that took quite a bit of courage and determination.
- **Your chances of succeeding increases.** Every time you fail you can learn and increase your inner strength. So every failure can make you more and more likely to succeed.

And remember, the world doesn't revolve around you. You may like to think so. But it doesn't. People really don't care that much about what you do. They have their own life, problems and worries that the world revolves around them to focus on. They don't think that much about you or are constantly monitoring what you do wrong or when you fail.

Maybe a disappointing thought. But a liberating and relieving one too because now you can let go of that worry that everyone is watching you.
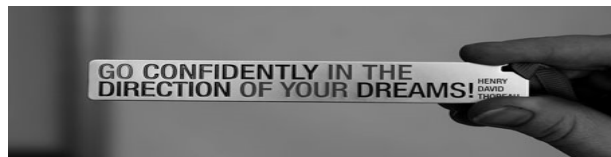
6. Get to know who you are and what you want out of life.

"The world has the habit of making room for the man whose words and actions show that he knows where he is going." **Napoleon Hill**

"Don't listen to anyone who tells you that you can't do this or that. That's nonsense. Make up your mind, you'll never use crutches or a stick, then have a go at everything. Go to school, join in all the games you can. Go anywhere you want to. But never, never let them persuade you that things are too difficult or impossible."
   Douglas Bader

To build and find more confidence in yourself you have to get to know yourself better. Go exploring. Face some of your fears. Fail over and over and understand that it isn't really that big of a deal. Grow stronger through such experiences and also become more internally relaxed. Figure out what really excites you by simply trying a whole bunch of stuff out.

When you know more about who you are and what you want out of life – not other people say you want – you will have more confidence in yourself and what you can do.

What other people say or think will have less of an impact than it used to because you know who you are better than they do. And since you have had all these experiences, since you have taken time to really get to know yourself and stretch yourself you will trust your own opinion and ability more than anything outside of you. You become stable and centered in yourself.

This will of course take time. It may be something that never really ends. So you might as well get started now.

62 Ways to Build Self Confidence

Confidence is a tool you can use in your everyday life to do all kinds of cool stuff, not least to stop second-guessing yourself, manage your fears and become able to do more of the things that really matter to you.

But not many people realize that their self-confidence works just like a <u>muscle</u> – it grows in response to the level of performance required of it. Either you use it or you lose it. That's why I've given you 62 ways to grow your confidence so that you can become a giant.

1. Learning is a Good Thing, so sign up for that evening class and enjoy it.
2. Get out of your own head by asking your partner or best friend what you can do for them today.
3. Hit the gym. The physiological effects will leave you feeling great.
4. Go to a networking event and focus on how you can be helpful to other people rather than being nervous about your own stuff.
5. Get crystal clear on the things that truly matter to you. If they're not in your life, you need to bring them in.
6. Write a list of the things you're tolerating and putting up with in your life, then write down how you can remove, minimize or diminish each one.
7. Look at a great win or success you've experienced and give yourself credit for your part in it. Recognizing your achievements is not egotistical, it's healthy.
8. Next time you're at a social event, don't just stick with the people you know – go and have a conversation with someone you don't know and you never know what – or who – you'll discover.
9. Next time you talk yourself out of doing something (a party invite, a challenging project or whatever else), say 'What the Heck' and go do it anyway.
10. Do one thing each day that makes you smile (on the inside or on the outside).
11. Look for the patterns of thought that take you to a place where you start second-guessing or over-thinking. Now imagine that your best friend went through exactly the same thought process and ended up holding themselves back – what would you want to say to them?
12. Ask out that girl or guy you fancy the pants off (only if you're single, don't want to get you into trouble).
13. You have to keep your mind well fed, so write a list of 20 things that keeps your mind feeling nourished and make sure you're giving them room in your life.
14. Stop playing different roles and squeezing yourself into boxes based on what you think people expect you to act like.
15. Learn to catch yourself every single time you tell yourself that you can't have, won't get or aren't good enough to get what you want.
16. Take yourself off auto-pilot – make deliberate decisions on what really matters to you.
17. Next time you come up against a risk or a challenge, listen to what you tell yourself and look for a way that that inner dialog can be improved. Ask yourself, "What would make this easier?"
18. Scared of looking silly? You and everyone else. It's no biggie so don't let it stop you. Say it with me – "It just doesn't matter."
19. Don't think for a second that you can't be confident. There are already loads of things you do with natural self-confidence, you just have to notice them and get familiar with how it feels. Look for the things you do where the question of whether you're confident enough never arises.
20. Listen to your doubts but be ready to make deliberate decisions once you've heard them. Sometimes your doubts are there to let you know what you need to prepare for, so you can use them to your benefit as you move forwards.
21. Think of a time when it felt like a whole bank of switches in your head flicked to the on position and you were firing on all cylinders. What were you doing and what's the reason it felt so great?

22. You've got a whole bunch of outdated rules that determine what you do, don't do, should do and shouldn't do. These rules limit your thinking and limit your behavior. Tear up your rule book and notice how free you are to make great decisions.

23. Do you get annoyed with yourself because you didn't make the most of something or stepped back form an opportunity? Don't beat yourself up because that's just going to make you feel worse. Instead, be brutally honest and ask yourself what you gained from the situation and what you lost out on. Based on this win/lose balance, what's a different choice you can make next time?

24. If you'd already done everything in life you'd have no need to be scared. Don't ever think that being scared means you're not confident, it simply means you're going somewhere new.

25. If there's someone in your life who puts you down or makes you feel small, you owe it to yourself to let them know that you expect something different from now on. You deserve better.

26. Reveal a little bit of the real you in a relationship that might feel like it's in a rut.

27. Acknowledge and welcome all of your experiences – the good stuff as well as the bad stuff. It's all equally valid and hiding things away because you don't like them is just creating conflict.

28. Always recognize that you're more than a match for any situation you might find yourself in, no matter how tough the going gets.

29. Don't get swept up in the drama of what's happening right now, look for more useful ways of engaging with what happens in your life.

30. Don't automatically give in to the instant pay-off – it often means you're selling yourself short.

31. When you feel like stamping your foot and yelling "I deserve better than this!" take a step back and say "I can BE better than this."

32. Confidence sometimes means admitting you're wrong – always be ready to hold your hands up and change your mind.

33. Trust your instincts. They know what they're talking about.

34. Fear is a way of letting you know that you're about to stretch yourself and grow your confidence. That's a good thing, so use it to take yourself forwards rather than run away.

35. Imagine you're visited by a successful, confident, attractive and vibrant version of you from the future, a version of you who's everything you hope to be. What do they want to tell you?

36. Don't feel like you have to do everything yourself – sometimes the most confident thing to do is ask for help.

37. Take a chance on something tomorrow. Anything, big or small, just take a chance.

38. You need to be around people who make you feel like YOU, so spend more time with the people who support and encourage you and less with those who undermine you.

39. Stop struggling against the things you don't like in your life – create a congruent environment around you that flows and allows you to be you.

40. No man's an island, and you need to be a part of the world you around to feel confident. What can you participate in that's important to you?

41. Forget the pros and cons – do something bold in the face of your challenges and fears.

42. Work on developing the skills you need to win at the things that matter to you. What can you practice that would radically improve your chances of winning?

43. The body is a mirror for the mind, so shifting your body into a confident state can have surprising results.

44. Don't get disheartened or demotivated when you get to 90% with something you're working on – push through and you'll see that the last 10% is where the magic happens.

45. Keep comparing yourself to others? Stop it, don't try to validate yourself through comparison – you're just peachy as you are.

46. Put your head above the parapet at work and speak up if there's something you think could be improved or if you have an idea you think has legs.

47. If there's something you've been struggling to understand for a while, stop trying to understand it. Accept it just as it is, fully and wholly.

48. Shy with new people? Not a problem, there's nothing wrong with being shy and it doesn't mean you're not confident. Just don't over think it, start beating yourself up or thinking you're less than because you're shy – the more you think like that the worse it gets.
49. Your environment directly impacts your self-perception, so if you're surrounded by clutter, paperwork and rubbish put a morning aside to clean up your stuff and get organized.
50. Write yourself a list of the amazing things you'd love to do in your life, and make a start by simply looking into the first one or two things that leap out at you.
51. Don't make your happiness or self-worth dependent on being in a relationship or being validated by someone else. Find your inherent value first, and your relationships and confidence will be immeasurably better.
52. Your strengths can be used to overcome any of your weaknesses. We all have weaknesses but they only undermine your confidence if you let them.
53. The longer you leave that big thing on your to-do list the more it'll drain you and the bigger it'll seem – get it done and free yourself up.
54. What golden threads, themes, patterns and passions have always been in your life? If those things aren't present in your life right now, you need to shift your priorities.
55. Your body image does matter, because if you have a bad relationship with your body you won't be feeling confident in yourself. Get trim if you need to, just make sure you get along with your body.
56. Being confident is an ongoing process. It isn't a goal or an end-point that you reach and then stop. Keep playing to the best of your ability and your confidence will always be there to support you.
57. Try a new path. The well-trodden paths of your life can easily turn from familiarity to apathy and disconnection. A new path wakes you up.
58. Don't say "Yes" to taking on a task simply because you don't want to rock the boat – you can politely decline requests you can't meet and don't need to create an excuse for it.
59. Look at the people you respect who seem confident – don't copy them, but identify what it is they do differently that conveys confidence and what you can learn from it.
60. Make a plan to do something, then make deliberate choices to follow through. Seeing progress gives you important self-reinforcement.
61. When you feel yourself focusing inwards and becoming paralyzed with doubt or fear, switch to focusing outwards at what you can engage and interact with.
62. Still beating yourself up for failing or screwing up? It might not be a barrel of laughs but it's not going to help you get through it. Much better to recognize that everything, whether it turns out or not, is how you practice living a rich life.

The Bottom-Line for Now:

Your self-esteem is an intensely personal issue that impacts others and affects your ability to succeed. A strong sense of your own self-worth is important for building self-confidence, and self-confidence is an important ingredient for success as a leader. If you're struggling with a sense of low self-esteem, it's important to do something. Try the items on the list, add in others, and if you're still struggling seek help. You deserve a strong self-esteem, and your colleagues deserve a leader with enough self-confidence to help them strive and succeed.

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Critical Incidents

POST Management Program

Instructional Goal: To discuss critical incident protocol and the importance of managing critical stress reaction symptoms in self and their staff.

Performance Objectives: By the end of this training, students will be able to pass a written exam at or above 80% on the following:

- Define critical incidents
- List the two types of Critical Incidents
- List two of the four types of exercises to help prepare for Critical Incident
- Conduct a table top exercise on a critical incident scenario
- Define operational leadership
- List three of the five Human Factor Barriers to situational awareness
- Define critical incident stress reaction
- List four areas of critical stress reactions

Critical Incident

- ▣ A critical incident is any event or situation that threatens people and/or their homes, businesses, or community.
- ▣ The true definition of a critical incident includes any situation requiring swift, decisive action involving multiple components in response to and occurring outside of the normal course of routine business activities.

- ▣ A critical incident is any situation beyond the realm of a person's usual experience that overwhelms his/her sense of vulnerability and/or lack of control over the situation.
- ▣ A critical incident is any situation faced by emergency service personnel that causes them to experience unusually strong emotional reaction which have the potential to interfere with their ability to function whether at the scene or later.

Critical Incident Assessment

Assess possible event: Man-made or natural

All potential threats and hazards must be identified

- ➢ Natural: tornadoes, floods, winter storms, earthquakes, power outages, etc.
- ➢ Man-made: terrorist attacks, active shooter, workplace violence, explosions, bombings, accidents, fire, etc.

Critical Incident Planning

- Planning is decision making prior to an actual crisis or disaster
- Including resources required to manage and resolve the event
- Plan must also include necessary steps during and after the crisis (recovery)

Develop the Plan

- ✓ If a plan does not exist, create one
- ✓ If a plan does exist, review it (annually)
- ✓ Keep plans simple and flexible
- ✓ Consider likely events based on Intel and past experiences
- ✓ Identify resource gaps

Exercise the Plan

- ▣ Drills or exercises
- ▣ Keep exercise scenarios realistic
- ▣ Keep exercises relatively simple
- ▣ Focus on one or two key threats
- ▣ Begin with tabletop exercises

<u>Types of Exercises</u>

❖ Orientation
❖ Tabletop
❖ Functional
❖ Full-scale

<u>Remember that Exercises</u>

▣ Clarify responsibilities
▣ Identify roles
▣ Enhance skills
▣ Assess capabilities
▣ Evaluate performance
▣ Measure resources
▣ Provide feedback

Critical Incident - **<u>Size up Report</u>**

- Incident Type (fire, vehicle accident, HazMat spill, search and rescue, etc.)
- Location/Jurisdiction
- Incident Size
- Incident Status
- Weather Conditions
- Radio Frequencies
- Best Access Routes
- Special Hazards or Concerns
- Additional Resource Needs

This reference is intended to assist in reporting key information regarding incident conditions when first arriving on-scene. All agencies will have specific information requirements that may involve additional reports.

Tabletop Exercise Scenario

SEGMENT 1 – Response

The local police just received a call from Novelty Manufacturing Company Security that a shooting has occurred at their plan. Initial reports indicate that a gunman entered the plant and shot a receptionist. Employees and visitors are running from the plant in panic and the gunman is still inside. The following conditions exist:

- ➢ It is 2:15 PM, on a Thursday afternoon. The weather is a typical mild spring day with no wind.
- ➢ Novelty Manufacturing is located next to a medium size strip mall. The company employs 125 workers.
- ➢ There is a school located immediately behind the Mall and school gets out at 3:00 PM. Many students cut through the back lot of the plant to meet their friends at the shopping center after school.

Two unarmed plant security officers are outside the plant. Witnesses running from the plant have informed security that the gunman is also holding several containers of a liquid-like substance.

One fleeing employee also informed security that she knows the receptionist who is shot. She believes the husband is the shooter. The employee also indicated that the receptionist just filed a restraining order against her husband.

Police, fire, and emergency services are on the scene. The plant's manager is in the front parking lot. The police are requesting information on the victim, floor plans, and if all employees are out of the plant. It is not known what visitors are still in the plant. The fire department wants to know where flammable materials or items are located in the plant.

The press is on the scene and interviewing witnesses. They want a spokesperson from the responders to meet them and appear on camera. They want to know if there is a danger to the school and also other stores in the mall.

Persons are calling Mall security wanting to know if any of their friends or relatives are hurt. Mall security wants a representative of the plant to handle the calls or come to their officer. Mall security has informed the plant manager that his home office wants him to call.

Hysterical parents are calling the school and the police saying that they heard that there had been a shooting at the school.

Step 1 – Individual Analysis (20 Minutes)

Members of the emergency management team (public and private sector) should list their response actions based on the above information. Any resources needed and contemplated actions should be noted. Any emergency planning documents should be referred to.

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Step 2 – Group Analysis (30 Minutes)

Members should present their recommended actions to the emergency management team. Team discussion should occur and any action(s) should be listed. A group list of priorities and next steps should be developed.

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Media Relations

- ▣ Develop a policy on who will handle the media
- ▣ Determine who will be the lead spokesperson
- ▣ Be cooperative but careful in speaking
  - ▪ Do not speculate
- ▣ Be certain of facts
- ▣ Create a community information plan

Recovery and Business Resumption

A quick recovery from an incident will start the community back on the path to normal activity.

The process may be long or short; however, planning for the recovery phase will decrease recovery time

Recovery should not conflict with the "crime scene" preservation and examination

Operational Leadership

The most essential element of successful management of a critical incident is competent and confident leadership.

Leadership means providing purpose, direction, and motivation for personnel working to accomplish difficult tasks under dangerous, stressful circumstances.

In confusing and uncertain situations, a good operational leader will:

- TAKE CHARGE of assigned resources
- MOTIVATE personnel with a "can do safely" attitude.
- DEMONSTRATE INITIATIVE by taking action in the absence of orders.
- COMMUNICATE by giving specific instructions and asking for feedback.
- SUPERVISE at the scene of action.

Be proficient in your job, both technically and as a leader

- Take charge when in charge.
- Adhere to professional standard operating procedures.
- Develop a plan to accomplish given objectives.

Make sound and timely decisions

- Maintain situation awareness in order to anticipate needed actions.
- Develop contingencies and consider consequences.
- Improvise within the leader's intent to handle a rapidly changing environment.

Ensure tasks are understood, supervised, and accomplished

- Issue clear instructions.
- Observe and assess actions in progress without micro-managing.

- Use positive feedback to modify duties, tasks, and assignments when appropriate.

Develop your subordinates for the future

- Clearly state expectations.
- Delegate tasks that you are not required to do personally.
- Consider individual skill levels and developmental needs when assigning tasks

R E S P E C T

Know your subordinates and look out for their well-being

- Put the safety of your subordinates above all other objectives.
- Take care of your subordinate's needs.
- Resolve conflicts between individuals on the team.

Keep your subordinates informed

- Provide accurate and timely briefings.
- Give the reason (intent) for assignments and tasks.
- Make yourself available to answer questions at appropriate times.

Build the team

- Conduct frequent debriefings with the team to identify lessons learned.
- Recognize individual and team accomplishments and reward them appropriately.
- Apply disciplinary measures equally.

Employ your subordinates in accordance with their capabilities

- Observe human behavior
- Provide early warning to subordinates of tasks they will be responsible for.
- Consider team experience, fatigue, and physical limitations when accepting assignments.

I N T E G R I T Y

Know yourself and seek improvement

- Know the strengths/weaknesses in your character and skill level.
- Ask questions of peers and superiors.
- Actively listen to feedback from subordinates.

Seek responsibility and accept responsibility for your actions

- Accept full responsibility for poor team performance.
- Credit subordinates for good performance.
- Keep your superiors informed of your actions.

Set the example

- Share the hazards and hardships with your subordinates.
- Don't show discouragement when facing setbacks.
- Choose the difficult right over the easy wrong.

Communication Responsibilities

All personnel have five communication responsibilities:

- Brief others as needed
- Debrief your actions
- Communicate hazards to others
- Acknowledge messages
- Ask if you don't know

Leader's Intent

In addition, all leaders have the responsibility to provide complete briefings and ensure that their subordinates have a clear understanding of their intent for the assignment:

- Task = What is to be done
- Purpose = Why it is to be done
- End State = How it should look when done

Human Factor Barriers to Situation Awareness

Low Experience Level with Local Factors

- Unfamiliar with the area or the organizational structure.

Distraction from Primary Task

- Radio traffic
- Conflict
- Previous errors
- Collateral duties
- Incident within an incident

Fatigue

- Carbon Monoxide
- Dehydration
- Heat stress
- Poor fitness level can reduce resistance to fatigue
- 24-hours awake affects your decision-making capability like .10 blood alcohol content.

Stress Reactions

- Communication deteriorates or grows tense.
- Habitual or repetitive behaviors.
- Target fixation – Locking into a course of action, whether it makes sense or not, just try harder.
- Action tunneling – Focusing on small tasks, but ignoring the big picture.
- Escalation of commitment – Accepting increased risk as completion of task gets near.

Hazardous Attitudes

- Invulnerable – That can't happen to us
- Anti-authority – Disregard of the team effort
- Impulsive – Do something even if it's wrong
- Macho – Trying to impress or prove something
- Complacent – Just another routine incident
- Resigned – We can't make a difference
- Group Think – Afraid to speak up or disagree

After Action Review (AAR)

The climate surrounding an AAR must be one in which the participants openly and honestly discuss what transpired, in sufficient detail and clarity, so everyone understands what did and did not occur and why.

Most importantly, participants should leave with a strong desire to improve their proficiency.

- An AAR is performed as immediately after the event as possible by the   personnel involved.
- The leader's role is to ensure skilled facilitation of the AAR.
- Reinforce that respectful disagreement is OK.
- Keep focused on the what, not the who.
- Make sure everyone participates.
- End the AAR on a positive note.

What was planned?   - What actually happened? - Why did it happen?

What can we do next time? - (Correct weaknesses/sustain strengths)

From the 'Lectric Law Library's Stacks

Guide To Crisis Negotiations - www.lectlaw.com

Incidents involving barricaded subjects, hostage takers, or persons threatening suicide represent especially trying and stressful moments for law enforcement personnel who respond to them. Officers first responding to the scene must quickly assess the totality of the situation, secure the area, gauge the threat to hostages or bystanders, and request additional units as appropriate. Crisis negotiators must establish contact with subjects, identify their demands, and work to resolve tense and often volatile standoffs without loss of life. Special Weapons and Tactics (SWAT) teams must prepare to neutralize subjects through swift tactical means. Field commanders assume ultimate responsibility for every aspect of the police response.

For such a coordinated response to be successful, each component needs to understand clearly the functions of the others. This article clarifies the role of crisis negotiators for field commanders, of whatever rank, who find themselves in command of hostage or other critical incidents.

Supervisors who understand the purpose behind the actions taken by negotiators will avoid delays at the scene that occur when negotiators must stop and explain or justify their intended courses of action.

Such understanding has taken on particular importance in recent years. Negotiators have become very active, due in part to the reputations they have established for the successful, peaceful resolution of various types of critical incidents. For example, in 1993, the Hostage Negotiations Team of the Seattle, Washington, Police Department resolved 21 incidents, expending a total of 263 negotiator hours. In 1994, negotiators resolved 32 incidents, spending 407 hours in negotiations.

TRAINING
Although it might appear that negotiators and tactical teams work at cross-purposes during a crisis, nothing could be further from the truth. Society requires that law enforcement exhausts all means available prior to launching a tactical resolution to an incident. If these means prove unsuccessful, then the transition from negotiation to tactical assault must be a smooth one.

To enhance cooperation, negotiators and personnel from tactical teams should train together on a regular basis. In Seattle, the Hostage Negotiations Team and the Emergency Response Team conduct joint training exercises four to six times a year. These training sessions include four fully enacted crisis scenarios. Members of the department's command staff are encouraged to participate, and through this training, have learned how the two teams work together.

Law enforcement agencies generally place a premium on the training provided to tactical teams. Administrators should place no less emphasis on the training provided to their negotiations teams. At a very minimum, negotiators should complete the FBI's Basic Hostage/Crisis Negotiations course.

Because the department's training qualifications may become subject to critical review in the courts should negotiations fail, negotiators should further their training through advanced courses, seminars, basic psychology classes, and detailed critical analysis of past incidents.

TYPES OF INCIDENTS

Most negotiations teams group incidents into three main categories -- hostage takings, barricade situations, and suicide attempts. Traditionally, hostage takings assume the highest profile. However, in recent years, the Seattle Police Department's Hostage Negotiations Team has responded to an increasing number of high-profile barricade situations. Field commanders should remember that the peaceful resolution of a barricade situation is as important to negotiators as the resolution of an incident involving a person threatening to jump from a bridge or a hostage taking with extensive media coverage.

THE NEGOTIATIONS PROCESS

In negotiations, as in most endeavors, no absolutes exist. Each incident takes on a personality of its own. Field commanders can be sure of only one thing: Their decisions will be scrutinized by every "Monday morning quarterback" from city hall to the city desk. Therefore, they should base their decisions on an understanding of the negotiations process and the many factors that affect it.

Untrained Personnel

A successful negotiations process requires a good foundation. Often, circumstances force the first responding officers to initiate some type of negotiation with the subject(s).

However, once line officers or first-line supervisors realize that an incident appears to be heading for something other than a prompt resolution, they should immediately terminate negotiations and call in trained negotiators.

Too many tragedies in communities across America demonstrate how negotiations should not be initiated. A bad start by well-intentioned, but untrained, personnel can have negative effects throughout the process. Simply put, personnel who are not trained negotiators should not negotiate.

Time

A negotiator's most important ally in all situations is time. Field commanders should not rush anything unless the loss of life appears imminent. Although it may seem as if nothing is happening because a suspect is not negotiating, this is not so. During these quiet times, many things occur that will eventually lead to a peaceful resolution.

Negotiators refer to these quiet intervals as "dynamic inactivity." As long as time passes without any harm to persons involved, then negotiators are making progress. The passing of time works for the police in many ways and only means that a resolution is closer at hand. Field commanders should keep in mind that patience is a virtue.

The Negotiations Team

Generally, the negotiations team consists of at least three main negotiators. Each team member plays a vital role in the successful resolution of critical incidents.

The primary negotiator actually communicates with the subject. The secondary (or backup) negotiator assists the primary negotiator by offering advice, monitoring the negotiations, keeping notes, and ensuring that the primary negotiator sees and hears everything in the proper perspective. The intelligence negotiator interviews persons associated with the suspect to compile a criminal history and a history of mental illness, as well as to gather other relevant information.

Often, an additional negotiator will act as the chief negotiator, whose primary responsibility is to act as a buffer between command personnel and the negotiations team.

Invariably, and understandably, field commanders want to offer their advice to the negotiations team. Whenever possible, suggestions should be routed to the negotiations team via the chief negotiator.

The Negotiations Area
Typically, the negotiations team sets up away from the rest of the activity and maintains communications with the command post via a liaison. In Seattle, a member of the Emergency Response Team generally monitors the negotiations and provides tactical intelligence to the arrest, entry, and perimeter teams.

Only the Police Should Negotiate
Often, well-meaning civilians offer to negotiate with subjects. Sometimes, these civilians insist that they be allowed to negotiate. A wide range of individuals - from parents, spouses, and lovers to friends, members of the clergy, attorneys, counselors, and mental health professionals - might offer to do the talking. As a general rule, direct civilian participation in negotiations is entirely unacceptable. The tactical negotiations process is a police operation.

When faced with these offers, field commanders should keep in mind that the individual now so willing to help might have played a large part in driving the subject over the edge. While these individuals might be a useful source of information, only in very rare circumstances should they be allowed to speak directly with subjects. Instead, they should be escorted to the intelligence negotiator and kept well clear of the actual negotiations process.

Containment and Control
Basic police procedure dictates that any crisis incident be contained using both inner and outer perimeters established and maintained by the police. Critical incidents such as hostage takings, barricade situations, or suicide attempts must be contained prior to the start of negotiations. Mobile negotiations should not be attempted.

While the need for a secure inner perimeter is obvious, crisis incidents also require an emphasis on a well-controlled outer perimeter. When arriving at the scene of a hostage taking, barricade situation, or suicide intervention, negotiators often encounter a large crowd made up of bystanders, the press, and the subject's family members. It is important that the subject not be given an audience to "play to." Negotiation cannot succeed if negotiators must compete with outside influences for the subject's attention.

Individuals with potentially helpful information about a subject should be secured in an area where they can provide details to the intelligence negotiator. Likewise, the press should be provided a designated gathering area away from the perimeter and be briefed regularly regarding the status of the negotiations process.

Field commanders should remember that reporters have a job to do. They will do that job, with or without the help of the police. It is far more preferable to provide them with the accurate information they need than to force them to gather it for themselves. The relationship need not be confrontational. In Seattle, the police generally enjoy good relations with the on-scene press. During protracted incidents, supervisors should request the assistance of the department's media relations personnel to help deal with the press.

The highly unstable nature of these incidents also makes it imperative that an arrest team be prepared to take the subject(s) into custody at a moment's notice. In fact, the surrender phase represents the most critical stage in any negotiated incident. In some cases, surrender can occur very rapidly. Depending on the severity of the incident, the arrest team can be made up of patrol officers or members of specialized teams. Once the SWAT team sets up at a scene, it should assume this duty.

Control of Phone Lines
During a protracted crisis, it is essential that the police control the phone lines. Generally, one of the first actions negotiators take when arriving at an incident is to arrange with the telephone company to deny origination to

telephones at the subject's disposal. Once origination is denied, the subject's telephones will no longer get a dial tone. At the negotiators' request, the telephone company then establishes a new number that serves as a direct line between negotiators and the subject. Restricting telephone access in this way prohibits the subject from talking to family, friends, attorneys, and most important, the press. It also prevents the suspect from gathering intelligence about police maneuvers from associates.

The Throw Phone
When there is no telephone accessible to the subject, or the telephone has been disabled as a tactical move by SWAT, the police must reestablish a means of communication. Because of the potential danger posed to negotiators, face-to-face negotiations do not represent an acceptable option. In these situations, the SWAT team often tactically delivers a "throw phone"--a standard telephone linked to a hardline system connected to the hostage phone system. Because telephone delivery places members of the SWAT team in dangerous situations, it should be practiced regularly during joint negotiator-SWAT training exercises.

Controlling Utilities
In Seattle, control of the phone lines generally can be secured without supervisory approval. However, in many instances, the negotiations team might determine a need to control the electricity and water, as well. Only the on-scene commander can make the final decision to interrupt these services.

Negotiators will bring the specific reasons for disconnecting utilities to the attention of the on-scene commander. Some of the most common reasons include taking away a subject's ability to monitor the incident on television; darkening the environment to provide a tactical advantage for SWAT; and eliminating comforts, such as toilet facilities.

Tactical teams also might call for disconnection of plumbing services to deny subjects the ability to neutralize chemical agents, as has occurred in several recent incidents in Seattle. For whatever reason, the denial (or resumption) of utilities provides negotiators with an effective bargaining tool.

Different perspectives exist concerning the appropriate time to deny subjects utility services. Some experts believe that utilities should be disconnected before negotiations begin. Others believe negotiators should save such steps for use as bargaining tools later. While this is a matter of individual agency policy, administrators should ensure that the department adopts well-established policy guidelines in this pivotal area.

Demands and Deadlines
It is preferable for field commanders to resist the tendency to monitor the negotiations process personally. Supervisors who monitor negotiations or hear demands, deadlines, and death threats related during briefings should not become overly concerned. They should remember that the negotiating team is trained to deal with such scenarios. When a subject demands "$1 million," the negotiators actually hear "a 6-pack of soda."

Likewise, if the on-scene commander hears a subject say, "If I don't get the car by 2:00, I'll kill a hostage," negotiators actually hear, "Good, now we are really negotiating." Remarkably few hostages have ever been harmed as a result of missed deadlines. Of course, negotiators take deadlines and demands very seriously; however, skilled negotiators generally can work around them and even make them work to law enforcement's advantage.

During an incident, a member of the negotiations team keeps the field commander informed of the negotiations. Commanders who find it absolutely necessary to monitor the negotiations need to inform the negotiations team, which should have the capability to wire a speaker to the command post to enable supervisors to listen to exchanges with the subject.

However, field commanders' decisions should be based on the law, departmental policy, and the need for preservation of life and property. They should not make decisions based on exchanges they overhear between subjects and negotiators. The decision-making ability of commanders who personally monitor the negotiations process may be affected by any number of factors that have little actual bearing on the situation.

Psychology

Much of the insight into the minds of troubled subjects comes from the specialized psychological training that crisis negotiators receive. As part of their training, negotiators learn a great deal about personality types, personality disorders, and the psychological motivations of hostage takers, suicidal persons, and subjects who barricade themselves. This training enables negotiators to manipulate a subject through their understanding of that person's state of mind. Accordingly, negotiators rely primarily on mental rather than physical tactics to resolve conflicts.

Checklist

Each field commander with the Seattle Police Department carries a pocket-sized checklist of actions that must be performed during a negotiated crisis. The checklist assists on-scene commanders to accomplish in an orderly fashion the various tasks required during a crisis. Other agencies might benefit from a similar checklist.1

During times of extreme pressure, even the most prepared and composed professionals might not always remember to do everything at the right time. A checklist can prove invaluable in assisting supervisors to keep tense situations under control.

Debriefings

Agencies should conduct debriefings after the resolution of any crisis incident. Whenever possible, these debriefings should take place immediately following an incident, when details are still fresh in the participants' minds.

The debriefing should focus on how the various units handled their roles during the incident. Each component must be represented, and officers should feel free to offer criticism--both positive and negative. However, debriefings of this type should not be confused with or conducted in place of critical incident stress debriefings. Both serve valuable but distinct purposes.

CONCLUSION

Despite moves toward proactive policing methodologies, law enforcement remains an inherently reactive profession. When violent or troubled subjects create a crisis, they force the police to react to a situation in which the offenders already hold many of the cards. The press and the public judge the police by how well they respond to such situations.

Generally, concerns for hostage and officer safety, in addition to the well-being of often mentally disturbed subjects, dictate that the police respond at the lowest force level possible.

Therefore, on-scene commanders should be prepared to supervise a negotiated settlement. The negotiations process can be tedious, complex, and at times, confusing. The better field commanders understand the many factors that affect it, the more likely that negotiators will get the support necessary to resolve critical incidents peacefully.

Critical Incident Stress Reactions
What it is, how to recognize it, and what to do about it!

What is Critical Incident Stress? Police work can be stressful on a regular basis. While continual stress will take its toll, Critical Incident stress is different in that it directly relates to a dramatic event or events in the life of an officer that results in a number of debilitating symptoms.

Definitions of a Critical Incident include:

Any situation beyond the realm of a person's usual experience that overwhelms his or her sense of vulnerability and or lack of control over the situation. – **Roger Soloman, Ph.D**

Any Situation faced by emergency service personnel that causes them to experience unusually strong emotional reactions which have the potential to interfere with their ability to function either at the scene or later. – **Jeff Mitchell, Ph.D.**

A life experience or series of experiences that so seriously upsets the balance of the individual that it creates changes in the person's emotional, cognitive or behavioral functioning. – **Daniel A. Goldfarb, Ph.D. & Gary S. Aumiller, Ph.D.**

Perhaps the simplest definition of Critical Incident Stress is: **A normal reaction to an abnormal event.**

Critical Incidents:

- Are sudden and unexpected
- Disrupt our sense of control
- Disrupt beliefs, values, and basic assumptions about the world in which we live, the people in it, and the work that we do
- Involve the perception of a life damaging threat
- May involve emotional or physical loss

The police subculture holds many myths that can lessen the officer's ability to deal with the situation. "Real men can handle it!"; "If you can't deal, find a new line of work!"; "Keep it to yourself," Don't be a baby!" The reality is that police officers, as all human beings, will experience deep emotional reactions to a critical incident. Attempts to deny this fact often cause officers to suffer in silence, not seek help, and in some instances, truly disrupt their lives and the lives of their families.

You have experienced a traumatic event or a critical incident (any incident that [would cause most individuals] to experience unusually strong emotional reactions which have the potential to interfere with their ability to function either at the scene or later). Even though the event may be over, you may now be experiencing or may experience later, some strong emotional or physical reactions. It is very common, in fact quite normal, for people to experience emotional aftershocks when they have passed through a horrible event.

Sometimes the emotional aftershocks (or stress reactions) appear immediately after the traumatic event. Sometimes they may appear a few hours or a few days later. And, in some cases, weeks or months may pass before the stress reactions appear.

The signs and symptoms of a stress reaction may last a few days, a few weeks or a few months and occasionally longer depending on the severity of the traumatic event. With understanding and the support of loved ones the stress reactions usually pass more quickly. Occasionally, the traumatic event is so painful that professional assistance from a counselor may be necessary. This does not imply craziness or weakness. It simply indicates that the particular event was just too powerful for the person to manage by themselves.

Police officers and rescue workers in general, share personality traits that can feed into the stress of a critical incident. Personality factors of Law Enforcement Personnel include:

- A need to be in control
- Obsessive/perfectionist tendencies
- Compulsive/traditional values -- wanting things to remain unchanged
- High levels of internal motivation
- Action-oriented
- High need for stimulation and excitement (easily bored)
- High need for immediate gratification
- Tendency to take risks
- Highly dedicated
- Invested in the job due to months of training and preparation, view job as life long career
- Identify strongly with their role as a police officer
- High need to be needed

These personality factors not only make officers do a good job, but also make them more vulnerable to critical incidents. The demands of the job, in combination with these personality factors, are reasons why officers need to be more aware of stress. They also need to be especially aware of the impact stress has on their everyday functioning.

Types of critical incidents include:

- Line of duty death/injury/shooting. This event highlights the officers own mortality. In an instant, an incident shatters the "myth" of invulnerability that officers often need to function on a day to day basis.
- Suicide of a Co-worker. ..."It can happen to anyone...Even me!" The pressures of the job, a personal life and the toll both can take come into focus. Add to this the "If only's..." and guilt develops as well. The suicide of a co-worker can turn the officer's world upside down.
- Death of a child. The innocence represented by children can have a profound impact on an officer. The death of a child can push an officer over the edge. It can disrupt the "natural order of things". It can make everything the officer stands for seem useless. Should the officer have children or worse, children the same age, "factors of identification" can add even more stress.
- Prolonged failed rescue attempt. This is especially true if the officer has come to know the victim. A great deal of stress is encountered in this situation. The officer is continually focused on the "absolute necessity to succeed". The officer's very reason "for being" is put on the line: someone needs him/her, their life depends on him/her. He cannot let them down! A deep sense of personnel failure, coupled with the stress of the situation, can trigger deep emotional consequences.
- Mass Casualty Incidents. Multiple victims, mass confusion, shortages of manpower and resources all add to make these situations overwhelming! The enormity of the situation can merely override an officer's ability to cope.
- Safety of the officer is unusually jeopardized. An officer sees the worst side of life every day. He is constantly exposed to society's underbelly. It can be difficult to maintain a view that there are any decent people out there. This is somewhat complicated since an officer faces potential danger on a daily basis. However, if an officer finds himself in a situation that focuses him on his vulnerability and lack of control, a critical incident stress reaction can be triggered.
- Victim is known to responder. Seeing death and tragedy is bad enough. If the officer finds he knows the victim, this can trigger a critical incident stress reaction. He is unprepared, is close to the victim, and may believe that he/she is somehow responsible. "I should have driven faster, etc...".

Factors affecting magnitude of Response: Not all people exposed to a critical incident experience a stress reaction. In fact it appears to be consistently divided into thirds such that:

- **1/3 experience little to no reaction**
- **1/3 experience moderate symptoms**

- **1/3 experience severe symptoms**

The symptoms may show up immediately after the incident. This is called an acute reaction. If symptoms are going to appear, this is as good a time for them as any. It is clear what caused the symptoms, support is usually at its highest, and help is often sought. Often future problems are avoided when reactions are acute since the symptoms are dealt with promptly.

Symptoms may appear up to a few months later. Not all symptoms appear at once. After the onset of the first few (and it varies from person to person what those will be), other symptoms start to pile on. This is called a **delayed reaction**. It represents difficulty because there is not always a clear association between the event and the subsequent symptoms. As a result, the officer often thinks he/she is going "crazy" for no reason. They do not seek out support from family and friends. Often they will try to deny they are having symptoms to others, even to themselves. They do not seek professional help. The result may be that symptoms needlessly worsen until the officer's life has become over-complicated and outside pressure is applied to seek some form of treatment. Even at this juncture, if the symptoms are not related to the event, treatment may be ineffective. As a peer team member, you can be helpful to individuals with delayed reactions by pointing out to them that you see them having problems and that these problems may be connected to an incident that they went through.

Symptoms of stress may also appear in officers who have had repeated exposure to critical situations (i.e. emergency services). Years may elapse. Hundreds of incidents may have occurred. The officer may consider him/herself immune to stress problems. Then it hits: **"a cumulative stress reaction."** This may be the most difficult person to help. There is almost no association between these symptoms and the critical incidents the officer has faced. The symptoms appear to have come from "out of the blue". The officer may fear he/she has suddenly become weak or "lost it." They question their ability to go on with the job; a job which they may love. Often seeking help does not even cross their mind. Since there is no clear single incident, friends or peer team members may not realize that the stress symptoms shown are the result of the toll taken by experiencing just too many stressful calls.

As a friend or peer, you can serve a crucial function in helping these officers. If you see symptoms appearing, and you are aware of their work history, you are in a unique position to help them put the puzzle of their symptoms together. You can help them understand that they are not "crazy" or "weak." They just need to get on the right track as any human exposed repeatedly to high levels of stress will eventually show symptoms.

As noted, not all people exposed to a critical incident will experience symptoms. This does not mean that some people are immune from the pressures of police work. In fact, a person who has been through a number of critical incidents without effect may find themselves terribly shaken by a particular call. The reverse is true. A person who took some time to recover from an incident may find that they have few symptoms after a particularly harrowing call. In fact, the effect of any call on an officer can be a complicated mixture of his/her personality, combined with specific characteristics of the call itself. Some factors that may affect an officer's response include:

- **The nature of the Event** - How involved was the officer? How much control of the situation did he/she have? The less control -- the more traumatic the experience. What was the degree of threat or loss? How grotesque was the call? Remember, what a person considers grotesque will vary from person to person. How much did the call disrupt his/her expectations of the job/the world/people in general?
- **Degree of warning** - The less warning often the more severe the response. Warning provides an officer with time to develop some coping strategies.
- **Ego Strength/Coping Style** - Everyone comes to a situation with a different character and personality. The individual's personality is molded through their genetics and past experiences. Some people have stronger coping mechanisms and higher degrees of awareness in their philosophical and spiritual life. All these characteristics will alter the effects of a critical incident.
- **Prior mastery of the experience** - Practice makes better! Going through a hairy call successfully may make it easier to go through the experience again. The past experience helps the officer think more

clearly and more positively in a similar situation. This can help not only with one's physical survival, but with the emotional survival once the call has ended.

- **Proximity** - The closer an officer is physically to the scene the greater the impact. Proximity is also created by psychological closeness. Seeing a dead three year old girl may have more of an impact on the officer with a three year old at home. Often there may be emotional links between the scene and the officer's life for which he/she is unaware. The officer may then experience the stress symptoms, may even be able to relate it to the incident he/she just lived through, but may feel like some piece of the puzzle is missing, because they can't make the connection to their own life. Many times these links need to be discovered in order for the stress level to subside. This is an area where a professional may prove to be very helpful.
- **The amount of stress in one's life** -- It is better not to be going through a bitter divorce when one is responding to a particularly stressful call! The amount of stress in a person's life and how it is being handled can have a tremendous impact on the effects of added stress.
- **Nature and degree of social support available to an officer after a critical incident** -- The officer's willingness to accept support is also important. If the officer pushes people away with the idea that he/she "can handle it", then they place themselves at greater risk. This support includes all of the significant people in an officer's life: peers, supervisors, professionals, and family. The family especially plays a crucial role. Their degree of support, willingness to listen, and the officer's ability to open up and talk, all factor into the degree of response to a critical incident.

So from the above, it can be seen that the likelihood and severity of an emotional response resulting from a critical incident is a combination of factors. These include both personality factors within the officer, as well as factors about the call itself, and even factors revolving around the officers current life situation.
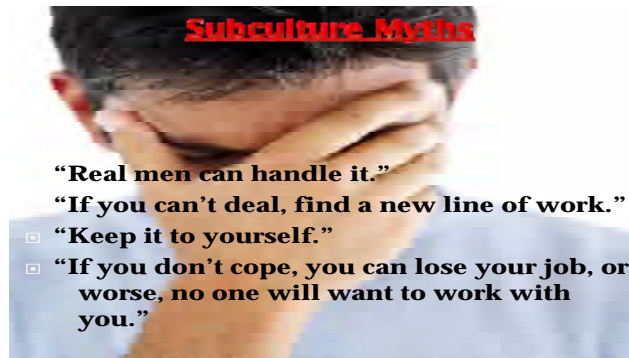
CRITICAL INCIDENT STRESS REACTION SYMPTOMS

The acute signals of distress exhibited by people after a critical incident can be observed in four spheres:
Physical - Cognitive - Emotional - Behavioral

Physical Signs

- Tension, aches, pains; trembling, poor coordination, chest pains, dizziness, weakness, chills, thirst, fainting, twitches, elevated blood pressure, rapid heart rate, shock symptoms
- Jumpiness: startle at sudden sounds or movement; grinding of teeth
- Cold sweat; dry mouth; pale skin; eyes hard to focus; profuse sweating
- Feeling out of breath; hyperventilating until fingers and toes go numb or cramp
- Upset stomach; vomiting, diarrhea, constipation, frequent urination
- Fatigue: feel tired, drained; takes effort to move
- Distant, haunted, "1000" mile stare

Cognitive Signs

- Difficulty making decisions; uncertainty; poor decision making
- Confusion; suspiciousness;
- Disorientation of time, place or person; increased or decreased awareness
- Poor concentration; heightened or lowered alertness, lack of attention
- Memory loss, especially for recent events; difficulty identifying objects or people
- Unable to perform multiple tasks
- Flashbacks (either visual or auditory)
- Nightmares; hyper vigilance; blaming someone;
- Poor problem solving; poor abstract thinking

Emotional signs

- Grief; Guilt; Panic; Denial; Agitation; Irritability; Apprehension; Emotional Shock
- Depression
- Anger
- Resentment
- Anxiety; Fear
- Feelings of numbness
- Feelings of being overwhelmed; Emotional outbursts; Loss of emotional control;
- Constant second guessing/self-doubting
- Feeling detached from reality

Behavioral Signs

- Decreased job performance
- Withdrawn from friend/colleagues/family
- Outbursts (either crying or laughing)
- Changes in normal humor patterns
- Excessive talkativeness or silence
- Hyperactive behavior
- Antisocial acts
- Inability to rest
- Intensified pacing; Erratic movements
- Change in social activity
- Loss or increase of appetite
- Increased consumption of alcohol and/or drugs

Peer actions

o Remove officer from scene as soon as possible.
o Help him/her notify his/her family that he/she is safe.
o Reassure officer that his/her symptoms are normal.
o Allow and encourage officer to talk. It is important to let him/her tell and retell story, over and over.
o Reassure officer that you and his friends will support him.
o Encourage friends to contact officer and listen to him.
o Encourage family to listen to officer.
o Officer should be given plenty of fluids (no alcohol/coffee).
o Officer should eat a healthy meal when able -- avoiding junk foods.
o Officer should do physical exercise as soon as able.
o Keep officer informed about on-going investigation and case facts.
o Encourage officer to attend a Critical Incident Stress Debriefing with a qualified police mental health professional within 72 hours of the incident.

NOTE: chest pain, hyperventilation, rapid heartbeat, shock, and heart arrhythmia's all indicate need for medical evaluation as soon as possible.

Physical*	Cognitive	Emotional	Behavioral
chills	confusion	fear	withdrawal
thirst	nightmares	guilt	antisocial acts
fatigue	uncertainty	grief	inability to rest
nausea	hyper vigilance	panic	intensified pacing
fainting	suspiciousness	denial	erratic movements
twitches	intrusive images	anxiety	change in social activity
vomiting	blaming someone	agitation	change in speech patterns
dizziness	poor problem solving	irritability	loss or increase of appetite
weakness	poor abstract thinking	depression	hyper alert to environment
chest pain	poor attention/ decisions	intense anger	increased alcohol consumption
headaches	poor concentration/ memory	apprehension	change in usual communications
elevated BP	disorientation of time, place or person	emotional shock	etc...
rapid heart rate	difficulty identifying objects or people	emotional outbursts	
muscle tremors	heightened or lowered alertness	feeling overwhelmed	
shock symptoms	increased or decreased awareness of surroundings	loss of emotional control	
grinding of teeth	etc...	inappropriate emotional response	
visual difficulties		etc...	
profuse sweating			
difficulty breathing			

* Any of these symptoms may indicate the need for medical evaluation. When in doubt, contact a physician.

Things to Try

- WITHIN THE FIRST 24 - 48 HOURS periods of appropriate physical exercise, alternated with relaxation will alleviate some of the physical reactions.
- Structure your time - keep busy.
- You're normal and having normal reactions - don't label yourself crazy.
- Talk to people - talk is the most healing medicine.
- Be aware of numbing the pain with overuse of drugs or alcohol, you don't need to complicate this with a substance abuse problem.
- Reach out - people do care.
- Maintain as normal a schedule as possible.
- Spend time with others.
- Help your co-workers as much as possible by sharing feelings and checking out how they are doing.
- Give yourself permission to feel rotten and share your feelings with others.
- Keep a journal; write your way through those sleepless hours.
- Realize those around you are under stress.
- Don't make any big life changes.
- Do make as many daily decisions as possible which will give you a feeling of control over your life, i.e., if someone asks you what you want to eat - answer them   even if you're   not sure.
- Get plenty of rest.
- Reoccurring thoughts, dreams or flashbacks are normal - don't try to fight them -   they'll decrease over time and become less painful.
- Eat well-balanced and regular meals (even if you don't feel like it).

FOR FAMILY MEMBERS & FRIENDS

- Listen carefully.
- Spend time with the traumatized person.
- Offer your assistance and a listening ear if they have not asked for help.
- Reassure them that they are safe.
- Help them with everyday tasks like cleaning, cooking, caring for the family, minding children.
- Give them some private time.
- Do not take their anger or other feelings personally.
- Do not tell them that they are "lucky it wasn't worse" - traumatized people are not consoled by those statements. Instead, tell them that you are sorry such an event has occurred and you want to understand and assist them.

DO NOT

- Second guess officer.
- Say "Everything will be fine".
- Try to protect him/her by withholding information (do use judgment).
- Give too much advice.
- Make promises and not follow up.

Critical Incident Stress Management - Written by Stephenie Slahor

Whether it is an officer-involved shooting, a terrorist incident, an accident scene, a wide-scale disaster, or any of the other events that involve law enforcement personnel as first responders, there will be stress associated with the event. That stress will be felt not only by the first responders, but also by those directly, or even indirectly, affected by the event. Strategic intervention planning is a necessary component of responding to such stress-producing events.

Offering help on group crisis intervention is Dr. Michael MacIntosh, chaplain with the San Diego, Calif., Police Department and Newport Beach, Calif., Police Department. He is a certified instructor in crisis intervention and has served as a reserve police officer. He is the author of "When Your World Falls Apart," which describes his experiences as one of the chaplains on the scene of the terrorist attack against the Twin Towers in New York. He also served as a chaplain at the Oklahoma City Federal Building bombing site.

MacIntosh held a two-day critical incident stress management training seminar at the Palm Springs, Calif., Police Department Training Center. The seminar was one of the events of the "Festival of Life" that took place in the Coachella Valley of California (in which Palm Springs is located) in alliance with Lighthouses of the Valley, a cross-denominational group of Christian pastors, churches, para-church groups and community leaders.

MacIntosh said that police departments need to form critical incident stress management (CISM) teams composed of trained personnel who can guide individuals, small groups or large groups through recovery from a stress-provoking event.

In a critical incident, those affected react in many different ways, but their tension and stress levels will be "unbelievable," MacIntosh said. In a stress-provoking incident, "The thoughts you're having are normal thoughts that any normal person would have in an abnormal situation," he said.

It is the nature of the work of police personnel, fire fighters and emergency medical responders to face such abnormal situations almost daily. "It's the situation that's nuts," he said. "You're OK." He added, "It's only because of the work you're doing. It's not the end of the world at all."

He pointed out that when first responders are asked why they chose their job, their answers are usually, "I want to help people," and "I want to make a difference." Those sentiments are key to being a first responder, and they result in what MacIntosh termed "a love in the culture" among those who do first responder work. First responders regard one another as brothers and sisters, and that camaraderie extends to their support workers as dispatchers and staff, too.

The critical incidents that are a part of the work of first responders have the potential to create significant distress, so much so that a person's normal coping mechanisms cannot handle the distress without help. CISM can help first responders through some of the rough spots, but CISM is not a clinical prescription or a substitute for further help or therapy.

"It's not the cure-all," said MacIntosh, but a psychological crisis faced by first responders can be lessened or assuaged if intervention is provided in a timely manner to give active, short-term, supportive help that can mitigate the significant distress, impairment or dysfunction that first responders experience after a critical incident.

The goals of CISM are to stabilize those affected, reduce their symptoms of impairment or dysfunction, help them return to adaptations that will assist them in functioning normally again, and facilitate access to further care, if needed. The help given by CISM should be as immediate as possible, because that immediacy can reduce impairment.

CISM is much akin to first aid for a physical injury—that temporary, immediate care during which there is assessment of need, immediate treatment, reduction of further injury, and quicker recovery, said MacIntosh. In a way, crisis intervention is a kind of psychological or emotional first aid, he said. "CISM is designed to keep you in the race," he stated.

As positive as all this sounds, there may be resistance to forming CISM teams, he said. Such things as administrative misunderstanding of CISM, turf wars, multi-agency conflicts, politics, untrained "helpers" or limited follow-up all need to be considered and rectified before a CISM team can be effective in its work.

"Each one of us is completely different," MacIntosh said, but psychological distress will take a toll if a person's usual coping or defense mechanisms are overwhelmed. A psychological crisis will disrupt a person's natural, homeostatic balance between thinking and emotions. The crisis can provoke stress that causes failure of the coping mechanisms. Crisis intervention targets these changes and responses, not the event, he emphasized.

The intervention assesses the need in light of what is occurring. "When you intervene quickly, you're saving someone" from more severe mental damage that can occur hours, days, weeks or even months later, MacIntosh said. A variety of interventions can be used, but they must match what is needed in the situation and among the people affected by the event.

MacIntosh noted that police personnel are usually "the most flexible people," adept at multitasking and coping. But even the most flexible may need help, and not just the people who have been especially close to the incident as it occurred or who were caught in its immediate aftermath.

Right after the event is the best time to begin the process of intervention, MacIntosh recommended. "Intervention reduces the stress levels, helps you get back to the job, and helps others get back to doing the job," he said, though adding, "It is not reasonable to think that any one thing can help." There will likely be many processes and many people involved in the course of intervention. Assessment, intervention and evaluation will occur all along the steps of the process of care, to lead to the resilience and recovery needed.

MacIntosh pointed out that sometimes it is possible to create a "resistance" to distress through pre-incident training and preparation that teaches people how to build their immunity to the manifestations of distress, dysfunction and impairment. Practices, drills and mock scenarios may be beneficial.

Or maybe not! The event may be of such magnitude that pre-incident training is not enough, or the personnel may be so close to the event that coping mechanisms cannot work effectively. Family of such personnel will also need assistance and intervention for their safety, security, reactions, and spiritual and emotional care.

In such cases, the intervention will focus on building resilience and helping toward recovery. Resilience means rebounding in an effective and quick manner from the psychological effects of an incident. Recovery is the ability of someone to function adaptively, despite the incident. Both resilience and recovery can apply to individuals, small groups, large groups or entire populations.

The intervention is only one part, MacIntosh reminded. There must be access to appropriate levels of care, as needed, and CISM teams must facilitate that access. There must also be consideration of the various people

served: individuals, small groups, large groups, communities, neighborhoods, diverse populations, special populations, and so on.

MacIntosh noted that most people can cope with some stress if they have general well-being in their physical body and in their psychological, social, emotional and spiritual domains. Most people are effective problem-solvers and make responsible lifestyle choices. Those factors also help them cope with stressful situations. A healthy sense of home and family, honor, strong social support, and faith also help.

MacIntosh paraphrased Romans 13:1-6 saying that police officers, as part of the rulers of the people, are as ordained ministers of God, to strike fear in the wicked and bring hope to the good. While CISM usually means "critical incident stress management," it also stands for a "comprehensive, integrated, systematic, multi-component" approach to stressful situations, he said. Inner peace and character and pre-incident training will help, but when further intervention is needed, it must be given so that people can rebound and have "the ability to get back into service," MacIntosh said.

There are six core skills for teams in crisis intervention: assessment (similar to triage), **strategic planning, one-to-one crisis intervention, small group intervention, large group intervention, and follow-up/referral to further help.** The task for CISM teams is to learn the methods and tactical skills to be used in CISM, and also to know strategically when and where to employ the most appropriate intervention methods and skills for the people to be served, he said. CISM is not psychotherapy, he reminded, but only a part of a continuum of care needed after a critical incident.

CISM mitigates the impact of the event and lowers the tension being felt, facilitates recovery in normal people who are experiencing an abnormal event, and restores those people to adaptive functioning. It is a focused form of crisis intervention to manage the traumatic stress of the critical incident.

MacIntosh noted that not only does CISM apply intervention skills to a situation, but it also considers how and where that intervention takes place. Immediacy is important, because rapid intervention is just like rapid first aid for a physical injury. Contact should be made quickly and in a place where there is a sense of safety, privacy and relaxation.

He termed it a "respite center" and said pre-planning by the CISM team should include decisions about where such a center can be quickly arranged. Proximity to the site of the incident may be a factor, or the respite center can be at the station. But he said it should be "your place where you're out of the limelight."

MacIntosh said stress is created as a response to a physical, cognitive, emotional, psychological and/or spiritual arousal. Stress is a normal reaction of the body, but the cumulative effects of it can be damaging, eroding health and performance, and even causing disease. The "fight, flight, freeze" reaction to sudden stress, and the accompanying adrenaline rush it causes, can be debilitating. CISM team members must learn what symptoms people might exhibit after a critical incident and the stress it has caused.

MacIntosh reminded that CISM assistance might need to be offered not only to those directly impacted by an incident, but to support staff, dispatchers, family of those involved, the bereaved, people with pre-existing psychiatric problems, or those who ask for such help. While some of the intervention will come almost immediately after the event, intervention may also be needed much later, for example, when a court trial stemming from the incident begins or is in progress.

Critical Incident Protocol

— A Public and Private Partnership

MICHIGAN STATE
U N I V E R S I T Y

Critical Incident Protocol
—A Public and Private Par tnership

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Radford W. Jones, Project Director
School of Criminal Justice
Michigan State University

Margaret A. Kowalk, Administrative Assistant
School of Criminal Justice
Michigan State University

Patricia P. Miller, Editor
University Outr each
Michigan State University

Cools & Cur rier, Publication Design

Robert Tarrant, Facilitator
Tarrant and Associates, Inc.

Critical Incident Pr otocol
—A Public and Private Par   tnership

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Introduction

This publication *Critical Incident Protocol: A Public and Private Partnership* discusses the essential and beneficial process of the public and private sectors working together to plan for emergencies. Important elements include planning, mitigation, business recovery, lessons learned, best practices, and plan exercising. Whether it is a minor incident or a major terrorist activity involving weapons of mass destruction, the community's collective resources must unite and work to understand the processes necessary to resolve the matter.

As one Fortune 100 Security Director stated, "It is not if, but when."

Surveys conducted on emergency planning and recovery reveal how important proper planning can be:

- Most businesses do not have an emergency or recovery plan even though they know it is important.

- 47% of businesses that experience a fire or major theft go out of business within two years.

- 44% of companies that lose records in a disaster never resume business.

- 93% of companies that experience a significant data loss are out of business within five years.

- The majority of businesses spend less then 3% of their total budget on business recovery planning.

Communities and businesses participating for the first time in a public/private critical incident partnership will become aware of the value of a joint planning process and those already engaged in public/private partnerships can gain new ideas and reinforce current practices. The Protocol will outline lessons learned in:

- **Establishing partnerships** in advance so the event can be managed and resolved with minimum loss to the community.

- **Conducting individual and joint public/private evaluations of risk factors** and understanding what business functions are critical to individual businesses and the community.

- **Developing joint public/private sector emergency plans** and how community resources can be identified and shared to respond to disasters.

- **Facilitating business resumption** and recovery.

- **Developing training exercises** and understanding the value of exercising the joint plan.

- **Incorporating *mitigation*** throughout the entire process and recognizing its significance in preventing a disaster and reducing its potential impact.

The Protocol is not intended as a checklist since detailed planning lists and documents can be obtained from a number of resources, some of which are listed in the Protocol **Reference** Section. A **Glossary** of terms is included to enhance mutual understanding of common terminology between the public and private sectors.

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The *Critical Incident Protocol* was developed under a grant awarded by the U.S. Department of Justice, Office for State and Local Domestic Preparedness Support, Office of Justice Programs. The Protocol development process was facilitated by and this Protocol was written by the School of Criminal Justice, Michigan State University   .

Over 100 persons from the public and private sector participated in five regional meetings held throughout the state of Michigan and their collective expertise and personal experience created the substance of the Protocol. A Focus Group comprised of fire, police, emergency managers, and private security executives guided the Protocol development process.

In 1998 the City of Sterling Heights Municipal Security Task Force, with representatives from the public and private sectors, was formed to develop joint plans to react to the use of weapons of mass destruction (WMD). They reviewed the Protocol and provided additional comments. The City of Sterling Heights and General Dynamics Land Systems participated in a tabletop exercise conducted by long distance interactive video conferencing to evaluate the use of that technology in conducting such exercises. Members of the Private Sector Liaison Committee, International Association of Chiefs of Police, wer e also involved in the review pr ocess.

The participants stressed one over-riding principle: "Denial of the potential for a critical incident must be eliminated, for it is not   *if* but *when* disaster will strike."

Critical Incident Defined

A **critical incident** is any event or situation that threatens people and/or their homes, businesses, or community. While we often think of floods, tornadoes, hurricanes, or armed assailants as posing critical incidents, the true definition of a critical incident includes any situation requiring swift, decisive action involving multiple components in response to and occurring outside of the normal course of routine business activities.

As one police chief said, "We have to handle the small incidents prior to managing the major ones."

For example, a company may experience loss of production due to mechanical breakdown or a retail merchant may encounter product spoilage but these are normal disruptions within their business processes. But if these businesses are faced with workplace violence or a terrorist incident, a number of outside resour ces will be needed. The public sector (police or fire) routinely respond to emergency situations, but workplace violence, a terrorist act, or a community disaster will place abnormal strain on their r esour ces and exper tise.

A security director indicated that if the joint planning pr ocess has occurred, we can r espond to a weapon of mass destr uction event as well as we do to other events.

The scope of many critical incidents such as natural disasters, workplace violence, or domestic terrorism, requires the cooperative efforts of business and public sector planners and responders.

Protocol Objectives

- Create public and private sector understanding of their common goal to protect lives and pr operty while sustaining continuity of community life.

- Encourage the public and private sector entities that may have engaged in the assessment and planning process in isolation to form cooperative partnerships.

- Assist those businesses and communities lacking emergency planning experience in the development of a joint emer gency planning pr ocess.

Joint planning will be for the good of the community.

- Develop an understanding of mutual or respective goals and understand how public and private r esour ces can complement and suppor t each other .

- Ser ve as a r esour ce for those engaged in the joint planning pr ocess.

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Overcoming Roadblocks

Many obstacles such as **denial, apathy, lack of trust, and misinformation** may hinder cooperative public/private sector critical incident planning and response. We can overcome these obstacles if we acknowledge that communities are diverse and entities often perceive themselves as having different needs and concerns.

First, initiate dialogue and develop a joint planning process road map that overcome lack of trust and create the understand that relationships don't just happen but take continuous communication and understanding.

Next, increase the public sector's understanding of how the "bottom line" motivates the private sector and increase the private sector's understanding of the public sector's operating procedures, legal obligations, and political considerations. Foster the understanding that public/private sectors' motivations are not different, but actually are quite similar. It's a good idea to take advantage of joint preparedness opportunities when the economy is good or immediately following a disaster. There also is a need to obtain business and community leaders' commitment in the joint critical incident planning and response process. Disaster recovery planning must begin before tragedy strikes, not after a disaster is experienced. Often, this too late.

It doesn't happen overnight but we can learn from our joint successes and failures.

Mutual Benefits of Joint Planning

The public and private sectors can develop greater understanding of the value of joint emergency planning, and that can lead to other community partnerships. Joint planning provides community leaders with an understanding of the process and possible repercussions if cooperative planning does not occur. It can illuminate the potential financial impact and liability resulting from the failure to adequately plan for a critical incident. The loss of a business can have dramatic real-life impact on the community.

The planning process can identify how businesses contribute to the community and develop an understanding of community priorities in time of a disaster. Adequate planning develops the understanding that risk assessment, emergency planning, response, and recovery are similar processes within the public and private sectors.

Companies want to be involved and be viewed as good community citizens, and communities want to be held in esteem. Joint comprehensive emergency planning will improve quality of life and attract business growth by making the community a safer place to do business.

A fire chief said that a major industry in his community was talking about leaving town and as a result he had been informed by his city manager that the fire truck the department was planning to buy was no longer budgeted. The same circumstances could occur in a community if a business was hit with a disaster.

A police chief indicated that with today's extensive media coverage during a hostage situation, shooting, or other disaster, our citizens have become "experts" on the way these events should be handled and resolved. This yardstick judges us and our communities.

A number of police and fire chiefs stated they are still called to assist private businesses in searching for bombs. This shows a lack of knowledge of the role and capabilities of local responders.

Sample of a Community Brochure

Muskegon County, Michigan utilizes the Risk Management Planning process of the U.S. Environmental Protection Agency to create **"A Safer Community through a Joint Effort between Government and Industry."** Muskegon County's purpose is:

- Go beyond required regulation and take a proactive safety approach.
- Inform residents of the risks and the way they are managed on a daily basis.
- Create a well-trained and informed workforce to prevent incidents.
- Develop joint public and private sector planning and training programs.
- Respond quickly and know the personnel we will be working with.

Why is joint planning impor tant to the public sector?

- Recognizes that media exposur e of critical incidents has developed high public expectations on how emergency response ef forts should be handled.

- Assists in understanding private sector r equirements and r esour ces.

- Helps obtain the commitment of the private sector to become a par t of the overall community emergency response planning process.

- Enhances communication with the private sector prior to an incident inform- ing them of available community r esour ces.

- Heightens awareness that the private sector may not be able to control ever ything inside the fence line and may need to involve others outside the fence line during r ecover y.

- Reduces liability and insurance costs through joint planning with the private sector.

One private business manager said that the only time he sees someone from the public sector is when they want a donation or a sponsorship. "I wish they would ask how they could help me at other times."

Why is joint planning impor tant to the private sector?

- Provides the private sector with community contacts and develops an understanding of the suppor t available fr om the public sector .

- Educates the public sector on why the bottom line is important to the private entity and how it af fects the community .

- Creates an understanding of why rapid business resumption is important and what basic community infrastr ucture may be needed to suppor t business resumption following a disaster .

- Develops an accurate understanding of public sector resour ces and private sector r esponsibilities until public suppor t is available.

- Develops recognition of how the loss of one business may affect and impact other businesses in the community .

- Promotes involvement in the public sector's establishment of priorities.

- Develops understanding that during a critical incident, no company is an island unto itself. Total cooperative ef forts are needed and there can be no secr ets.

A security manager indicated that with on-time deliver y of par ts or goods, a loss in one community has an immediate impact in other communities. W e no longer maintain large storage ar eas. We no longer operate in isolation and must r ely on that steady str eam of product to keep us going.

A security manager r elated that he had an initial concer n in divulging some of the pr oducts and chemicals his business used to public officials. However, once the joint partnership was in place, this became less of a concern. The community expressed appr oval and suppor t for partnerships to pr otect them. In fact, many of the workers lived in the community.

Leadership Begins at the Top

Commitment in both the public and private sectors must be driven from the top down through the entire organization. If this is not the case, there will be no real commitment. Trust must be developed in the beginning and if top management develops trust across sectors, it will trickle down to lower-level employees. Ultimately, trust must be developed through all levels of the public and private sector.

After obtaining top level support, the process must involve the people who will respond and manage the critical incident. The public sector must realize that fines and mandated regulations may inhibit open communication and they must eliminate fear of regulatory enforcement action during the joint planning process. Consider the possibility of a period of "amnesty" where a proactive, rather than a regulatory approach, could be used.

The private sector must be concerned with liability resulting from a failure to plan. Public sector officials should assist in presenting the value of critical incident planning to top private sector management. Community leaders and private sector managers should make a financial commitment to plan correctly and openly and a community task force may be formed to address issues. In many cases, major industries or businesses may lead the change process.

One fire marshall said that his main concern was to assist businesses in assessing their risk and developing emergency plans. Violations, unless they were flagrant, were not his main concern. What he didn't like was the arrogance displayed by some companies who didn't believe that the regulations applied to them. "What we had to do is build trust, a relationship, an understanding of our respective objectives that, when you look closely at them, are not really that different. We both want to protect property and save lives."

Both the public and private sectors commented that support for the partnership process must start from the top. Too many top managers and community administrators are still in a state of denial or hoping disasters won't happen on their watch.

In 1998 the City of Sterling Heights Office of Emergency Management initiated a forum of public and private sector partners to mitigate, respond to, and recover from major property damages and mass casualties that may impact the community. The Sterling Heights Municipal Security Task Force plans and trains to handle weapons of mass destruction and other major incidents in partnership. The group meets monthly and has support of city and corporate management.

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The Preparedness Process

The ultimate goal of joint planning should be the establishment of an **Integrated Emergency Management System (IEMS).** Developing the concept of an IEMS requires community units to cooperate to reduce the consequences of natural, technological, and man-made disasters. Response is the central focus during a disaster, but an integrated approach to planning will initiate mitigation activities to prevent or reduce the degree of risk, and to develop preparedness activities to increase response and recovery capabilities.

The process of joint planning and response encompasses a number of steps and various terms may be used interchangeably by the public or private sectors. Consequently, part of the planning process must include developing standard terminology.

Standard Terminology

Hazard Mitigation: Activities to eliminate hazards and lessen their impact if an incident occurs.

Response: Reaction to and managing the incident until it is resolved.

Recovery or Business Resumption: Processes focused on repair of damages, return to normal activities, and recovery of losses.

Preparedness: Actions and initiatives developed prior to an incident and including the following phases of critical incident management:

Risk Assessment – (both self assessment and joint assessment)

Response Planning

Training

Exercising

Planners should build on work done by successful businesses and look at those with good plans, but must not take for granted that large companies or communities have all the answers.

As a fire chief stated, "Remember, if they don't invite you in, knock on the door."

Risk Assessment

Each public/private sector component must be involved in assessing possible events—man-made or natural—that may strike their operations, and they must calculate the potential impacts. This self-assessment of actual and potential **events** and related **impacts** will lay the foundation for the emergency response plan. When individual and community assessments are combined, a determination can be made about the adequacy of community resour ces to handle most community disasters.

All potential thr eats and hazar ds must be identified. For example:

- **Natural –** Tornadoes, floods, winter stor ms, ear thquakes, and power outages.

- **Man made –** Terrorist attack, workplace violence, explosion, bombing, and accidents.

Businesses often focus on immediate, ongoing activities and not on the perils impacting long-term economic sur vival. They must appreciate a critical incident's potential impact on the profit margin and understand what a risk assessment and planning process can do to reduce or prevent such losses. Small businesses are the most vulnerable to economic r uin as a result of a critical incident.

It may be necessar y to educate those responsible for the assessment process as they may lack the appropriate knowledge and skills to develop risk assessments. The public sector or another private entity may be able to lend their exper tise in the assessment process. This is not an overnight process and leadership and suppor t may be obtained from those companies with good plans in place. The process can begin with small steps or pieces of the plan and planners should not get bogged down in the overall process.

Self Risk Assessment

Use a building block pr ocess. Star t with a piece of the plan.

- **First**, look at broadest categories of risk. Go from a generalized risk assessment to specific risks.

- **Next,** list previous incidents and/or potential threats or events. Begin with the obvious and work towar d the less likely .

- **Then**, determine what is vital for continued business operations and what might cause significant business inter ruptions.

Plans must first be completed by individual private sector entities, as they know their own risks. Each business function or component within the entity must conduct individual risk assessments. The component must evaluate all the processes per formed by the business unit and identify those critical areas or activities that are required for positive outcomes. Determine any function or process that, if interrupted, could result in significant loss of revenue, customers, or business operation. When combined, these **individual assessments comprise the risk assessment for the entir e business.**

All operations per formed by a particular unit or component must be listed, prioritized, and identified as to their importance to continued business operations. For example, operations can be classified as **Critical, Essential, or Non-essential.**

- **Critical –** Those operations a business cannot do without or a function that is vital to the operation and/or may pose a life safety risk. For each critical business activity, **mitigation strategies** should be implemented and a recovery process developed.

- **Essential –** Not critical, difficult to operate without, but the organization could function for a period of time.

- **Non-essential –** Disruption would merely be an inconvenience.

Once critical business functions have been identified, they can be prioritized as to maximum allowable recovery or down time. This will help to determine the order of recovery, required recovery time, and necessary support services. Following is a suggested time frame, but each business must determine its own operational requirements.

- **Immediate –** 0 to 24 hours. (May require immediate alternate or "hot" site)

- **Delayed –** 24 hours to 7 days. (Prearranged site that would be needed for a short period)

- **Deferred –** Beyond 7 days. (No immediate need for an offsite location)

Business functions can then be categorized as to their vulnerability to each potential threat or hazard:

- **Highly Vulnerable –** Those business functions that have a great risk of experiencing a threat or hazard.

- **Vulnerable –** May experience a threat or hazard.

- **Not Vulnerable –** Threat or hazard not likely to occur

Shown below is an example of a Risk Assessment Matrix*

One community that had a very strong public/private partnership in place received an excellent return from their request for a risk survey. Fortunately, the value of the returns has not yet been put to a test.

Risk Assessment Matrix

Business _____ ABC Co. Service Center _____ Address: _____

Telephone _____

Function	Priority	Type of Risk	Vulnerability	Recovery Requirement	Action Plan
Electrical Power Source	C	Near river	V	I	Power Generator
Customer service calls	C	Telephone Disruption	V	I	Switch to contract service
Advertisements-mailings	NE	Weather	NV	Def	None

Key to codes:

Priority: C = Critical, E = Essential, NE = Non-Essential

Vulnerability: H = Highly Vulnerable, V = Vulnerable, NV = Not Vulnerable

Recovery Requirement: I = Immediate, Del = Delayed, Def = Deferred

*This is just an example form. The partnership process can develop forms specific to your own community situation.

During this process, mitigation plans must be developed for those functions identified as **critical** and is recommended for those **highly vulnerable.** Also, plans must be put in place to assure business recovery while considering the maximum allowable recovery time. Cost-effective mitigation and planning approaches must be developed to obtain the support and financial commitment of top management. Without this commitment, the process will not move forward.

Some communities may prefer a numeric value for measuring risk. This would include assigning a numeric value for criticality and vulnerability or frequency of threat. This aids in overlooking something that rarely happens but, if it does, the impact would be devastating. Risk could be viewed on a 10-point scale (1-10 for low to high). The higher number would indicate priority for planning.

One community said that they requested that each business conduct a self-assessment of their risk. They received a very low return rate. Then, a downtown business fire occurred and fire resources had problems resolving the incident. Another survey was requested and they received an 85% return rate.

EXAMPLE OF A SELF ASSESSMENT WORKSHEET

*Business*_____ *Business Component or Function*_____

1. List all business processes required to maintain business function(s).
   Rank as C for Critical, E for Essential and NE for Non-Essential. Also include maximum allowable recovery time.

Ranking	Business Process	Recovery Time
_____	_____	_____
_____	_____	_____

2. Prioritize all **critical** processes, list plans to recover the process, and what resources would be required to maintain the business function:

Critical Processes	Plans and Required Resources
_____	_____
_____	_____

3. List duties and tasks to recover the critical process. If an alternate site is required, list needed resources and what must be accomplished at that location.

   A. _____

   B. _____

4. Where will recovery resources be obtained? List those from within the business function, required from contractors or vendors, and other outside resources.

   A. _____

   B. _____

5. Identification of persons responsible for the above recovery process.

Employee	Home Phone	Work Phone	Pager
_____	_____	_____	_____
_____	_____	_____	_____

6. Identify list of customers, suppliers, and other operations affected by the disruption.

_____

This is just an example form. The partnership process can develop forms specific to your own community situation.

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Joint Risk Assessment (Among public/private partners)

Joint risk assessment must follow individual self-assessments and involve more than police and fire operations. Joint public and private assessments will lead to community assessments and then plan development where all the potential events and available resources are considered. Lack of resources or knowledge may cause small businesses to struggle with the process or lead to a lack of commitment. If they don't understand the process or potential business impact, they may not realize the value of partnering with the public sector.

Factors to Consider

Creating a level of cooperation between the public/private sectors is the proper starting place, although it still may be necessary to mandate the process or it will not be completed within an acceptable time frame. It is essential to develop an understanding of available public and private sector resources and of the expertise to respond to the identified risks.

Partners must work together to ensure **protection of proprietary information** that may be exposed during the joint assessment process. For example the private sector may have concerns that building plans may reveal future product or research trends that they would not want known to competitors.

One community building department was willing to work with private business to protect the proprietary aspects of their building plans from general public scrutiny. This minimized private sector fears that their future plans might become known to competitors.

Another important task is to determine how identified risks can be corrected and potential liability reduced. It is necessary to ensure that personal safety issues are separated and evaluated differently from property risks. Communication and joint understanding are very important and will result in the use of common terms and similar "jargon." Partnerships can assist in eliminating incorrect assumptions of what others can do or how they may respond.

Multi-tenant facilities possess unique and different challenges and the landlord or overall facility manager must demonstrate leadership. A designated person must be responsible for the assessment and planning process. Tenants should be part of plan development so their input and unique concerns are considered. Their "buy-in" is important.

One community said they initially had concerns about their citizens learning what risks were out there. As they conducted joint assessments and planning, they soon learned that the community appreciated the interest in joint planning for disasters. Further, they realized that most people in the community were employed by those same industries that they were worried about.

Public sector units may have to prioritize where they believe the greatest risk lies to the **entire community** so they know where to focus their resources for the greatest impact on community safety and well being.

High priority items to consider when undertaking joint risk assessments:
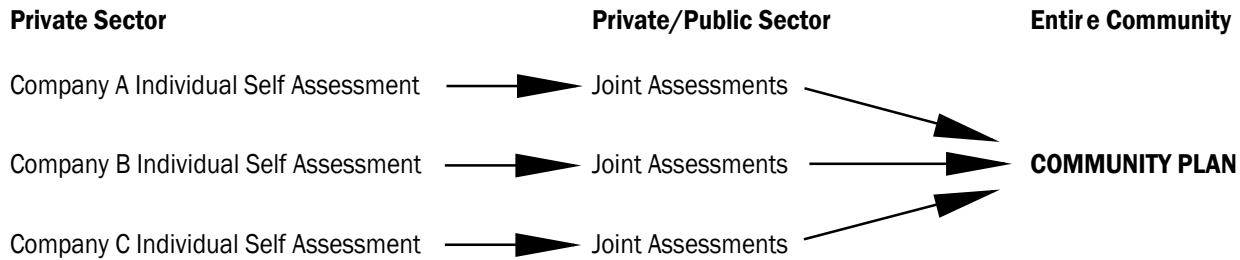
- Hold public and private sector meetings to discuss risks and identify the availability of community resources and assist in developing community response plans. These meetings will outline risks, compare similarities and differences, and identify available community resources.

- Understand what the public and private sector can handle, start to prioritize risk, and determine deficiencies that must be acknowledged. Keep in mind that during any disaster the day to day emergencies still occur and will tax community resources.

- Consider worst case scenarios and acknowledge that current government resources could be severely stressed in a widespread disaster. Don't be afraid of public perceptions. By working together, community fear can be reduced through joint planning and communication.

A community said their ability to prepare and respond to emergencies is a factor in the community's quality of life and attractiveness to new business.

- Remember that many community leaders are also leaders in the private sector, and that only by working together can the potential cost of a disaster be recognized by the community.

- Learn how other entities are completing the assessment process. Lessons learned are invaluable and should be shared.

Private Sector	Private/Public Sector	Entire Community
Company A Individual Self Assessment →	Joint Assessments	
Company B Individual Self Assessment →	Joint Assessments →	**COMMUNITY PLAN**
Company C Individual Self Assessment →	Joint Assessments	

Critical Incident Planning

Emergency planning is decision making prior to an actual crisis or disaster including the consideration of resources required to manage and resolve the event. The plan must also include the necessary steps during and after the crisis is resolved (recovery).

Successful joint risk assessments will help develop joint emergency plans. A clear understanding of community risks, manmade or natural, and the accessible resources and expertise will provide the community with options to manage critical incidents.

However, it should be realized that all possible events are not foreseeable. The important part of joint emergency planning will be understanding how available resources may respond together to any event.

Joint planning is a learning process about perceptions of each other. Plans must NOT be developed in isolation. Joint meetings should occur early on so parties can agree up front on ground rules and confidentiality issues. The public and private sector plans must dovetail for maximum benefit.

Begin to Develop the Plan

- If a plan doesn't exist, create one.
- If a plan does exist, review it (should be done annually anyway).
- Agree on common terminology, identify acronyms, and discard confusing jargon.
- Keep plans generic, simple, and flexible enough to address a variety of events.
- Consider likely events based on available intelligence and past experiences; remember to watch for potential threats to emergency responders themselves.
- Learn from the past. Be alert to events happening in other communities by networking with others and being prepared.
- Identify resource gaps and consider mutual aid pacts and contract resources.

A corporate security director said that a Local Emergency Planning Committee (LEPC), as mandated by EPA regulations, might be a good forum to critique actual event responses and to share lessons. These groups are found, typically, at the county level and can be a valuable resource.

A police chief commented that when he hears of something that happened in another community, he contacts that police chief and learns all he can about the event and how it was handled. "I use the network of professional association contacts and those I have met through the years. That is one of my real values to the community."

A city fire official said their community hazardous materials response plans included support personnel from a local chemical manufacturer. When company personnel were required to respond on a global basis and were not available to the city, the company offered to train and equip local responders. The city was able to respond with their personnel. This represents a continuous blend of public and private resources to respond to an assessed community risk.

Identifying Responsibilities

The private and public sectors bring individual responsibilities to the joint planning process. Each sector must carry its own weight and bring an open, but well prepared mind to the joint planning process in order to win the trust and confidence of the other sector. Joint planning will develop an understanding of participants' roles, working partnerships, skills, and respective areas of professionalism.

Public and private sectors agree that the first concerns in any critical incident are citizen and employee safety and security.

Private Sector Responsibilities

- All local businesses must be involved in the planning process to gain maximum planning efficiencies.

- Major companies should demonstrate leadership in plan development and encourage/support suppliers, contractors, and other community businesses.

- Learn what skills and resources are available in the private sector and determine who the on-site experts are.

- Progressive private sector leaders will develop detailed plans on who is in charge of a critical incident and who is responsible for coordination with the public sector.

- In small businesses, the emergency planning process may be the responsibility of the owner or manager who may have limited experience in emergency planning and may need assistance from the public sector or an experienced private sector partner, both during the planning or an actual critical incident.

- In large businesses, specialized personnel are dedicated to security, fire, or safety and emergency planning, and they will have primary responsibility for response. Other company staff (personnel, medical, public affairs, and operations managers) may support them. Plans should include resources needed to support public sector responders. Identify the person who will interface with the public sector incident commander, have knowledge of the facility and resources, and have decision-making authority.

- Top management must support mutual aid pacts, and financial responsibility for resource sharing must be specified during the planning process.

- Each business must identify needed contractor resources and how they may be shared within the community. Joint planning will identify mutual expectations of the use of the same outside resources and create understanding of the limited resources in the public sector.

- Planning must consider the **Maximum Allowable or Acceptable Down Time** before the continued existence of a business is threatened, and must identify resources required to maintain or resume business activities at an acceptable level.

- Businesses must overcome the attitude that they can handle events by themselves. During the planning process, confidence and trust must be exhibited by both sectors.

Community and business risk or insurance ratings may be based on emergency preparations and response capabilities, and these are important factors in determining if a community is a good place to locate business. These factors may affect property assessments, ratings, and may reduce potential liabilities for the public/private sectors.

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Public Sector Responsibilities

- The public sector's first duty is to maintain safety in the community.

- The anticipated public sector (local, state, and federal) response times to events may reveal that private companies must change their initial public sector response assumptions.

- The public sector must understand the private sector's limits on resources and the potential impact to the community.

- Define situations where public policy or legal mandates require public sector intervention even though the private sector has ample resources to handle the event.

- Volunteer fire department members may work at businesses and should be included in the planning process. They have excellent knowledge of their facilities and may already be part of the private sector response capability.

- Consider impact of actions that may cause additional repercussions to other areas.

A fire chief stated that his primary obligation is to the community and he will get to other situations as circumstances dictate. "The private sector may have to wait until I get there," he said. "In most cases, it will be at least twenty minutes."

Mutual Responsibilities for the Public and Private Sectors

- The planning process is more than touring facilities. Take time to understand layouts, fire, and security systems. Bring public responders into facilities to obtain first-hand knowledge of risk locations, safety processes, and technologies. *(* See appendix A Information Gathering Form.)*

- Consider using current private/public sector liaisons (such as community policing officers, school liaison officers, fire prevention officials, facility managers, and security managers) as catalysts for the joint planning process.

- Develop a joint public/private resources and expertise inventory for each identified risk.

- In mutual aid planning, determine if certifications, licenses, and other requirements for private sector emergency response personnel are acceptable in the affected jurisdictions.

- Consider and develop mutual aid pacts that deal with resources or expertise that can be used or shared by other private or public entities during a critical incident.

- Mutual aid pacts between the public to private sector or private to private sector can be letters of understanding or informal agreements that do not **mandate** resource use in a critical incident. They are voluntary agreements between companies and the public sector to support each other in an emergency.

- Include the media in the planning process.

- Disseminate plans throughout the organization and update them continually. Don't let them become a dusty book sitting on the shelf.

- Cross train public/private resources to create understanding of credentials and capabilities. All legal requirements and situations that determine how public and private sector resources may be utilized must be understood.

- All personnel, both public and private, who are involved in a critical incident must understand the incident command system. Egos must go out the window.

As one security director states, "When we train together, many of the perceived differences become similarities. We are not that much different. In many cases, my personnel are also members of the local volunteer fire department or the Emergency Medical Services (EMS).

A local fire chief says: "I may have the gold badge, but in your company, you are the one who knows the how, the when, and what needs to be done."

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Mutual Aid Pacts

Some considerations:

• Type of resources (personnel, equipment, or other support)
  to be furnished

• Contacts and procedures for requesting resources

• Financial or reimbursement arrangements

• Use of equipment—

    How will it be delivered?
    How will it be returned?
    Will personnel be furnished?

• Payment for lost or damaged resources

• Labor and legal considerations or restraints

• Confidentiality issues
```

Understanding the Incident Command System (ICS) and Unified Command (UC)

Many jurisdictions have adopted the **Incident Command System (ICS)** as endorsed by law enforcement and fire services. ICS is required by Environmental or OSHA regulation during incidents of hazardous substance releases. ICS establishes an organized and structured approach to taking charge of a critical incident and coordinating resources to resolve the matter. The ICS should be understood and practiced by the private sector and the public sector should be aware of the private sector emergency response procedures, which may vary within the business community.

Joint planning will ensure that the incident commander is aware of all available private/public resources. The plan must include a communications process on how to obtain and coordinate the use of these resources.

- The private sector should develop an **Incident Management Team (IMT)** approach to identify first responders in an emergency and the person responsible for managing site-specific emergency procedures. The IMT manager must provide coordination and direction at the scene of an emergency. Even small businesses should designate a person to fill this role.

- The IMT manager is initially responsible for coordinating all private response personnel at the scene. Upon arrival of public resources, the IMT is integrated into the public **Incident Command System.** The IMT manager and Incident Commander work in concert as a unified command to ensure the most effective use of all available resources.

- The company may also have a **Corporate Crisis Management Team (CMT)** to support the on scene IMT with company resources. The CMT should be composed of the functional units of the company that may be needed by the IMT to resolve the critical incident. Representatives must understand their responsibilities and requirements. The CMT is analogous to the **Emergency Operation Center (EOC)** established by the public sector.

One security manager said that he didn't think the public incident commander knew in some cases the tremendous resources available to them in an emergency. It is just there for the asking.

The following is an example of a private sector Crisis Management Team (CMT) structure:

Crisis Management Team (CMT)

On scene IMT ◄—— **Chief Executive Officer or Business Executive**

Security	Operations Manager	Finance Manager	Legal Council	Public Affairs	Human Resources
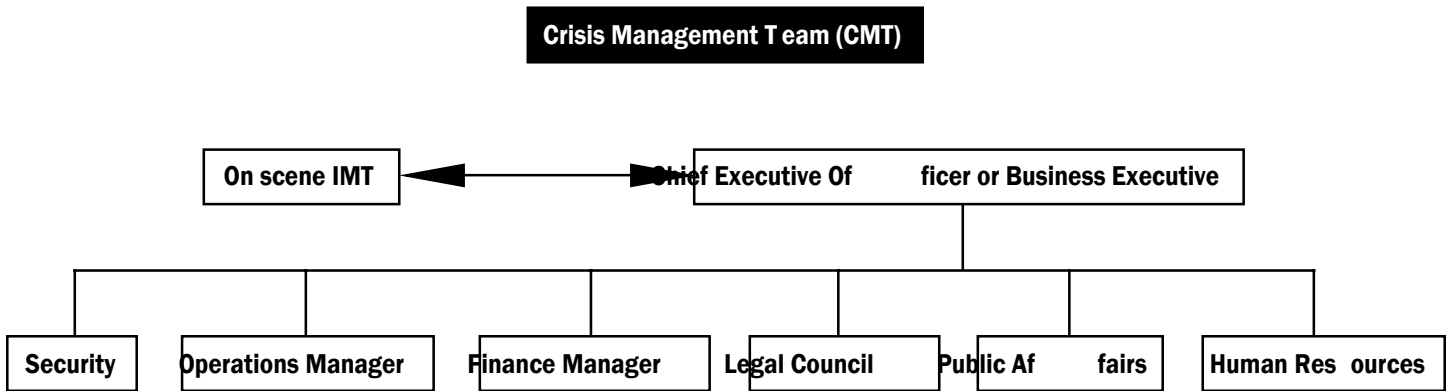
The following is an example of a public sector Emergency Operations Center (EOC) structure:

Executive Authority

Law Enforcement	Fire Service	Public Works	Private Sector	Public Information	Human Services
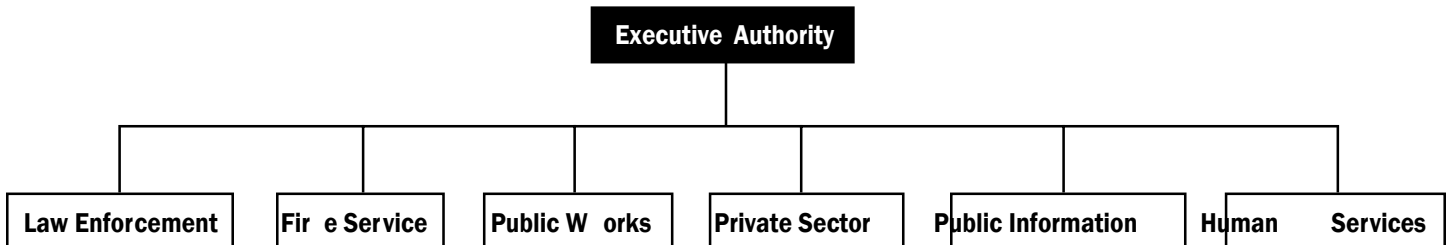
Unified Command (UC) is a recognition that the most effective response involves all parties working together to bring their respective expertise to the incident. UC uses a management structure to facilitate cooperation by all sectors with jurisdictional or functional responsibility for resolving the incident. They must work together to develop a common set of objectives and strategies, share information, maximize utilization of resources, and enhance efficiency of the individual response organizations. Joint unified command training should be provided to the public and private sectors.

The tools necessary to support the incident commander and emergency responders should be available **in advance** (maps, contact numbers, and personnel resources). Resources available through computer aided design (CAD) and other computer systems should not be overlooked. Compatible radio communication systems should be planned in advance. In many cases coordination of communication can be established by providing radios to the other sector, having a private sector official with the incident commander, or a representative in the appropriate coordination center.

A public emergency authority stated, "I want the most knowledgeable person from the facility with me, someone who can get me the information or resources I need."

*Written public/private notification procedures should be developed in advance and disseminated widely. ***

CRITICAL EVENT CALL UP PERSONNEL*

Name of Company, Business, Department, or Agency _____

Address _____

Critical Information (Resources Available)

1. _____
2. _____
3. _____

Key Contact Personnel

1. Name _____ Position _____
   Home Phone _____ Work Phone _____
   Pager _____ 24 Contact Number _____
   Cellular Phone _____ E-Mail _____

2. Name _____ Position _____
   Home Phone _____ Work Phone _____
   Pager _____ 24 Contact Number _____
   Cellular Phone _____ E-Mail _____

3. Name _____ Position _____
   Home Phone _____ Work Phone _____
   Pager _____ 24 Contact Number _____
   Cellular Phone _____ E-Mail _____

City of Sterling Heights Office of Emergency Management

This is just an example form. The partnership process can develop forms specific to your own community situation.

Exercise the Plan

The final step in the preparedness process is the development of a drill or exercise. Any emergency response plan must be exercised. Exercises are not tests but opportunities to acquire and enhance skills, reveal weakness, identify resource gaps, improve coordination and confidence, build teamwork, and validate the emergency response plan. Exercises will reduce the problems, mistakes, or omissions that can occur during actual events. The time spent in conducting and participating in exercises will pay tremendous dividends during an actual event.

Plans must not remain in isolation and become stagnant.

- **An exercise is a challenge** so regardless of how good or bad it turns out, something will be learned and team building will occur. If disappointed in the outcome, don't be afraid to try another exercise. Do not look for blame but look for opportunities to learn and correct mistakes. Exercises are the proper place to learn, not during real events.

- **Keep exercise scenarios realistic**. Don't make exercise scenarios too complex. Remember, an exercise is compressing a two or three-day real situation into a few hours. Don't worry about completing the exercise.

- **Exercises should consist of a generic scenario** with some local flavor and be indicative of an event that could happen in the area or it will not be perceived as realistic.

- **Keep exercises relatively simple** with only a few objectives even though, in reality, situations can be very complicated. Too many objectives will be counter productive in an exercise. Be sure to inform participants of the objectives and goals of the exercise.

- **Focus on one or two key threats**. Break the exercise into segments and don't be concerned about covering every potential hazard. This will help to simplify exercise evaluations and enhance the learning process.

- **Begin with tabletop exercises** involving members of the public and private sector. Joint tabletop exercises should be conducted at least once a year and twice is preferable. Tabletop exercises are a cost-effective way to evaluate the emergency response plan, develop participant skills, and enhance knowledge in the emergency response process.

REMEMBER:

Create the preparedness plan and then train to it.

Types of Exercises

- **Orientation –** Briefing or low stress training to familiarize participants with team roles, responsibilities, and expectations. Provides a good overview of the emergency response plan.

- **Tabletop –** Limited simulation or scenario of an emergency situation to evaluate plans, procedures, coordination, and assignment of resources.

- **Functional –** Limited involvement or simulation by field operations to test communication, preparedness, and availability/deployment of operational resources.

- **Full-scale –** Conducted in an environment created to simulate a real-life situation.

Exercises

- Clarify responsiblities
- Identify roles
- Enhance skills
- Assess capabilities
- Evaluate performance
- Measure resources
- Provide feedback

Performing an Exercise

An exercise design team should be created for each exercise and the team should consist of representatives from the participating departments. This will create a more realistic environment for participants and focus on issues broader then a particular function. **Exercise design is time consuming**. Tabletop exercises may last only 1 to 2 hours yet tabletop exercise design could take up to 40 hours of preparation. The quality of the exercise will correlate directly to the time put into its preparation.

To be effective, and for learning to take place, the exercise must have some successes. An exercise is a good evaluation process and overall successes and failures need to be conveyed to the participants. This is a good way for each participant to see and understand their role within the team. The scenario should stimulate involvement by all persons participating in the exercise. If participants do not have an active role, they should not be asked to commit their time.

Exercises need to be realistic and follow policies, protocols, and procedures actually in place or they will not be productive. Participants become frustrated if they receive information from the exercise designer that is not consistent with real procedures. Exercises help reduce the "can't happen here" attitude. If the scenario is plausible, participants will see the potential for a real event of a similar nature.

Allow participants to interact, dialogue, or discuss learning points during the exercise. At the completion of the exercise, each participant should be asked to discuss one item they have learned and they will take back to their work place. Consider bringing exercise participants together at a later date to discuss what changes they have implemented as a result of the exercise.

Exercise evaluators should be persons knowledgeable in the areas of emergency response and the local environment. However, most learning will take place by the participants themselves during the exercise. **Provide constructive critiques and make it a learning experience**. Complete an "after action" report and provide it to all participants.

Business should consider conducting individual tabletop exercises within their own organizations on a regular basis. The media should be invited to participate in exercises, as they will be an active participant in an actual event.

Using long distance technology or interactive video conferencing to facilitate exercises involves additional locations, enhances participation, and is an excellent way to maximize exercise preparation, deployment, evaluation, and information sharing. This technology is available through universities, community colleges, schools, or businesses.

Appendix B contains an example of a tabletop exercise.

A public official indicated that several weeks after a tabletop exercise was conducted with a company a railroad tank car sprung a leak requiring evacuation of their employees. The emergency response went well due to the public private understanding of their respective responsibilities. This would not have occurred if a joint exercise had not been held.

Following a tabletop exercise, one private sector exercise participant indicated he understood the value of proper planning. Public sector participants also expressed greater understanding of the resources and needs of the private sector.

Mitigation

Mitigation includes all efforts to eliminate hazards or lessen the impact of an event should it occur. Relocating structures from a flood plain to eliminate recurrent losses caused by flooding is a classic example of mitigation. Yet mitigation can take many other forms. Examples include off site storage for critical information backup, separating redundant or duplicate essential manufacturing process so a fire or explosion to one area will not cause a loss of production, or reducing the potential damage of terrorist bombs by installing barriers to eliminate parking in close proximity to buildings.

During the risk assessment process, certain vulnerabilities (manmade or natural) will be identified for each facility or major function within a particular business unit. To prevent or minimize the impact of an assessed risk, a mitigation process should begin when vulnerabilities are first identified.

Public and private officials said that much has been done in joint planning for hazardous material events. The HAZMAT response planning process has been streamlined over the years. "But we need to be worried about other types of events and concentrate on planning for those as well."

Hazard mitigation is defined by the Federal Emergency Management Agency (FEMA) as "actions taken to reduce or eliminate long-term risk to people and property from hazards and their effects."

In 1995, FEMA developed the National Mitigation Strategy to encourage partnerships between the public and private sectors with the specific goal of significantly reducing the impact of natural hazards.

Comprehensive Plan/Hazard Interface,
A Publication of the Livingston County Department of Planning, Winter 1998-1999.

Public and private sector facilities should develop good prevention practices. The private sector must look beyond what is required by regulation and develop additional approaches to reduce or eliminate hazards or risks. Regulations do not cover all potential hazards. For example, workplace violence, domestic terrorism, and weather related disasters are not addressed by regulation. Comprehensive planning involves forward thinking and bold decision making.

Mitigation efforts can be applied to the most common business disruptions:

- Electrical power outages have a high rate of business interruption. Alternate sources of power should be considered.

- Reduction in fire risk should be an integral part of business operations and personnel should be aware of their individual roles in preventing fires. Facility modifications must include fire prevention measures and qualified personnel must maintain fire suppression systems.

Company management should keep abreast of intelligence regarding domestic terrorism. Appropriate expertise and public sector resources will be needed to develop accurate threat assessments. Proactive protective measures should be implemented when appropriate.

Good records of past incidents should be maintained. During the assessment and planning process, consider what can be done to prevent these incidents from reoccurring. Following an actual event or exercise, gather all persons involved in the incident and determine how the event could have been prevented. Post event critiques are an important element of mitigation.

All long-term strategic planning should include identification of mitigation opportunities. A joint public/private sector process will identify the broadest opportunities for mitigation. The joint mitigation process necessitates trust and confidence in protecting competitive business strategies.
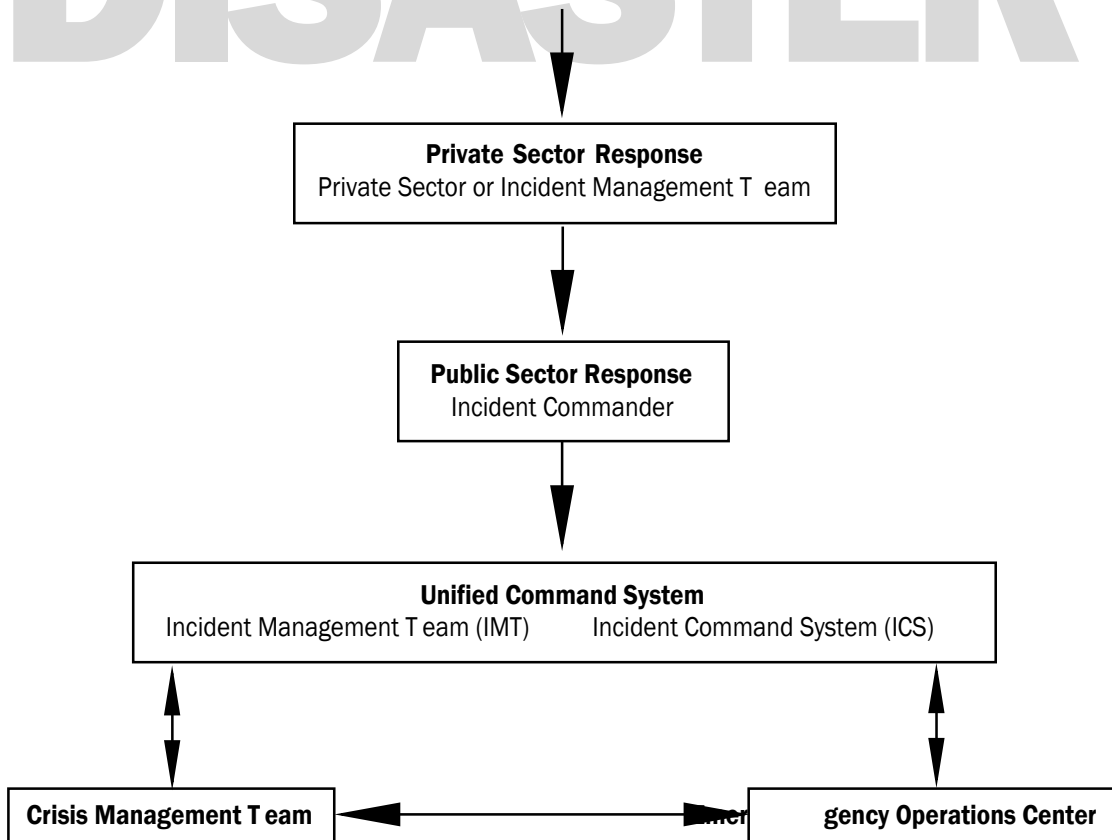
Emergency Response

Coordinating public and private responses to an emergency or critical incident is the culmination of all preceding activities, i.e. risk assessment, critical incident planning, exercises, and mitigation. The effort put into planning will pay dividends and enhance management of a critical incident when it occurs.

The initial response to an incident, in many cases, will involve some element of the private sector. If the business has a security department, they may be the first responders. In other cases, it may be an employee with little or no emergency response skills. Proper response and correct actions within the first few minutes of an incident lay the foundation on which the joint emergency response will be based and the matter eventually resolved. The smooth "trade off" or transfer of control to the public **Incident Commander (IC)** and continued teamwork will enhance the successful resolution of the incident.

- Response from the private sector, whether it is an employee or a formally established **Incident Management Team (IMT)** or **Emergency Response Team (ERT)** will begin the emergency response process. The manager of the IMT/ERT is in charge of the incident until relieved by the public sector incident commander.

- If the incident is a major disaster requiring additional business resources, the company **Crisis Management Team (CMT)** may be activated to support the IMT. The CMT is usually located away from the incident site, and does not make operational decisions, but supports the IMT manager as required. The CMT may be located in the company's **Crisis Management Center**. The CMT should have an alter nate meeting site.

- **The Crisis Management Center's (CMC)** function is to support the Emergency Response Team by directing the proper allocation and coordination of internal resources and obtaining assistance from external public and private resources.

- The local private sector and/or company Crisis Management Team (CMT) when activated will support the incident commander. The CMT must work in concert with the public sector Emer gency Operation Center .

- Upon arrival of the public sector, the private **Incident Management Team (IMT)** will be prepared to work in concert with the public sector. The **Incident Command System (ICS**) will be implemented following a smooth transfer of authority , and wher e appropriate, joint decision making.

DISASTER

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Communication among all aspects of the public and private sector must be established immediately. Prior joint emergency planning will enable responders to get to the business of handling the disaster during an actual event. Preparation in understanding respective public and private sector needs and requirements will reduce conflict and enable immediate activation of all available resources. The incident commander can focus all energies to the task at hand, which is management, control, and resolution of the disaster.

When an incident occurs, the main focus must be the successful resolution of the issue at hand, not why it happened. **Participants must focus on the emergency response and not the cause.** The cause can be determined after the incident is under control or resolved. Good planning will have designated responsibility for the determination of cause. Everyone must understand that when an event happens, it is never as planned. Be flexible.

Top management must demonstrate overall leadership and support during the event but operational control and management must be in the hands of the first responders and incident commander. **The private sector should have persons available who know the facility** and can support the incident commander. This may be the facility manager, maintenance person, facility engineer, or security staff. In large complexes, someone needs to be stationed at the "front gate" of the facility to lead public responders. A "pathfinder" approach is required. The private sector interface with public sector responders must be a person with authority to make decisions and support the incident commander.

One security manager said their company has a crisis management team comprised of the top company executives. This team can get the incident commander any company resource that is needed. The resources are there for the asking.

Mass casualties resulting from hazardous materials incidents may also include injury and exposure to first responders. These events will tax the emergency response process and will resemble events mostly likely to occur in a weapon of mass destruction attack. Evacuation of personnel will require close coordination between the public and private sectors. The private sector may have to "defend in place" as the situation dictates.

No one group can do it alone; all must work together. If existing on-site resources are unable to handle the event, the Incident Commander must not only know what is available on-site, but what is available from other sources within the community. The IC should be familiar with the private sector's qualifications. Combined training of public and private resources will create understanding and confidence in each other's abilities.

A fire chief said, "I want to see a familiar face when I arrive on the scene. If not a familiar face, then someone who knows where I should go and what the situation is."

Below is an example of a Public/Private Resource Matrix*

PUBLIC/PRIVATE RESOURCE MATRIX				
Required Resource	Private Sector	Public Sector	Other	Name, Address, and Phone Number of Provider
Structural Engineer	X			ABC Manufacturing, Main Street, Anytown, Engineer Jeff Jones, 313-555-1212
Chemist	X	X		Robert Smith, Anytown, 313-555-1212 Dean Jones, ABC Manufacturing, 313-555-1212

*This is just an example form. The partnership process can develop forms specific to your own community situation.

If joint resources are to be used, both sectors must train, drill, and work together. It is a never-ending process. A level of trust and confidence must be established before the critical incident. The public sector must understand the commitment required in training of first line private sector responders. Top management must support the process.

One fire chief said, "I do not know all the dangers inside the gate, and I want someone by my side who does."

- **Initiate a unified command structure** and engage public and private sector resources. This teamwork approach will maximize the effectiveness of all available resources to resolve the critical incident. Eliminate the perception that public responders are always the experts.

- **Establish and coordinate communication** between the incident commander and private sector response teams and company crisis management teams for damage assessments, prioritization and allocation of resources, and emergency operations.

- **Don't overlook contract security forces** who understand their role and are trained to meet their responsibilities. Do not underestimate the knowledge and expertise available in the ranks of contract security forces.

- **Be certain the private sector understands the legal responsibilities** of the public sector. When the public sector responds, they must carry through with their responsibilities.

- **Determine who is authorized to approve response expenses** and establish a process of cost documentation. Determine if there is a cost recovery ordinance and keep track of costs associated with the emergency. Difficulty can occur when bills start coming in.

- **Develop a critical incident debriefing plan**. Be candid and learn from mistakes for lessons learned are invaluable. Mitigation must be initiated as needed.

A fire chief said that they made a decision to let a fire burn since the water run-off would have contaminated the local environment. This was the understanding they had with the local business in advance.

Media Relations

Public information is a vital component of any critical incident response. The media must be a part of the preparedness process and media involvement in the planning process will help reduce misunderstanding during an incident. **Accurate information should be available to the public as soon as possible.** The media needs to know where they can obtain information or receive briefings. Plan for an off-site Public Information Office/Media assembly and briefing area. An informed public is an educated and understanding one.

Here are some steps to smooth media/public r elations:

- Develop a policy on who will handle the media. Employees must leave media contact to professionals. Small companies may not have a person skilled in handling the media during a crisis.

- Determine who will be the lead spokesperson. That person needs to have public relations experience. In most cases, the public sector should take the lead but they need suppor t and information from the private sector. Consider joint pr ess r eleases.

- Be cooperative but careful in speaking with the media since they can help get vital information to the public. **Do not speculate.** Media relations must be an ongoing joint public/private process.

- If you deal directly and honestly with the local media, they can be of assistance in dealing with national media. Watch using "I think" and be certain of facts including the time frames to release pertinent information so the actions of first responders ar e not cir cumvented.

- Let the emer gency responders focus on the event.

- Create a community information plan so persons can call one number and obtain information on the crisis. Remember that people are "data driven" and need information.

A community indicated they had involved the media in the planning process. During an actual air craft disaster, the media had a clear understanding of the emergency management system and their r ole. As one of ficer said, "It sur e made our job easier."

One city says their r elationship with the media and the establishment of a community hotline at the time of an emergency was working so well that the citizens expected to be informed of even ver y minor events. The local media cooperated in getting information to the public, which r equires a close working relationship among the media, public sector, and private sector.

Recovery and Business Resumption

The **recovery** or **business resumption process** can begin during the emergency response process, or it may be initiated in stages until the normal business operations are restored. The recovery process must factor in the **criticality** of the business function and the **maximum allowable down time.**

A quick recovery from an incident will start the community back on the path to normal activity. The process may be of short or long duration; however, planning for the recovery phase in the assessment, planning, and response process will definitely decrease recovery time.

Both sectors must strive for quick recovery. The private sector crisis management team should immediately initiate their recovery process. The Incident Commander should be kept informed of the recovery process but nothing should be done to conflict with response activities. Accurate damage assessment is important to the recovery process.

Recovery should not conflict with "crime scene" preservation and examination, and crime scene investigators must be trained and sensitive to recovery needs. Fast recovery is desirable but the cause of the incident must be established.

- **Determine the extent of damage and communicate** it to the public. Accurate projections of recovery times should be provided and public support and understanding should be solicited during the recovery process.

- **Developing a system** to bring in "the right people at the right time" is very important for long term recovery. Emergency responders and the private sector have to work side by side in the recovery as well as in the response.

- **Work with outside resources** to support the recovery process. Verify that the same resource provider is not planned or obligated to other community businesses. Identify and make certain that unscrupulous persons do not victimize the community. Advance planning for needed resources will reduce this from happening.

- **Develop understanding of the financial impact** to the community if the private sector is delayed in the resumption of business operations. In a wide-spread disaster, determine who needs to be "recovered first" and understand the impact on the welfare of the community.

- **Use all available community resources** to assist persons in recovering from traumatic events. Reestablishment of the individual sense of well being is an essential part of the community's recovery process. In this age of technology the public expectations may be overly optimistic.

In an emergency, neighbors have to deal with neighbors and after the crisis, they still have to live and associate with each other.

The public and private sectors agreed that there is no disaster that cannot be managed if they have joined in the planning, response, recovery, and mitigation process. With their joint expertise and resources, a terrible event can be resolved and the public's confidence in their community can be maintained.

A private sector executive was surprised that his company could be shut down for several weeks while crime scene activities were conducted by the public sector. A tabletop exercise had exposed this possibility and, as a result, recovery and business resumption plans were being modified.

Critical Incident Process Flow Chart

NORMAL OPERATIONS	DISRUPTION TO NORMAL OPERATIONS	NORMAL OPERATIONS
Preparedness • Risk Assessment • Critical Incident Planning • Training • Exercising	**Emergency Response** Unified Command System (Public/Private) *Supported by:* • **Private Sector –** Crisis Management Team • **Public Sector –** Emergency Operation Center	**Preparedness Process Resumes**

Business Resumption/Recovery Process

DISASTER

MITIGATION

Appendix A:

Components of a Basic Information Form

The following is a consolidation of forms, information sheets, and guides used by regional participants. The purpose is to compile information during the assessment and planning process for use at the time of a critical incident.

Company Name:

Location:

> Address with closest cross streets, roads, or major highways
> Alternate access routes

Phone numbers/contact:

> Emergency contacts (name, telephone, mobile phone, and page numbers)
> Contract or proprietary security
> Key management
> Location where emergency responders will be met
> Primary and alternate locations for mobile command

Information and background:

> Type of company or business
> Number of employees
> Brief history of business

Type of construction:

> Wood, block, open steel, concrete slab, etc.
> Special construction, i.e. walls for explosion venting, etc.
> Truss direction (north/south or east/west)

Facility size:

> Square feet
> Number of shifts and personnel assigned

Facility fire, security, or other asset protection technology:

> CO_2, sprinklers, foam, electronic card access control systems, etc.
> Fire control panel, type of systems, and location(s)
> Evacuation alarms
> Close circuit television systems

Independent water supplies:

> Water tank, pond, etc.

Contiguous areas:

> Hazardous facilities in close proximity
> Water ways, railroad tracks, airport flight paths, etc.
> Surrounding civilian population, schools, churches, arenas

On-site emergency resources:

> Equipment and personnel

Off-site emergency resources:

Company
Contract
Mutual Aid pact (formal or informal)

Emergency information:

Material Safety Data Sheets
Hazardous material and locations
Number and training of emergency
 personnel
Number of medical personnel at facility
Security/fire control central station

Facility diagram and/or photographs:

Other information considered pertinent:

Name and telephone number of person completing information sheet:

Appendix B:

Tabletop Exercise Scenario Example

8:30 AM   **Introductions and Tabletop Exercise Objectives**

9:00 AM   **Exercise Begins. Participants are provided the following information:**

SEGMENT 1 — Response

The local police just received a call from Novelty Manufacturing Company Security that a shooting has occurred at their plant. Initial reports indicate that a gunman entered the plant and shot a receptionist. Employees and visitors are running from the plant in panic and the gunman is still inside. The following conditions exist.

> *It is 2:15 PM, on a Thursday afternoon. The weather is a typical mild spring day with no wind.*

> *Novelty Manufacturing is located next to a medium size strip mall. The company employs 125 workers.*

> *There is a school located immediately behind the Mall and school gets out at 2:30 PM. Many students cut through the back lot of the plant to meet their friends at the shopping center after school.*

Two unarmed plant security officers are outside the plant. Witnesses running from the plant have informed security that the gunman is also holding several containers of a liquid-like substance.

One fleeing employee also informed security that she knows the receptionist who is shot. She believes the husband is the shooter. The employee also indicated that the receptionist just filed a restraining order against her husband.

> *Police, fire, and emergency services are on the scene. The plant's manager is in the front parking lot. The police are requesting information on the victim, floor plans, and if all employees are out of the plant. It is not known what visitors are still in the plant. The fire department wants to know where flammable materials or items are located in the plant.*

The press is on the scene and interviewing witnesses. They want a spokesperson from the responders to meet them and appear on camera. They want to know if there is a danger to the school and also other stores in the mall.

Persons are calling Mall security wanting to know if any of their friends or relatives are hurt. Mall security wants a representative of the plant to handle the calls or come to their office. Mall security has informed the plant manager that his home office wants him to call.

Hysterical parents are calling the school and the police saying that they heard that there had been a shooting at the school.

9:20 AM   **Step 1 – Individual Analysis (10 minutes)**

Members of the emergency management team (public and private sector) should take approximately 10 minutes to list their response actions based on the above information. Any resources needed and contemplated actions should be noted. Any emergency planning documents should be referred to.

9:30 AM   Step 2 – Group Analysis (30 minutes)

Members should present their recommended actions to the emergency management team. Team discussion should occur and any action(s) should be listed. A group list of priorities and next steps should be developed.

10:00 AM

SEGMENT 2 — Response continued

The following additional information is provided to participants:

Contact has been made with the gunman inside the building. He acknowledges he has shot his wife and is holding several hostages. He has threatened to kill them. To show he means business he claims to have started a fire in the store room at the back of the building.

Police units in back of the Mall report smoke coming from inside the dock area of the plant.

10:15 AM   Group Analysis (30 minutes)

Each emergency management team should discuss the new information and what resources will be needed to respond to the current situation.

10:45 AM   Exercise scenario concludes when gunman surrenders to police

Critique & Discussion: (45 minutes)

Some points to consider:

- What type of incident command structure was used? Who was in charge?
- Was there a joint command center established? Where was it located?
- What information was needed from the public and private sector respectively?
- Were plant diagrams and employee information readily available?
- Was there an evacuation of surrounding stores and the school? How was it handled?
- Where was the press staged and who was the primary spokesperson? How was accurate information obtained by the spokesperson?
- How was the fire in the back of the store handled?
- How was information on the shooter obtained? Was there any concern for the liquid that he was carrying?
- What role did plant management, Mall management, and private security play?
- Based on the lessons learned in this exercise, what are the next steps for participants to take individually and as a group? What is the time frame for taking these steps? When will the participants reconvene to report on the accomplishment of their respective actions?

11:30 AM   Exercise Concludes

References

Here are some helpful references if additional information is desired. This list is not, by any means, all-inclusive.

Keith, Gary S. **Pre-Incident Planning for Industrial and Commercial Facilities Fire Protection Handbook**, Eighteenth Edition, National Fire Protection Association, Quincy , MA. 1997.

Wright, Charles J. **Managing the Response to Hazardous Materials Incidents, Fire Protection Handbook**, Eighteenth Edition, National Fire Protection Association, Quincy, MA. 1997.

Wagoner, William D., AICP, PEM/CEM, Ph.D., **Comprehensive Plan/Hazard Mitigation Interface: Integration of Emergency Management into the Community Planning**, Planning Department Team, Livingston County Department of Planning, W inter, 1998-1999.

Emergency Planning Handbook, American Society of Industrial Security, 1994

Emergency Information Procedures Workbook, Emergency Management Division, Department of Michigan State Police, EMD PUB-401, Revision, 1991.

Disaster Exercise Manual, Emergency: Guidelines on Exercising Emergency Operations Plans for Local Government, Emergency Management Division, Department of Michigan State Police, EMD PUB-702, Publication 09-99.

Michigan Hazard Analysis, Emergency Management Division, Department of Michigan State Police, EMD PUB-103, Publication 10-98.

Site Emergency Planning Workbook, Emergency Management Division, Department of Michigan State Police, EMD PUB-602, Publication 5-95.

Warning, Evacuation, and In-Place Protection Handbook, Emergency Management Division, Department of Michigan State Police, EMD PUB-304, Publication 1-94.

Internet Resources

www.msp.state.mi.us/division/emd/emdweb1.htm   Michigan State Police Emergency Management Division and contains publications on emergency management.

http://www .redcross.org The American Red Cross web site contains information on community disaster planning, mitigation, management and recovery from disasters.

www.atf.treas.gov The Bureau of Alcohol, Tobacco, and Firearms website contains information on bomb threat and detection resources. A Bomb and Physical Security Planning link titled, Bomb Threat Workbook, for the public sector is available, along with information on detecting suspicious devices and bomb threat checklists.

www.cdc.gov   Information on infectious diseases from the Centers for Disease Control.

www.cbiac.apgea.army.mil The Chemical and Biological Defense Command web site provides information and analysis on CW/CBD.

http://www .oep-ndms.dhhs.gov The Department of Human Health Services web site on their role and function in emer gency planning.

http://www .disasterrelief.org The Disaster Relief web site is maintained by the American Red Cross, CNN, and IBM. It provides information on disasters and sour ces for r ecovery suppor t.

www.doe.gov   Information on Department of Energy capabilities and support involving radiological materials and r elated emer gencies.

http://www.dtic.mil/def U.S. Department of Defense with links to domestic preparedness resources.

www.doc.gov Department of Commerce information on emergency/disaster mitigation.

http://www .dot.gov U.S. Department of Transportation (DOT) information on hazardous materials.

http://www .epa.gov The U.S. Environmental Protection Agency web site provides information on accident protection, risk management, and their role in counter-terrorism. Links to other federal agencies and organizations involved in counter-terrorism are provided.

www.fbi.gov Information and services available from the Federal Bureau of Investigation, designated as the the Lead Federal Agency in events involving terrorism.

http://www .fbi.gov/pr ograms/ndpo/default.htm The National Domestic Preparedness Office (NDPO) web site provides links to other federal WMD assets and expertise.

http://www .fbi.gov/ansir/ansir .htm FBI/Awareness of National Security Issues and Response (ANSIR). The web site is the public voice for the FBI on espionage and physical infrastr ucture protection.

http://www .fema.gov The Federal Emergency Management Agency web site contains emergency response and planning information. Documents on various hazar ds can be downloaded along with fact and planning sheets.

http://www .usgs.gov The U.S. Geological Sur vey (USGS) contains information on geologic hazards. The USGS also monitors and evaluates threats from a number of natural hazar ds.

www.info.gov/fed_directory/phone.shtml Director y assistance link for the Government Information Exchange site. The link has access to the Operation Respond Emergency Information System (OREIS) database designed to provide first r esponders with infor mation on various hazar ds.

http://www .ibhs.org The Institute for Business and Home Safety provides information on residence and business natural disaster safety. The web site is an initiative of the insurance industr y to reduce death, injury, and property damage.

http://www .iaem.com The International Association of Emergency Managers (IAEM) web site provides information on emergency management issues.

http://www .nemaweb.org The National Emergency Management Association web site concentrates on mitigation of hazards. Links to related sites are provided.

http://www .nrt.org National Response Team Preparedness Committee web site on the exchange of lessons learned during training exercises. Links to over 100 pr eparedness and r esponse web sites.

http://ns.noaa.gov   NOAA's web site contains information on monitoring and analyzing hazards. Additional information on monitoring, responding to and mitigating hazar ds is available.

http://www .ojp.usdj.gov/osldps   Office for State and Local Domestic Preparedness Support established to administer grants to assist state and local public safety personnel in acquiring the specialized equipment and training to safely respond to and manage domestic terrorist activities, especially dealing with WMD.

http://www .osha.gov Occupational Safety and Health Administration information on various human health and safety hazards.

www.statelocal.gov The U.S. State/Local Gateway for state and local access to federal information.

http://www .usia.gov/topical/pol.ter ror The U.S. Information Agency web site on counter ter rorism with links to U.S. gover nment sour ces.

http://www .weather.com/safeside The web site provides information on a joint project, Project Safeside, between the American Red Cross and Weather Channel to inform communities on meteorological hazards and the importance of preparing for natural disasters.

http://www .emforum.org The Virtual Forum for Emergency management professionals' web sites provides information on emergency management and links with professional organizations throughout the world. The Emergency Information Infrastructure Partnership is a voluntary association to exchange information on disaster planning and recovery. The EMForum includes FEMA, National Emergency Management Association (NEMA), the International Association of Emergency Managers (IAEM, National Volunteer Fire Council (NVFC), Congressional Fire Ser vice Institute (CFSI) and State and Local Emer gency Management Data Users Group.

http://dp.sbccom.ar my.mil This web site, SBCCOM;Pr ogram Director for Domestic Preparedness is dedicated to enhancing federal, state, and local emergency responders.

Glossary

*During development of the **Critical Incident Protocol**, participants expressed the need to develop common **terminology** that would be jointly understood by the public and private sectors. The following definitions will be helpful during the planning and implementation process.*

Acceptable Down Time – The period of time a function or activity can be disrupted without significant impact to production, customer service, revenue, or public confidence. Each business activity must develop its individual maximum allowable down time. Also referred to as Maximum Allowable Recovery Time.

Business Resumption – See Recovery

Community – A political entity, within a defined boundary, having authority to adopt and enforce laws and provides services and leadership to its residents.

Crisis – An incident or event that cannot be adequately handled within the normal scope of business operations. See Critical Incident.

Crisis Management Team (CMT) – CMT is comprised of senior private sector executives who represent the central business functions. In a disaster that exceeds the scope of normal business operations, the CMT provides strategy and support to the on-scene Incident Management Team. Analogous to the Emergency Operations Center (EOC) established by the public sector.

Crisis Management Center (CMC) – Location where the Crisis Management Team meets. Primary and alternate location must be preplanned. May be at the facility where the incident is occurring or a distant location, as the main office, headquarters of the business function, or alternate site.

Critical Incident – Any manmade or natural event or situation that threatens people, property, business, or the community and occurs outside the normal scope of routine business operations. Typically requires coordination of numerous resources.

Critical Incident Plan – Action plan developed to mitigate, respond to, and recover from a critical incident. Includes steps to guide the response and recovery efforts. Identifies persons, equipment, and resources for activation in a disaster and outlines how they will be coordinated.

Disaster – see Critical Incident.

Emergency – An event that threatens people, property, business continuity, or the community and may develop into a disaster or critical incident.

Emergency Operations Center (EOC) – The EOC is a location where senior public sector officials who represent primary governmental functions assemble to resolve a critical incident. Monitors and directs emergency response and recovery activities. Supplies the public sector Incident Commander with the necessary resources to resolve the critical incident. Analogous to the private sector Crisis Management Team (CMT).

Emergency Planning – see Critical Incident Planning.

Emergency Response – Coordinated public and private response to a critical incident.

Emergency Response Team – See Incident Management Team

Exercise – A planned, staged implementation of the critical incident plan to evaluate processes that work and identify those needing improvement. Exercises may be classified as Orientation, Tabletop, Functional, or Full-scale and involve scenarios to respond to and resolve the assessed risks. See definitions of exercise types.

Full Scale Exercise – Conducted in an environment created to simulate a real-life situation. Involves functional areas of response resources.

Functional Exercise – Limited involvement or simulation by field operations to test communication, preparedness, and available/deployment of operational resources.

Hazards – Any circumstances, natural or manmade, that may adversely affect or attack the community's businesses or residences.

Incident Commander – Public sector official (usually fire or police) in charge of coordinating resources and developing strategies to resolve the critical incident.

Incident Command System (ICS) – ICS establishes an organized approach to take charge of a critical incident and coordinate the response. Joint private/public sector planning enables a smooth transfer of authority from the private sector to the public sector Incident Commander when they arrive on the scene. Unified command may occur after this transfer.

Incident Management Team (IMT) – The private sector response team at the scene to resolve the critical incident. If a company Crisis Management Team is available, the IMT may request additional private sector resources. May also be known as Emergency Response Team (ERT)

Local Emergency Planning Committee (LEPC) – Process established by the U.S. Environmental Protection Agency for particular hazards and suggested as a method for local business and government to partner in the critical incident planning process.

Maximum Allowable Recovery Time – See Acceptable Down Time

Mitigation – Activities to eliminate hazards in advance or to lessen their impact if an incident occurs. Includes all types of prevention activities, control or containment, forward planning, and risk reduction. Should be considered throughout the entire planning, response, and recovery process.

Orientation exercise – Low stress training exercise to familiarize teams with their roles and expectations. Usually provided in a partial briefing format. Provides an overview of the critical incident response plan.

Preparedness – Actions and initiatives developed prior to an incident that includes risk assessment, planning, training, and exercising.

Private Sector – A business or company not owned or managed by the government.

Public Sector – A particular element or component of government, i.e. police, fire, emergency services, public works, local, state, or federal government entity.

Recovery – Process that takes place during and after a critical incident that focuses on repair of damages, return to normal activities, and recovery of losses. May also be called Business Resumption.

Response – Reacting to and managing a critical incident until it is resolved.

Risk assessment – Identification of risks to persons or property, operations, or business function or activity, and evaluation of the importance of the function to the continued business operation. Functions may be classified as **critical, essential, or non-essential** to their importance in continuing normal operations. May be individual assessments conducted by a particular entity or jointly conducted between the public and private sectors. The vulnerability of each function should also be evaluated.

Tabletop Exercise – Limited simulation of an emergency situation to evaluate plans, procedures, coordination and assignment of resources. Usually involves decision-makers interacting to resolve issues raised by a pre-scripted scenario.

Terrorism – The calculated use of **violence or threat of violence** to inculcate fear; intended to coerce or to intimidate governments or societies in the pursuit of goals that are generally political, religious, or ideological.

Unified Command System (UCS) – The UC involves a management structure to facilitate public and private teamwork to bring together expertise and resources for managing and resolving a critical incident. Involves joint consultation and decision making.

Vulnerability - Evaluation made on the extent or frequency of exposure to an identified risk. May be classified as Highly Vulnerable, Vulnerable, or Not Vulnerable. Establishes significance of risks and the potential impact to the ongoing business functions. Important factor to be considered in establishing priorities in mitigation activities.

Weapons of Mass Destruction – Any destructive device that is intended or capable of causing death or serious injury to a large number of people through the release, dissemination, or impact of toxic or poisonous chemicals or their precursors, disease-causing organisms, radiation or radioactivity, or conventional explosives sufficient for widespread lethality.

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Assistant Director
Fire Training Institute
Oakland Community College

Goudou De Roo
Director of Buildings & Grounds
Zeeland Public Schools

Ken Diamond
Manager of Security
Delphi Automotive Systems

Chief Roger Doctor
Norton Shores Police Department

Jack Duso
Assistant City Manager
Midland

Jim Ellis
Director, Global Security Policy &
North America Public Relations
General Motors Corporation

Hank Ellison
President
Cerberus & Associates Inc.

Lieutenant Wayne Etue
Emergency Management Division
Michigan State Police

Paul F. Fabiano
Fire Marshal
Delta Township Fire Department

Jeff Feerer
Manager
Environmental Health & Safety
Dow Chemical Company

Sergeant Tom Foote
Ingham County Emergency Services
Ingham County Sheriff's Department

Roger Garner
Director of Emergency Services
County of Midland

Bob Grabinski
Fire Marshal
Muskegon Fire Department

Speed Gray
Retired-Director
Global Risk Management
Amway Corporation

Bernie Grysen
Corporate Security Manager
Herman Miller, Inc.

Chief Daniel J. Hargorten
Midland Fire Department

Lt. Max J. Harnish
Patrol Division
Kent County Sheriff's Department

Chief Jeffrey Hawkins
Pontiac Fire Department

Richard Heathcock
Gratiot County Commissioner

Chief Dan Henderson
Holland Fire Department

Suzan Hensel, Director
Midland County Central Dispatch

Chief Mark Hetfield
LEPC Chairman Shiawassee County
Corunna Police Department

Tom Hillen
Emergency Management Coordinator
Kent County Sherriff's Department

Donn Huisken
Chief of Security
Rober Vankampen Family & Holdings

Dan Hurley
Section Account Manager
Pinkerton Automotive Service Division

Steven Jackson
Emergency Services Manager
Eaton County Sheriff's Department

Robert Johnson
Emergency Services Manager
City of Sterling Heights

John Katunar III
Technical Specialist
HSB Industrial Risk Insurers

Joe Kimble
Emergency Management Coordinator
Muskegon County Emergency Services

Deputy Richard S. Kos
Emergency Services Coordinator
Shiawassee County Sheriff's Dept.

Dave Koutz
Facility Manager
Gratiot Community Hospital

Andy Kuchek
Loss Prevention Team Leader
Dow Corning

Investigator James Kus
Eaton County Prosecutor's Office

Lawrence S. Lisiecki
Special Security Operations
DaimlerChrysler Corporation

Captain Bruce Lucey
Lenawee County Sheriff's Office

Fletcher MacGregor
Senior Vice President
Marsh Risk Consulting

Milton N. Martin
Safety Manager
Total Petroleum

Dennis Mason
Senior Loss Control Consultant
Marsh USA – Risk Control Strategies

Jack McArthur
Fire Chief/Emergency Coordinator
City of Dearborn

Donald McLellan, Ph.D.
Executive Lieutenant
Oakland County Sheriff's Office

Alezander A. Merkall
Battalion Chief
Detroit Fire Department

Jerome Miller
Senior Manager
Special Security Operations
DaimlerChrysler Corporation

Dean Moore
Director
Midland Medical Center – EMS

Jim Moorer
Security/Fire Supervisor
Ford Motor Company

Kevin Napier
Plant Protection Supervisor
Sappi Fine Paper

Brett Neal
Safety Engineer
Ford Motor Company

Cindy Newman
Public Relations Manager
Dow Chemical Michigan Operations

John Novak
Director of Operations
Pinkerton Automotive Service Division

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For additional copies or infor mation, contact:

Radford W. Jones
School of Criminal Justice
Michigan State University
East Lansing, MI
517/355-2227
jonesrad@pilot.msu.edu

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Employment Law
E.E.O. & Sexual Harassment

POST Management Program

Instructional Goal: To provide an overview of employment law and equal employment opportunity.

Performance Objectives: By the end of this training, you will be able to pass a written exam at or above 80% on the following:

- List the three types of evidence used to prove intent to discriminate
- List 5 of the eight overall factors for discrimination
- Describe reasonable accommodation
- List the three elements of employment opportunity
- Discuss know or should have known regarding harassment and hostile work environment
- List the three categories of harassment
- List five characteristics that can create a hostile work environment
- List three reasons why people hesitate to report sexual harassment and/or hostile work environment
- Title VII complaint must be filed within how many days per NERC
- Title VII complaint must be filed within how many days per EEOC

History

Based on principles set forth in 1781: _____

and

_____

Laws Enforced

- Title VII of the Civil Rights Act of 1964/1991 (CRA)
- Age Discrimination in Employment Act of 1967 (ADEA)
- Equal Pay Act of 1963 (EPA)
- Americans with Disabilities Act of 1990 (ADA)
- Pregnancy Discrimination Act of 1978 (PDA)
- Family and Medical Leave Act of 1993 (FMLA)
- State Statute NRS 613.330 – Sexual Orientation

The courts and the U.S. Equal Employment Opportunity Commission (EEOC) have identified a number of discrimination theories in adjudicating EEO complaints:

- Disparate Treatment,
- Adverse Impact,
- Harassment/Hostile Environment
- Retaliation

Disparate Treatment exists when similarly situated individuals are treated differently because of their membership in a protected class.

- Complainant must establish a prima facie case by showing that:
- He/she is a member of a protected class.
- He/she suffered some adverse action.
- A similarly situated individual outside of his/her class was treated more favorably.

Intent to discriminate is proven by three types of evidence:

- direct,
- circumstantial (comparative), and
- statistical

Shifting Burden: Once a prima facie case is established the burden shifts to the employer to articulate a legitimate, non-discriminatory reason for taking the action; then shifts back to complainant to argue pretext.

Adverse Impact Discrimination

- Exists when a facially neutral employment policy/practice disproportionately impacts members of a protected class.
- The burden shifts to the agency to provide a business justification for the challenged policy/practice.
- After management meets its burden, the complainant may prevail by providing an alternative practice that would accomplish the same business objective with a less adverse impact on the protected class.

- Discriminatory motive is not required.
- Examples of policies that may adversely impact some groups:
- Educational Requirements,
- Tests,
- Height and Weight Requirements,
- Subjective Standards for Hiring,
- Promotions, and
- Assignments.

Griggs v. Duke Power Co. 401 U.S. 424 (1971)

- Griggs was an African American male;
- He was denied a ditch digger job because he failed to meet selection criteria (possession of high school diploma or passing grade on a written test);
- Supreme Court found that the facially neutral employment criteria violated Title VII because:
  - It had a disproportionate impact on Griggs' protected group and
  - It was not job-related or consistent with business necessity.

Title VII Civil Rights Act of 1964

Title VII prohibits employers from discriminating against workers because of:

- Age
- Race
- Color
- Religion
- Sex
- National Origin

Under Title VII, the ADA, and the ADEA, it is illegal to discriminate in any aspect of employment, including:

- Hiring and firing
- Compensation, assignment, or classification
- Transfer, promotion, layoff, or recall
- Job advertisements
- Recruitment
- Testing
- Use of company facilities
- Training and apprenticeship programs
- Fringe benefits
- Pay, retirement plans, disability leave; or
- Other terms and conditions of employment

Equal Employment Opportunity Laws (EEO)

Protect employees from discrimination on the basis of:

- Race
- Age 40+
- Ancestry
- Mental Disability
- Color

- Creed
- Medical Condition
- Marital Status
- Sex
- Religion
- Pregnancy
- Family Medical Leave
- National Origin
- Physical Disability
- Sexual Orientation
- Retaliation

Eight Overall Factors:

- Race
- Color
- Religion
- Sex or gender
- National Origin
- Disability/Handicap Condition
- Age (+40)
- Retaliation and/or reprisal

Discriminatory Practices include:

- Harassment on the basis of race, color, religion, sex, national origin, disability, or age;
- Retaliation for filing a charge of discrimination
- Employment decisions based on stereotypes; and
- Denying employment opportunities to a person because of marriage to, or association with, and individual of a particular race, religion, national origin, or an individual with a disability.

Age Discrimination in Employment Act (ADEA):

- Prohibits an employer from refusing to hiring, firing, or otherwise discriminating against an employee age 40 or older, solely on the basis of age

Equal Pay Act (EPA):

- Prohibits discrimination on the basis of sex in the payment of wages or benefits
- Wage differences permitted for:
- Seniority, Merit, Quantity/quality of Production, any other factor other than sex

What is a BFOQ??????

(BFOQ) are employment qualifications that employers are allowed to consider while making decisions about hiring and retention of employees. The qualification should relate to an essential job duty and is considered necessary for operation of the particular business.

The Bona Fide Occupational Qualifications rule allows for the hiring of individuals based on race, sex, age, and national origin if these characteristics are bona fide occupational qualifications. This is an exception and complete defense to Title VII of the Civil Rights Act of 1964 which protects employees from discrimination based on religion, sex, age, national origin and color at the workplace.

In order to establish the defense of bona fide occupational qualification, an employer must prove the requirement is necessary to the success of the business and that a definable group or class of employees would be unable to perform the job safely and efficiently. An employer should demonstrate a necessity for a certain type of workers because all others do not have certain characteristics necessary for employment success. However, the employer's motivation for excluding the protected class is not significant in evaluating the BFOQ defense. The inquiry focuses on the necessity of using an expressly forbidden classification.

Examples of BFOQ's are: mandatory retirement ages for bus drivers and airplane pilots for safety reasons, churches requiring members of its clergy to be of a certain denomination and may lawfully bar, from employment, anyone who is not a member. However, for positions at a church such as janitors, discrimination based on religious denomination would be illegal because religion has no effect on a person's ability to fulfill the duties of the job. Other examples of bona fide occupation qualifications include the use of models and actors for the purpose of authenticity or genuineness, the requirement of emergency personnel to be bilingual, judged on language competency, not national origin.

Sex Discrimination

- Sexual Harassment a form of sex discrimination
- Pregnancy Based Discrimination
- Pregnancy, childbirth, and related medical conditions must be treated in the same way as other temporary illnesses or conditions.
- Additional rights are available to parents and others under the Family and Medical Leave Act (FMLA) enforced by the Department of Labor

Sexual Orientation Protected under state law – NRS 613.330

Unlawful employment practices:

- Discrimination on basis of race, color, religion, sex, sexual orientation, age, disability or national origin;
- Interference with aid or appliance for disability;
- Refusal to permit service animal at place of employment.

Americans with Disabilities Act (ADA)

- ADA prohibits discrimination on the basis of disability in all employment practices.
- An individual with a disability is a person who has a physical or mental impairment that substantially limits one or more major life activities
- Major life activities include: walking, breathing, seeing, hearing, speaking, learning, and working
- Persons currently engaging in illegal use of drugs are not protected by ADA

Reasonable Accommodation

May include, but is not limited to:

- Making existing facilities used by employees readily accessible to and usable by persons with disabilities
- Job restructuring
- Modification of work schedules
- Providing additional unpaid leave
- Reassignment to a vacant position
- Acquiring or modifying equipment or devices
- Adjusting or modifying examinations, training materials or policies
- Providing qualified readers or interpreters
- An employer is not required to lower production standards to make an accommodation

Elements of Employment Opportunity

- Equal opportunity to _____
- Equal opportunity to _____
- Equal opportunity to be _____

Sexual Harassment

- Form of _____ discrimination
- Violation of Section 703 of Title VII
- Must occur at _____ or a _____ environment

Sexual Harassment - Violation Section 703 Title VII

Definition: "_____sexual advances, _____ for sexual favors, and other _____ or _____ _____ of a sexual nature constitutes _____when:

1. _____ to such conduct is made either _____or _____ a term or condition of an individual's_____
2. Submission to or _____ of such conduct by an individual is used as a basis for employment decisions affecting such individual, or
3. Such conduct has the _____ or effect of _____ interfering with an individual's work performance or creating an _____ _____ or _____ work environment

Illegal Under Nevada State Law - NAC 284.771 Sexual harassment

1. Sexual harassment violates the policy of this State and is a form of unlawful discrimination based on sex under state and federal law. An employee shall not engage in sexual harassment against another employee, an applicant for employment, or any other person in the workplace.
2. Sexual harassment is a very serious disciplinary infraction. An appointing authority may impose harsh disciplinary sanctions on, or dismiss, persons who commit sexual harassment, including, without limitation, first-time offenders.

Facts:

- Harasser can be a woman or a man

- Victim does not have to be of the opposite sex
- Harasser can be the victim's supervisor, another supervisor, co-worker, non-employee, agent of the employer, customer
- Victim can be a third party
- Sexual harassment may occur without economic injury to the victim

Categories of Sexual Harassment

- Quid pro quo – Latin for_____
- Only a _____ or _____ can commit quid pro quo harassment
- Based on _____ and _____
- Can be explicit or implicit
- Hostile Environment Harassment
- Supervisor, co-worker or non-employee can commit
- Nothing tangible about the job needs to be affected

Hostile Work Environment

Discriminatory _____ or _____ that has the purpose or effect of _____ interfering with an individual's _____ _____ or creates an _____ or _____ working environment

3 Basic Forms

1. Implicit or explicit offers of employment rewards
2. Implicit or explicit threats of employment punishment if sexual favors are not given
3. Creating or permitting an intimidating, hostile and/or offensive work environment by verbal acts, physical acts or graphic displays which unreasonable interfere with the recipients' ability to do their work

Liability

- If you _____, you can be held liable
- Liability is based on _____
- Regardless of the intent, the behavior will be judged on its impact based on a reasonable person standard
- 1991 amendment to Title VII allows victims to recover punitive damages

Agency Liability - For Harassment by Management Official

- It exercised _____ any harassment (agency has anti-harassment policy and complaint avenues); and
- The employee unreasonably failed to take advantage of any preventive or corrective opportunities provided by the agency or otherwise avoid harm. (Employee failed to take advantage of complaint process).

Agency Liability - For Harassment by Co-workers

- If harassment by a co-worker creates a hostile environment, the agency is liable if it knew or should have known of the conduct and failed to take _____

Example of co-worker harassment:

- When a female complains about the vulgar language and jokes that routinely fill the break room, her male co-workers tell her to: "lighten up and get used to it, because that's how the boys behave."

Unwanted, Unwelcome, Repeated - Verbal Harassment:

- Name calling
- Belittling
- Sexually explicit words
- Degrading words
- Sexually explicit jokes
- Anatomy comments
- Dress comments
- Sexual oriented noises
- Sexual oriented remarks
- Terms of endearment
- Teasing
- Questions about a person's sexual practices
- Patronizing terms
- Patronizing remarks
- Verbal abuse
- Graphic verbal commentaries about the body
- Repeated request for dates
- Wolf whistles, cat calls

Unwanted, Unwelcome, Repeated - Physical Harassment

- Touching
- Pinching
- Patting
- Grabbing
- Brushing against
- Poking
- Hazing or initiation that has a sexual component
- Bumping
- Hugging
- Kissing
- Shoulder rubs
- Massages
- Cornering
- Blocking movement
- Winking
- Licking lips

Unwanted, Unwelcome, Repeated - Visual Harassment

- Offensive gestures
- Offensive motions
- Leering at a person's body
- Leaning over someone
- Circulating written material of a sexual nature
- Suggestive calendars
- Suggestive cartoons
- Obscene letters

- Obscene invitations
- Mooning
- Notes
- Elevator eyes
- Knick-knacks and other objects of a sexual nature
- Suggestive pictures

Unwanted, Unwelcome, Repeated - Sexual Favors

- Continued request for dates
- Threats of demotion
- Threats of termination
- Propositioning an individual
- Requesting meetings outside of work hours
- Requesting meetings at other locations
- Inviting to a staff party and no one else is invited

Hostile Environment Harassment

Courts are likely to find an illegal hostile work environment where there is:

- Pornography
- Vulgar language
- Sexual touching
- Degrading Comments
- Embarrassing Questions
- Sexual Jokes
- Sexual Propositions

OTHER TYPES OF HARASSMENT

Other types of harassment are equally unacceptable with equally serious consequences:

Race   **Religion**   **National Origin**

Age   **Disability**   **Sexual Orientation**

Pregnancy

Political Affiliation   **Physical Appearance**

The Building Blocks

THE RESPECTFUL WORKPLACE

APPRECIATING DIVERSITY

ACCEPTING DIFFERENCES

EQUALITY

The best would be to **STOP** harassment before it starts.

S ource
T arget
O pportunity
P erson in authority

Source

The source of the disrespectful behavior has the responsibility to stop behaving in such a manner.

What about US. Are we part of the problem? Have we added to the disrespectful behavior?

S

The *target* must help – confront the Harassment/harasser!

Target

If we are offended by other's actions or words, we need to let them know and ask them to stop.

Consider this:

S

The source of the disrespectful behavior **may not even know that his/her behavior is offensive to us**.

Target

O

How can this person correct his or her behavior <u>if he or she is unaware</u> of its impact?

P

S

Those who **_observe_** disrespectful or harassing behavior <u>have a responsibility to stop it</u> when it occurs; and one who **_notices_** such is NEVER an innocent bystander!

Observer

P

It is simply the right thing to do.

S

Every person in authority has a duty to keep the workplace free from offensive and harassing behavior.

T

O

Each person in authority is crucial to creating a respectful workplace.

Person in authority

Why People Hesitate in Reporting

1. May be embarrassed and do not want to talk about it
2. They do not want the sexual harasser to get in trouble
3. Some women are told:
   - "Be a good sport,"
   - "Can't you take a joke?"
   - "Boys will be boys," or
   - "You have got to expect that in a traditionally male job."
4. They fear that if they talk about it, nothing will be done
5. They fear reprisal from the harasser
6. They may be concerned about being labeled
7. They are afraid of being fired, demoted, not promoted or transferred

Guidelines to Follow

- Be aware of how you communicate
- Think before you speak
- Avoid using terms you know are offensive
- Understand that disrespectful behavior has consequences
- If you realize, or are told after you say or do something in the workplace that it was inappropriate, go to the person and apologize

- Just because racy, sexually explicit jokes may be on television, the radio, or in the movies, it does not make it okay to repeat these comments in the workplace
- Treat your colleagues as you would like your parent, sibling, child or yourself to be treated
- Report it

Supervisor's/Manager's Responsibilities For Harassment Prevention

- Treat allegations seriously and confidentially.
- Do not ignore any allegation.
- Be proactive, monitor workplace behaviors.
- Post/disseminate EEO Policy.
- Respond to allegations immediately.
- Investigate, as appropriate, and document.
    - Be sensitive but impartial.
    - Interview parties and relevant witnesses
    - Ask open-ended questions.
    - Collect relevant documentation/evidence
- Take appropriate corrective action
- Follow-up.
- Report allegations
- Ensure no retaliation.
- Document your actions.

Retaliation

There are three essential elements of any retaliation claim:

- **Protected activity:** (i.e., participation in the statutory complaint process or opposition to discrimination);
- **Adverse employment Action:** Demonstrating that the employer's action in question "well might have dissuaded a reasonable employee from making or supporting a charge of discrimination"; and
- **A causal connection** between the protected activity and the employer's action(s).

Burlington Northern v. White 548 U.S. 53 (2006)

Facts: White, the only woman working in her department, operated a forklift at the Tennessee yard of Burlington.

- After she complained of sexual harassment, her immediate supervisor was disciplined.
- Thereafter, White was removed from forklift duty to less desirable (more arduous and dirtier) duties as a track laborer, although her job classification remained the same.
- Further, she was suspended for 37 days without pay for alleged insubordination but was eventually reinstated and given back pay in full.
- Burlington asserted that White did not suffer an "adverse employment action" because she was not fired, demoted, denied promotion or denied wages.
- The Court held that White suffered retaliatory discrimination when she was reassigned to less desirable duties and suspended without pay.
- Although, the duties were within the same job classification and pay was eventually reinstated, the actions were sufficiently harsh to constitute discrimination and deter a reasonable employee from complaining about discrimination.

The Future of Retaliation Claims - Source: HR Magazine 1/1/2011

Retaliation claims are increasing, so take steps to limit them.

Some HR professionals and lawyers predicted that the U.S. Supreme Court's 2006 decision in Burlington Northern v. White, 548 U.S. 53 (2006), would open the floodgates for retaliation charges and lawsuits. Although cause and effect is hard to determine, the following facts are undeniable: Through 2009, when the most recent U.S. Equal Employment Opportunity Commission statistics were available, there was a steady increase in retaliation charges filed. There was also an increase in state and federal retaliation lawsuits filed.

In its Burlington Northern decision, the Supreme Court lowered the standard of proof for retaliation claims, making it much easier for employees to prove those kinds of cases. Typically, an employee who engages in an alleged protected activity, such as filing an internal complaint, is subsequently disciplined or treated in an adverse way. The employee will claim that the discipline or adverse action was motivated by the protected activity. To succeed, the employee need only show that retaliation was a motivating factor in the employer's later decision.

In Burlington Northern, the U.S. Supreme Court expanded the scope of unlawful retaliatory adverse employment actions to those viewed by a reasonable person in the employee's position as materially adverse but not necessarily ultimate employment actions. Burlington Northern represented a significant departure from prior legal consideration as to the required proof in employees' retaliation complaints.

This article revisits Burlington Northern in light of the retaliation cases that followed, and suggests ways to avoid or reduce retaliation claims. Burlington Northern

The Burlington Northern case was filed by Sheila White, who worked as a "track laborer" for Burlington Northern Railroad Company. Her assignment was to operate a forklift, one of the least physically demanding and cleanest job assignments at White's facility. The forklift driver position was considered one of the most desirable jobs.

White complained that her supervisor repeatedly made comments that women should not work in his department. Burlington Northern investigated White's claim, found that it had merit and suspended her supervisor for 10 days. The supervisor was required to attend a sexual harassment class.

But Burlington Northern's investigation had another consequence. During the investigation, several employees complained that, because they were senior to White, it was unfair that she was given the forklift assignment. Burlington Northern decided that these complaints had merit and reassigned White, giving her forklift assignment to a senior male co-worker.

White filed a charge with the U.S. Equal Employment Opportunity Commission (EEOC), alleging that she was reassigned in retaliation for complaining about her supervisor. She claimed that she was placed under surveillance by her employer. Later, White was accused of being insubordinate to another supervisor and was suspended without pay for 37 days. White filed and won an internal grievance, and received back pay for those 37 days. She filed a second charge with the EEOC about the suspension.

White's lawsuit alleged retaliation for the reassignment and the suspension. A jury agreed with White and awarded her $43,500 in compensatory damages. Burlington Northern appealed. The 11th U.S. Circuit Court of Appeals held that White's reassignment was not an adverse employment action that could form the basis for a retaliation claim because White's title and compensation remained the same.

When the Supreme Court heard the case, it disagreed, reversed in favor of White and widely expanded the definition of "adverse employment action" to include reassignment to a less-desirable job. Rather than focus on the negative financial impact, courts now must look at whether the alleged adverse employment action is material in that it would dissuade a reasonable individual from reporting harassment or discrimination.

Subsequent Cases

After Burlington Northern, many predicted that retaliation claims would skyrocket, and they have. In addition, retaliation cases that previously would have ended at summary judgment are now going to juries, who are often sympathetic to employees- especially in this economy. More U.S. courts are holding that job transfers and changes in work assignments can be considered retaliatory adverse employment actions.

In fact, a federal court in Michigan has even held that a job transfer that involved a one-time bonus and nominal pay increase was an adverse action because it resulted in less opportunity for advancement and less prestige for the employee (Pitts v. Kone Inc., Case No. 05CV71436 (E.D. Mich. Oct. 16, 2006)).

Courts are finding that negative performance evaluations and discipline notices can be considered retaliatory adverse employment actions. This is true when the evaluations are less favorable than previous ones or when they result in denial of a bonus. Even a suspension overturned by a grievance process can constitute an adverse employment action.

Other adverse employment actions in cases where employees have avoided summary judgment include threats of losing pay, benefits or a job; investigations that focus on character rather than the complaint or harassment; and denial of opportunities for advancement or use of accrued sick leave.

But not every employer action that makes an employee unhappy will be considered an adverse employment action by the courts. For example, courts have found that performance improvement plans are not, on their own, materially adverse employment actions. Keep in mind that courts in different parts of the country are coming to different results, and it is not easy to discern what distinguishes cases that win on summary judgment from cases that go to a jury.

It does seem, however, that courts are making an effort to distinguish trivial actions and petty slights from material adverse actions that would deter a reasonable employee from engaging in protected activity. Several appellate courts, for example, have held that rude comments by supervisors do not amount to retaliation, even when a supervisor refers to an employee as a "troublemaker" for making complaints.

Back to the Basics

So, in light of Burlington Northern and cases decided in favor of employees since then, what can employers do to protect themselves? They can and should be proactive and consider the basics. Most successful retaliation claims result from employers taking so-called "adverse employment actions," including terminations and other discipline, without enough due diligence and planning. This may be particularly true when line managers come to you and declare, "I have had it. I want him fired today."

Too often, this may be the first time an HR professional has heard about this employee. While there are no silver bullets, there are basic actions that may help avoid or reduce the likelihood of a retaliation charge or lawsuit.

When confronted with termination or other discipline of an employee, consider the following steps as part of due diligence:

*   Implement and follow a zero-tolerance anti-discrimination and anti-retaliation policy. It will inform employees that such behaviors are prohibited.
*   Have a toll-free telephone number for complaints. Such a process may allow employees to resolve complaints internally.
*   * Reflect on what discipline to take. Seldom is it necessary to terminate an employee on the spot. Even when immediate termination is the appropriate sanction, it is recommended that the employee be suspended pending investigation subject to discharge.
*   * Recognize employee-protected activity. Knowing what employee behavior is protected, such as filing an internal complaint, and knowing when it occurred, may keep you from retaliating against the

employee. Retaliatory actions may include job transfers; changes in work assignments; negative performance evaluations; discipline notices; threats of losing pay, benefits or a job; internal investigations; denial of career advancement opportunities; and more.

* * Timing is important. Discipline closely linked in time to protected activity may create a presumption of retaliation.
* * Listen to the employee's version. Fairness requires that you give the employee the opportunity to tell his or her side. Sometimes, motive may be critical in your decision as to what discipline, if any, to administer.
* Conduct a complete investigation. Investigate all leads and interview all relevant witnesses.
* Take appropriate action. If a violation is found and discipline warranted, take the action and document it.
* Follow up on discrimination and harassment complaints. Speak with complainants after the initial investigation to ensure that they feel comfortable in the workplace and do not perceive retaliation. Follow up quarterly, at least for a while.
* * Don't overreact. It is easy to act in haste and based on the facts as they appear at the moment. A suspension pending further investigation allows you time to reflect, in case the facts are not as they first appear.
* Be consistent. Discrimination and retaliation charges often succeed because employers are inconsistent in following policies and procedures or adhering to past practice.
* * Document, but don't over-document. Documentation should be timely, thorough and accurate. Sometimes there is a tendency to document everything a "bad" employee does. Advise your managers to resist the urge. Documentation should be consistent with past practice and the same for all employees. If you use a progressive process, document within that process.
* Train supervisors on the basics. Line managers may not remember HR policies and procedures. Revisit them regularly.
* Review EEOC guidelines. These guidelines can often provide guidance for particular situations.
* Consult with legal support before taking severe disciplinary action.
* Don't retaliate. Enough said.

First Line of Defense

HR professionals represent the employer's first line of defense to charges and complaints of retaliation.

Be proactive and prepare for such cases in advance of the charge or lawsuit being filed. No matter what safeguards you have in place, or how fair your discipline or other processes, certain employees will consider them unfair. Therefore, some employees inevitably will file retaliation charges or lawsuits. That's the price of doing business.

Being proactive, considering the basics and conducting due diligence reviews should minimize their number and effect.

Most successful retaliation claims result from employers taking adverse employment actions without enough due diligence and planning.

The authors are attorneys in Ogletree Deakins' Tampa, Fla., office.

New standard for retaliatory discrimination:

Actions by an employer that are harmful to the point that they could dissuade a <u>reasonable worker</u> from making or supporting a charge of discrimination.

Complaint Process - Manager's/Supervisor's Responsibilities:

- Treat all complaints seriously and confidentially.
- Make sure that notices for the timely filing of a discrimination complaint are prominently posted in the workplace.
- Attempt to resolve complaints at the earliest stage, i.e., the informal stage.
- Participate in mediation at any stage of the complaint process.
- Cooperate with EEO officials and investigators throughout the complaint process.
- Respond to requests for information and documents in a timely and accurate manner.
- Do not engage in behavior that may be viewed as retaliatory or obstructive to the complaint process.

Best Practices - For Supervisors and Managers

- Set example (managers are role models).
- Be accessible (have an "open door policy").
- Communicate regularly with staff (reiterate EEO policies in meetings).
- Monitor workplace behaviors (enforce respect in the workplace).
- Investigate complaints promptly
- Expand recruitment efforts through outreach (not preferences).
- Maintain accurate Position Descriptions (use valid selection criteria).
- Use diverse interview panels in the hiring process.
- Use standardized questions (no medical/personal).
- Take notes/quantify responses/use matrix.
- Review process for equity and consistency.
- Keep records/document.

Title VII Complaint Filing

Must be filed with the appropriate agency:

- Nevada Equal Rights Commission (NERC) – _____ days
- Equal Employment Opportunity Commission (EEOC) – _____ days

The 10 Employment Laws Every Manager Should Know - published by HR Specialist

Overtime pay. Discrimination. Family leave. Harassment ...Federal employment laws govern all of these issues – and many more – that you deal with at some point in your career. It's important for supervisors and managers to know the basics of how to comply with those laws. Here's a list of the top 10 most important federal employment laws:

1. **Job discrimination.** Title VII of the Civil Rights Act of 1964 prohibits you from discriminating in hiring, firing or pay based on a person's race, religion, sex or national origin. It also prohibits sexual harassment. (Resource: www.eeoc.gov)
   Action: Treat all employees and applicants equally, without regard to their race, religion, gender or any other characteristics not related to job performance. Demand the same from anyone you supervise and don't tolerate any kind of harassment.

2. **Overtime/minimum wage.** The Fair Labor Standards Act (FLSA) is the nation's main wage law. It sets the federal minimum wage (many states have higher minimums) and requires time-and-a-half overtime pay for hourly employees who work more than 40 hours in a workweek. The FLSA also limits the hours and type of duties that teens can work. (Resource: www.dol.gov/dol/topic/wages)
   Action: Always pay employees above the minimum wage and pay overtime when applicable. Contact HR when making major changes to employees' duties, which could make the employee eligible or ineligible for overtime pay.
3. **Family leave.** The Family and Medical Leave Act (FMLA) says eligible employees – those with at least a year of service – can take up to 12 weeks per year of unpaid, job-protected time off for the birth of a child or adoption of a child or to care for themselves or a sick child, spouse or parent who has a "serious" health condition. The FMLA applies to organizations with 50 or more employees. (Resource: www.dol.gov/whd/fmla)
   Action: When employees request leave, listen for requests that would meet the FMLA criteria. Employees don't need to use the words "FMLA leave" to gain protection under the law. Contact HR when hearing such requests.
4. **Age discrimination.** The Age Discrimination in Employment Act says you can't discriminate in any way against applicants or employees older than 40 because of their age. (Resource: www.eeoc.gov/laws/types/age.cfm)
   Action: Never take a person's age or proximity to retirement into account when making decisions on hiring, firing, pay, benefits or promotions.
5. **Disability discrimination.** The Americans with Disabilities Act (ADA) prohibits job discrimination against qualified people with disabilities (i.e., those who can perform the job's essential functions with or without a reasonable accommodation). (Resource: www.eeoc.gov/laws/types/disability.cfm)
   Action: Never immediately reject applicants because you think their disability would prevent them from doing the job. When hiring, stick to questions about the applicant's ability to perform the job's essential functions; don't ask questions that would reveal an applicant's disability. Work with HR to help create reasonable accommodations for disabled employees.
6. **Military leave.** The Uniformed Services Employment and Reemployment Rights Act (USERRA) makes it illegal to discriminate against employees who volunteer or are called to military duty. When reservists return from active duty tours of less than five years, you must reemploy them to their old jobs or to equal jobs. (Resource: www.esgr.org/site/USERRA/FAQ.aspx)
   Action: Don't challenge a returning reservist's bid to get his old job back; courts typically side with employees in USERRA disputes.
7. **Gender-pay differences.** The Equal Pay Act (EPA) says employers can't pay female employees less than male employees for equal work on jobs that require equal skill, effort and responsibility. (Resource: www.eeoc.gov/laws/types/sex.cfm.)
   Action: Review department pay scales to identify possible equal-pay complaints. Different pay for the same job title is fine as long as you can point to varying levels of responsibility, duties, skill requirements or education requirements.
8. **Workplace safety.** The Occupational Safety and Health Act (OSHA) requires employers to run a business free from recognized hazards. (Resource: www.osha.gov)
   Action: Provide a safe work environment for your staff, and point out any noticeable hazards or potential safety problems as soon as possible.
9. **Pregnancy discrimination.** The Pregnancy Discrimination Act (PDA) prohibits job discrimination on the basis of "pregnancy, childbirth and related medical conditions." You can't deny a job or promotion merely because an employee is pregnant or had an abortion. She can't be fired for her condition or forced to go on leave. (Resource: www.eeoc.gov/laws/types/pregnancy.cfm)
   Action: Treat pregnant employees the same as other employees on the basis of their ability or inability to work. Example: If you provide light duty for an employee who can't lift boxes because of a bad back, you must make similar arrangements for a pregnant employee.

10. **Immigration.** The Immigration Reform and Control Act (IRCA) makes it illegal to hire and employ illegal aliens. Employers must verify identification and workplace eligibility for all hires by completing I-9 Forms. (Resource: www.uscis.gov)
    Action: Managers should note that it's still illegal to discriminate against illegal aliens – via harassment or subminimum pay – even if the illegal immigrant is hired inadvertently.

How to Respond to an EEOC Complaint: 10 Steps to Success

The EEOC and state and local agencies have been filing more administrative charges in recent years and that trend is likely to continue.

Because administrative charges can be precursors to discrimination lawsuits, it's critical for you to handle them properly. These 10 tips will help you prepare to respond:

1. Tell the whole story
Often, an EEOC charge contains just one or two paragraphs, containing little more than conclusory allegations of discrimination. Resist the temptation to put minimal effort into your response.

It's usually advisable to provide a comprehensive response, detailing the circumstances surrounding the employment relationship and the reasons for adverse employment actions. Try to nip the claim in the bud by giving the agency all the facts. Demonstrate that there were legitimate business reasons for your actions.

2. Use documentation
If you have documents supporting your version of events, consider including them in your response. Documentation dating from the time of the adverse employment action can be the best way of discrediting the allegations. Attendance records, sales reports and e-mail messages can all help prove that events happened as you say they did, and that the company's concerns were bona fide.

3. Verify the response's accuracy
Attorneys love catching an employer in a lie. Since the information you submit could be used in later legal proceedings, make sure everyone involved reviews the response and verifies the accuracy of every statement.

4. Highlight consistent past decisions
One of the best ways to demonstrate that a decision was not motivated by unlawful discrimination is to point to the same actions being taken against similarly situated employees who are not members of the charging party's protected class.

For example, if the charging party alleges that her termination was motivated by discrimination against women, tell the agency of instances when you terminated men for the same misconduct.

5. **Remember, the agency doesn't know your business**
In telling your version of the events, share details about your business that will help the agency understand your actions. Think about why the charging party's performance concerned you. Would that be readily apparent to an outsider?

For example, if you are legally required to have a certain number of staff on hand at all times, explaining this will emphasize why poor attendance would be a significant problem in your workplace.

6. Maintain confidentiality
Information about the charge should be on a need-to-know basis, especially if the charging party is still employed.

If you know investigators will contact employees, couch your message in terms like this: "While we do not feel there is any merit to the allegations, we respect Employee X's right to bring this charge. If you are contacted by the agency, you should cooperate and be completely honest with the investigator."

7. Be prompt and cooperative

Don't put off preparing your response. Anti-discrimination agencies are less inclined to provide extensions than they once were. Failure to respond to a charge in a timely way can result in an adverse determination.

8. Work with legal counsel

Because a discrimination charge can be the first step in a chain of legal actions, you must protect your company's interests. Many employers ask their attorneys to investigate and prepare the response. At the very least, have an attorney review a draft before you submit it.

9. Contact your insurer

Insurance policies require insured parties to provide prompt notice of claims. Many employment-practices liability policies define claims to include discrimination charges. Failing to apprise the insurer of a charge could result in denial of coverage, not only for the charge but all subsequent legal claims.

10. Preserve all documents

Courts are increasingly imposing harsh sanctions on companies that fail to adequately preserve relevant evidence. When you receive an administrative charge, collect and preserve all documents that could be relevant. You may also want to suspend any routine practices that might result in the destruction of relevant records, particularly electronic information like e-mails, voice mails and Internet usage records.

Final note: Taking the charge process seriously, and defending against the allegations at this stage can increase the likelihood of a favorable determination and help prevent further legal actions.

Author: Carl Crosby Lehmann is an attorney with Gray Plant Mooty's Employment Law Practice Group in Minneapolis. Contact: Carl.Lehmann@GPMLaw.com.

<u>How to Wipe Out Fraud and Abuse Under FMLA</u> published by The HR Specialist

Use of the medical certification process is the biggest weapon employers have in combating potential fraud under the Family and Medical Leave Act (FMLA). It gives you the right to obtain information from the employee's physician about the medical condition and, at least for the first certification, to obtain a second or third opinion from an independent physician.

Because of the strict limits on what an employer may ask an employee, the following steps are important parts of an effective anti-fraud program:

1. **Obtain a medical certification** for each request for leave due to a serious health condition. It's important that the employer's sick leave or attendance policies require a doctor's certification for all absences of three or more days for the leave to be excused. If there is no such requirement and the employer intends to require paid leave to run concurrent with FMLA leave, the employer might not be able to require a medical certification, which is the first step in the anti-fraud program.
2. **Enforce a policy denying the leave request if an employee fails to submit certification within 15 days.** In each instance, assess any appropriate penalties for failure to be at work.
3. **Examine the certification closely** to ensure that it has been properly and fully completed. Many doctors will complete the form in a hurried fashion. In some cases, they'll intentionally leave some sections incomplete in order to remain "truthful" while accommodating the desires of the patient/employee for leave. If you're not satisfied with an employee's certification, you may contact the employee's health care provider directly to clarify or authenticate a certification form so long as you first give the employee seven days to clear up any deficiencies on the form.
   Of course, if the medical certification does not support the existence of a serious health condition, the leave request should be denied.

4. **Require a second opinion** if the circumstances are even slightly suspicious and it is an original certification.
5. **Once the certification is approved, make a limited inquiry** each time the employee requests more leave, particularly in the case of intermittent leave. The goal is to determine whether the leave is for the same qualifying reason.
6. **Watch the schedule of absences closely** in cases of intermittent leave to determine whether a suspicious pattern develops (e.g., immediately before and after weekends or days off) or whether there is a change in the frequency or timing. Such actions could suggest a change in condition that enables the employer to request a recertification. Require that employees who take intermittent leave follow your normal call-in procedures for reporting an absence, unless there are unusual circumstances.
7. **Request recertifications** as often as the law allows. The frequency of recertification permitted will differ depending on the type of leave and the type of serious health condition.
8. **Require accrued leave to run concurrently with FMLA leave** when allowed by law. When an employee realizes that taking leave today will affect future vacation time, he or she is more likely to take FMLA only when the need is legitimate.
9. **Ask the physician to verify** that the medical certification is exactly as he or she signed it and has not been altered.
10. **Inquire about the intended method of transportation** if an employee requests to leave work early because of his or her own serious health condition. If the employee cannot work, perhaps an ambulance is needed.
11. **Aggressively pursue potential fraud** and, if strong, concrete evidence of fraud is discovered, take appropriate disciplinary action. Always follow up on reports from fellow employees or other sources that the employee does not, in fact, need leave.

Following these steps will help eliminate fraud by employees who are inclined to "work" the system. Because of the limitations placed on the employer, however, determined efforts are unlikely to be detected. Yet even if no fraud is uncovered, your efforts will still reap dividends.

Once employees become aware that you intend to use these tools to detect fraud, many of those otherwise inclined to take inappropriate advantage of the FMLA will wait until a legitimate need arises.

25 Off-Limits Interview Questions

Job interviews present a minefield of legal problems. One wrong question could spark a discrimination lawsuit. That's why you should never "wing it" during interviews. Instead, create a list of interview questions and make sure every question asks for job-related information that will help in the selection process.

Federal and state laws prohibit discrimination on the basis of an applicant's race, color, national origin, religion, sex, age or disability. Some state laws also prohibit discrimination based on factors such as marital status or sexual orientation. If you ask a job applicant a question specifically relating to one of those characteristics, you're subject to being sued.

Every question you ask should somehow relate to this central theme: *"How are you qualified to perform the job you are applying for?"* Managers usually land in trouble when they ask for information that's irrelevant to a candidate's ability to do the job.

To avoid the appearance of discrimination during interviews, <u>do not ask</u> the following 25 questions:

1. Are you married? Divorced?
2. If you're single, are you living with anyone?
3. How old are you?
4. Do you have children? If so, how many and how old are they?
5. Do you own or rent your home?
6. What church do you attend?

7. Do you have any debts?
8. Do you belong to any social or political groups?
9. How much and what kinds of insurance do you have?

The following questions could result in an Americans with Disabilities Act (ADA) lawsuit:

10. Do you suffer from an illness or disability?
11. Have you ever had or been treated for any of these conditions or diseases? (followed by a checklist)
12. Have you been hospitalized? What for?
13. Have you ever been treated by a psychiatrist or psychologist?
14. Have you had a major illness recently?
15. How many days of work did you miss last year because of illness?
16. Do you have any disabilities or impairments that might affect your performance in this job?
17. Are you taking any prescribed drugs?
18. Have you ever been treated for drug addiction or alcoholism?

Many companies ask female applicants questions they don't ask males. Not smart. Here are some questions to avoid with female applicants:

19. Do you plan to get married?
20. Do you intend to start a family?
21. What are your day care plans?
22. Are you comfortable supervising men?
23. What would you do if your husband were transferred?
24. Do you think you could perform the job as well as a man?
25. Are you likely to take time off under the Family and Medical Leave Act?

Final point: If a job candidate reveals information that you're not allowed to ask, don't pursue the topic further. The "she brought it up" excuse won't fly in court, so change the subject right away.

Written by: HR Specialist.com

References

Age Discrimination in Employment Act of 1967 (ADEA)

Americans with Disabilities Act of 1990 (ADA)

Equal Employment Opportunity Commission (EEOC)

Equal Pay Act of 1963 (EPA)

Family and Medical Leave Act of 1993 (FMLA)

Nevada Equal Rights Commission (NERC)

Pregnancy Discrimination Act of 1978 (PDA)

State Statute NRS 613.330 – Sexual Orientation

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Title VII of the Civil Rights Act of 1964/1991 (CRA)

www.HRSpecialist.com

Ethics, Integrity, Responsibility, Accountability

POST Management Program

Instructional Goal: To give managers/manager trainees the ability and information needed to discuss ethics, integrity, responsibility and accountability.

Performance Objectives:

- Discuss in a group setting police deviance
- Discuss in a group setting what is the cause of police brutality
- List the three areas of abuse of authority
- List the three things that integrity involves
- Discuss in a group setting ethics and the line officer, supervisor, middle manager and the chief
- List 5 of the ten deadly ethical sins

Ethics, Integrity, Accountability, Responsibility, Professionalism

Ethics:

- A set of standards that tells us how we should behave
- No person with strong character lives without a code of ethics
- Ethics is more than doing what we must
- It is doing what we should

Integrity:

- A concept of consistency of actions, values, methods, measures, principles, expectations, and outcomes

Model of Integrity

Personal Commitments and Capacities

Obligations of Office   Prudence & Effectiveness
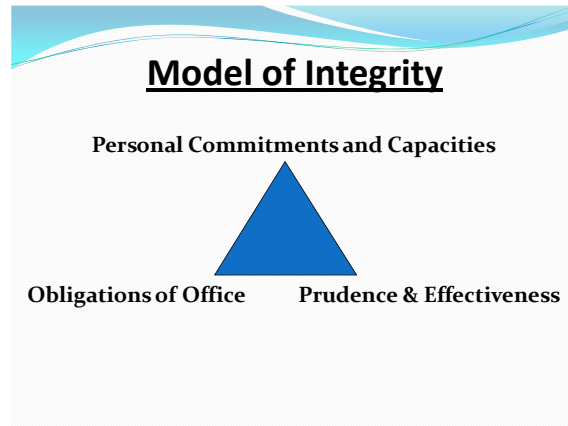
Accountability:

- Being answerable for our actions and inactions
- Unaccountable people are into excuses, blaming others, putting things off, doing the minimum
- Unaccountable people are quick to complain and slow to act
- Accountability tools: listen, question, invite and offer feedback, be assertive

Responsibility:

- Acknowledging that we are solely responsible for the choices in our lives
- Accept that you are responsible for what we choose to feel or think
- Accept that we cannot blame others for the choices we have made

Responsibility Quiz

True or False: I believe that my actions are the primary force in how I live my life, and that I am solely responsible for my actions.

True or False: When other people, events or circumstances affect my life, I am responsible for my reactions.

True or False: I take responsibility for my body and for my physical wellbeing. I eat healthfully, exercise regularly and maintain good hygiene.

True or False: I may not always be able to select co-workers or team members, but I am responsible for the companions I choose and the company I keep.

True or False: What I say and how I say it is my responsibility. So is listening well.

True or False: I am responsible for my own emotions. Someone else does not "make" me feel a certain way.

True or False: My behavior with others is up to me – I am responsible whether I "go along" with the crowd or remain passive in the face of actions or behaviors I do not agree with.

True or False: My personal happiness is my own responsibility. It is no one else's job to make me happy or to give me what I need or want to be happy.

True or False: Everything in life is a choice, and I take responsibility for mine – both good and the not so good. I also take responsibility for how I handle the results of my choices.

True or False: I accept responsibility for doing the right thing even though it may not always be the easiest path.

True or False: I am responsible for choosing the values by which I live.

True or False: How I spend my time is up to me. Even though I may be required to work a certain number of hours or to be present at a specified time and place, the quality of my time is my responsibility.

True or False: I do not wait for someone else to make my life interesting. It is my responsibility to engage my curiosity, explore my intrigues, and follow my passions.

True or False: Self-responsibility includes seeking solutions when I have problems and asking for help when I need it.

Police Deviance

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____

Brutality is often a product of immaturity, lack of supervision, lack of holding officers accountable and responsible. It is a by-product of:

1. _____
2. _____
3. _____
4. _____
5. _____

Abuse of Authority

1. _____
2. _____

3. _____
4. _____

Authority/Power may be legal but is it ethical?

Lying

- Falsifying Reports
- Falsifying Evidence
- Cover-ups
- Lying in Court

Sexual Misconduct

- Patrol car has been referred to a "rolling bedroom" due to its heavy use for sleeping on duty and illicit sexual encounters
- Sexual Bribery/extortion
- Sexual liaisons
- Voyeurism

Crimes for Profit

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____

Corruption

- Favoritism
- Mooching
- Perjury
- Prejudice

Alcohol/Drug Abuse

- Drinking on duty
- Drug abuse has been a growing concern for over a decade

Deliberate Indifference

- Sleeping on Duty
- Shirking Duty

Mismanagement by Budget

- Public agencies are not punished for inefficiency they are rewarded
- An agency failing to spend its annual budget will lose funding for the following year
- Overspending the budget is often rewarded by an increased budget

Peter Principle

- People rise to their level of incompetence and that is where they stay
- Ultimately, all management positions may be filled with incompetent people

Ethics

Department value statements and public relations are useful, however; police conduct determines the public's perception

- ▣ Ethics is about behavior
- ▣ Behavior is determined by accountability
- ▣ The greater the officer's ability to avoid accountability, the greater the amount of police misconduct
- ▣ The police subculture often defeats accountability
- ▣ We have bad cops because good cops protect them

Ethics and Accountability

"Police departments like to claim that each high-profile abuse is an aberration, committed by a 'rogue' officer. But these human rights violations persist because the accountability systems are broken." **Kenneth Roth**

Integrity

Definition:

- ▪ A firm adherence to a code of especially moral or artistic values _____
- ▪ An unimpaired condition _____
- ▪ The quality or state of being complete or undivided _____

Integrity Involves:

- ▪ Respect for _____
- ▪ Respect for _____
- o _____ for all your _____ and _____

"To educate a man in mind but not in morals is to educate a menace to society"

Theodore Roosevelt

"Integrity without knowledge is weak and useless, and knowledge without integrity is dangerous and dreadful"
Samuel Johnson

Accountability

- ▪ The greater the officer's ability to avoid accountability, the greater the amount of police misconduct
- ▪ The police subculture often defeats accountability
- ▪ We have bad cops because good cops protect them

The willingness to be accountable for what you do and what you fail or refuse to do is a crucial sign of character.

Unaccountable people are into excuses, blaming others, putting things off, doing the minimum, acting confused and play helpless.

They pretend ignorance while hiding behind doors, computers, paperwork, jargon and other people

They say things like:

- ▪ "I didn't know,"

- ▪ "I wasn't there,"
- ▪ "I don't have time,"
- ▪ "It's not my job,"
- ▪ "That's just the way I am,"
- ▪ "Nobody told me,"
- ▪ "It isn't really hurting anyone,"
- ▪ "I'm just following orders."

Unaccountable people are quick to complain and slow to act

In organizations, unaccountability is a highly contagious disease

Professional vs. Amateur

Professional	Amateur
Learns every aspect of the job	Skips the learning process
Carefully discovers what is needed and wanted	Assumes what others need and want
Focused and clear-headed	Confused and distracted
Does not let mistakes slide by	Ignores or hides mistakes
Looks, speaks & dresses like a professional	Is sloppy in appearance and speech
Jumps into difficult assignments	Tries to get out of difficult work
Level-headed and optimistic	Gets upset and assumes the worst
Faces up to other people's problems	Avoids others' problems
Enthusiasm, interest, cheerfulness, contentment	Anger, hostility, fear, resentment, victim mentality
Persist until the objective is met	Gives up

Experience vs. Procedure

Many officers rely more heavily on experience than department procedure.

Personal experience is inherently flawed; it rests on subjective impressions filtered through biased expectations.

Officers often remember when a technique to a problem works, but forget the many times in which a similar approach did not work.

Police Information Sources

Over reliance on emotional sources:	Under reliance on factual sources
War stories	Established procedures
Personal experiences	Training
Rumors	Research reports
Fictional crime stories	Case law
Organizational mythology	Professional journals, text books

Police Subculture

- ▣ Corrosive influence.
- ▣ Emphasizes collective experience over training and procedure.
- ▣ Emphasizes group loyalty over duty.
- ▣ Built on distrust of outsiders.
- ▣ Alters definition of police success.

Views of Police Success

Department view	Subculture view
Community focus	Officer focus
Problem addressed	Problem masked
Appropriate approved procedure used	Least demanding procedure used (shortcuts)
Accurate record of event	Self-serving record of event
Actions taken legally/morally defensible	Actions often questionable, sometime illegal
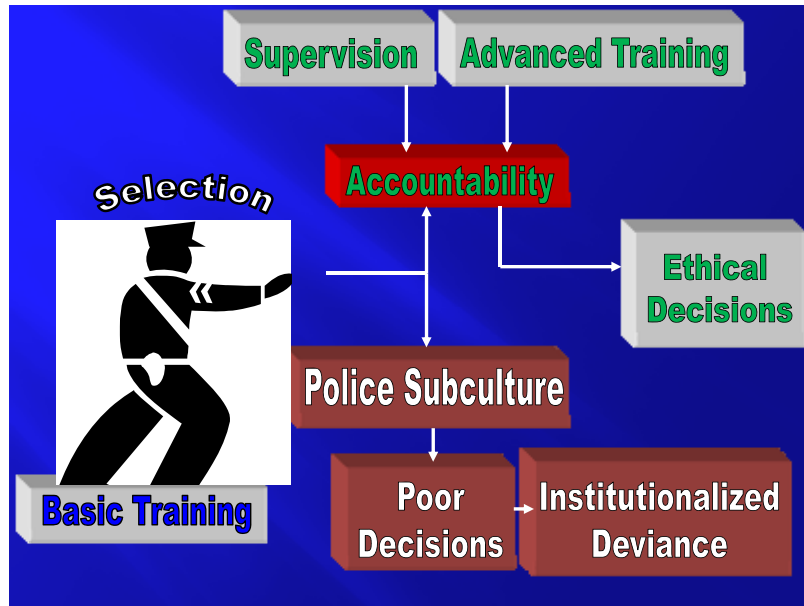
Ethics and the Line Officer

▣ People are responsible for their own behavior.
▣ Each officer must make it clear to colleagues that improper behavior will not be tolerated in his/her presence.
▣ Each officer must intervene quickly to prevent/stop improper conduct from fellow officers.

Ethics and the Supervisor

▣ Too many supervisors are more interested in being liked by officers than in holding them accountable for their behavior.
▣ Supervision is not a popularity contest.
▣ Supervisors must make expectations clear and hold subordinates accountable for their behavior.

Ethics and the Middle Management

▣ Mid-level managers must clarify and solidify department expectations.
▣ Managers must hold supervisors accountable for the behavior of their officers.
▣ People who will/cannot supervise others must be removed from supervision.

Ethics and the Chief

▣ The chief creates the ethical climate of the department.
▣ Internal affairs is only as effective as the chief wants it to be.
▣ The chief must be fair, but abuses of authority and inappropriate conduct must be handled quickly and firmly.

10 Deadly Ethical Sins

In law enforcement, we train to prevent officer deaths by remembering the "10 Deadly Sins of Officer Safety". However, what about our ethical safety? How do we Train Officers about ethics and the consequences for unethical behavior? Here are ten topics to start this very relevant conversation.

#1: *LYING*

No doubt about it, lying can and will get you fired. Even small lies, which seem insignificant, can evolve into something much more harmful. Documented lying is discoverable by defense attorneys. Officers who lie to internal affairs generally annihilate their careers. Committing perjury in court is the kiss of death. **Remember…if you lie, you die. Never ever lie.**

#2: *ALCOHOL*

Alcohol doesn't make bad things happen, it just makes bad things possible. DUI/DWI will severely impact, if not kill, your career. Drinking before or on-duty puts everyone at risk.

#3: *STEALING PROPERTY*

Opportunities for theft are everywhere. Evidence rooms, vehicle searches, checks of unoccupied businesses, the opportunities are endless. This includes stealing from "Street People" such as drug-dealers and gang-bangers, based on the logic that it's not like we are stealing from real people. When it does occur, it is most often a felony.

#4: *STEALING TIME*

Doing personal business on-duty, non-work related Internet surfing (such as porn sites), using department cell phones for personal calls and business, and generally having fun and "screwing off". This comes down to being a theft of money, because you are being paid while not actually working.

#5: *MONEY*

Criminals and criminal organizations have lots of cash to spend. Additionally, officers often encounter large amounts of loose money related to criminal investigations they are conducting. The first time an officer accepts or steals money is a pivotal moment in their move toward being corrupt. Don't touch money. Remember these words: "MONEY BURNS".

Officer accused of stealing seized drug money

👍 Recommend   f Be the first of your friends to recommend this.

Posted: Apr 13, 2011 4:39 PM PDT
Updated: Apr 18, 2011 1:57 AM PDT
By Heather Mason, Web Staff - email

BATON ROUGE, LA (WAFB) - Police in Baton Rouge arrested one of their own Tuesday evening on theft charges involving money nabbed in drug busts.

#6: CYNICISM

There is no lack of cynicism in law enforcement. This is one of the most unappreciated cop killers, for it is easier to rationalize committing corruption when you feel like you have been victimized by the public and your agency. The more bitter someone is, the more likely they will self-destruct.

#7: DOMESTIC VIOLENCE

Studies have shown that at least 40% of law enforcement families experience domestic violence, while the general population has only a 10% rate. Charges of domestic violence, rather real or not, will severely impact your career. With the Brady Laws relating to domestic violence, you are done in law enforcement because you will not be allowed to possess a firearm.

#8: INAPPROPRIATE SEXUAL CONDUCT

The big danger here is sex. It may be consensual at the time, but what is said afterward can be very different. The temptations of lust and sexual favors when they are offered (and they will be offered) will destroy careers and families. Even if the accusation is false, it still negatively impacts an officer's career by the doubt it causes.

#9: Excessive Force ("Smile for the camera")

The use of force by law enforcement officers is among the most controversial subjects we deal with. Excessive force which rises to the "shock the conscience" standard will end or severely impact your career. Attitude and anger will kill you. It is never ethical to take your anger out on the public. Here's the other problem: Cameras and video recorders. These are ubiquitous to every electronic device sold, particularly cellular phones. Everyone has one, and if you think you're not being recorded, you're wrong (Just ask the officers in the Oakland BART Station shooting). Always act as if you are being filmed, because now you likely are.

#10: Text Messaging, E-mail, & Social Networking

This is a new killer of careers. Sending electronic messages may not sound like they could be a career danger, but there are many officers who wish they had never hit "send" for their messages. Sexist, racial, vulgar or hate-driven remarks, photographs, and videos can demolish careers. Saying stupid things or putting "career ending" photos on your Face book page now gets many officers fired each year, and gets a lot more in deep trouble.

Controlling Corruption

Controlling Corruption

- High moral standards
- Police policies and discipline
- Proactive internal affairs investigations unit
- Uniform enforcement of the law
- Outside review and special prosecutors
- Court review and oversight

The Six Pillars of Character

Trustworthiness *(Blue - think being "true blue")*
Be honest • Don't deceive, cheat, or steal • Be reliable — do what you say you'll do • Have the courage to do the right thing • Build a good reputation • Be loyal — stand by your family, friends, and country

Respect *(Yellow - think "The Golden Rule")*
Treat others with respect; follow the Golden Rule • Be tolerant and accepting of differences • Use good manners, not bad language • Be considerate of the feelings of others • Don't threaten, hit or hurt anyone • Deal peacefully with anger, insults, and disagreements

Responsibility *(green - think being responsible for a garden or finances or being solid   and reliable like an oak)*
Do what you are supposed to do • Plan ahead • Persevere: keep on trying! • Always do your best • Use self-control • Be self-disciplined • Think before you act — consider the consequences • Be accountable for your words, actions, and attitudes • Set a good example for others

Fairness *(orange - think of dividing an orange into equal parts to share)*
Play by the rules • Take turns and share • Be open-minded; listen to others • Don't take advantage of others • Don't blame others carelessly • Treat all people fairly

Caring *(red - think of a heart)*
Be kind • Be compassionate and show you care • Express gratitude • Forgive others • Help people in need

Citizenship *(purple - think regal purple as representing the state)*
Do your share to make your agency and community better • Cooperate • Get involved in community affairs • Stay informed; vote • Be a good neighbor • Obey laws and rules • Respect authority • Protect the environment • Volunteer

Ethics, Integrity, Accountability, Responsibility, Professionalism

A police department has as much misbehavior as it is willing to tolerate

The Corruption State of Mind

Officers need a survival state of mind to survive in law enforcement, or they should not be working the street. This is also relevant to an officer's ethical survival state of mind.

All of the following are relevant to why misconduct and unethical behavior occur, and how officers justify and let it occur:

1. Corruption is prevalent in the rest of society.
2. We live in an unethical world, everyone does it.
3. Doctrine of Relative Filth- "Sure, I'm unethical, but look how bad that guy is"
4. Law enforcement has a history of corruption.
5. Most officers have never received ethical decision-making training.
6. Officers experience temporary selfishness.
7. Many officers do not have strong, ethical role models.
8. Many officers are afraid of paying the price for "doing the right thing".
9. Officers sometimes make bad decisions.
10. Agencies fail to provide assistance with stress.
11. The hiring process in some agencies is inadequate.
12. Ethics training is often inept or not-existent.
13. A work environment which promotes distrust and anger.
14. A work environment which is highly negative all the time.
15. Political interference by high level officials.
16. Departments lack procedures to identify and deal with officers who exhibit tendencies consistent with corrupt behavior.
17. Corrupt officers lack the guts and character to remain ethical.
18. Ignoring obvious ethical problems, and letting them grow in severity and number.
19. Dirty Hands Mentality- "Doing the job right means getting your hands dirty"
20. Noble Cause Corruption- the "ends justifies the means" mentality
21. Inability of officer's to manage attitude, anger, lust, greed, and peer pressure
22. Continuum of Compromise- How officers compromise themselves over time

Focus on Ethics

Rethinking Ethics in Law Enforcement
By Brian D. Fitch, Ph.D.

"To know the good is to do the good"—Socrates.[1]

Law enforcement agencies strive to recruit, hire, and train only those who demonstrate strong moral values before they enter the academy. Yet, even departments' best efforts will not prevent instances of police misconduct from garnering attention. Such incidents undermine public trust, jeopardize important investigations, and expose agencies to considerable liability. Many departments respond to these events by adopting formal ethics training programs that focus on character development, which Aristotle referred to as *virtue ethics*.[2] Like the Socrates quote, Aristotle's philosophy teaches that as conduct reflects officers' character and, thus, the various ways that they respond to moral dilemmas, this illustrates fundamental differences in their personal values.

Virtue ethics relies on dispositional qualities, such as personality traits, values, or attitudes, to explain deviant behavior. For example, if officers fabricate evidence to obtain search warrants, their actions reflect their dishonest character. According to this view, character predisposes officers to act certain ways, regardless of the situation. An honest officer feels obligated to tell the truth, while a dishonest one feels inclined to steal. Similarly, a brave officer strives to act courageously, whereas a coward recoils at danger. In either case, officers possess long-term, stable dispositions, and they behave in highly predictable ways.

Unfortunately, decades of research contradict the theory that people differ strongly in their basic character; nearly everyone holds virtuous at the abstract level, and most individuals endorse a similar set of high-level moral values.[3] For example, studies have found that delinquent juveniles subscribe to the same set of conceptual values as their less troubled counterparts, despite their unruly behavior—which suggests that lofty moral values often matter much less than what is commonly believed.[4]

Proponents of virtue ethics argue that certain officers misbehave because they lack character. These "bad apples" managed to "slip through the cracks" despite their unethical values. They argue that police abuse occurs in isolated incidents and involves a few immoral opportunists who were corrupt before they became officers. Unfortunately, this interpretation fails to explain how otherwise exemplary officers with no prior history of wrongdoing, many of whom are sterling role models in their families, churches, and communities, can become involved in misconduct.

> "Mitigating the risk for officer misconduct requires a more complete understanding of human behavior and motivation."

Certainly, officers' character, or virtue ethics, still are crucial to their success. However, this narrow view concentrates almost exclusively on moral values and thus ignores the situational and psychological factors that influence behavior. Mitigating the risk for officer misconduct requires a more complete understanding of human behavior and motivation. This article offers law enforcement professionals a new way to think about misconduct. This explanation emphasizes moral development, social learning, and cognitive rationalization and suggests tactics to foster a culture of ethics in any agency.

Moral Development

Before officers can behave ethically, they must recognize the morals at stake in the situation, understand the principles and values involved, and choose the proper course of action.[5] To explain this reasoning process, psychologist Lawrence Kohlberg proposed perhaps the most influential theory of moral development. He believed that moral development proceeds along three highly predictable, invariant levels, termed *pre-conventional, conventional, and post-conventional*, with each one organized into two distinct stages.[6] According to Kohlberg, at each stage, people employ increasingly sophisticated explanations and problem-solving strategies to address moral dilemmas.

At the simplest level of reasoning, the pre-conventional, external consequences guide individuals' sense of right and wrong—punishment in stage one and self-interest in stage two. At this point, they possess no internalized values or rules to guide behavior.

As people progress to the conventional level, they determine right and wrong based on social expectations (stage three) and the desire to maintain social order by following laws and showing respect for authority (stage four). They determine moral reasoning through conformity to social rules, norms, and expectations.

Finally, at the post-conventional level, people judge morality based on the desire to protect the basic liberties of all members of society. In stage five, individuals only uphold legal principles that promote fairness, justice, and equity; by stage six, they follow self-selected ethical and moral principles that encourage respect for human life, equality, and human dignity. If these internal principles conflict with societal laws, the self-chosen principles reign supreme.

While officers' stages of moral development obviously impact their on-the-job behavior, most adults determine proper behavior, as well as the moral implications of those actions, after they observe other group members. This especially rings true in unfamiliar or ambiguous circumstances, which often describes the situation of newly assigned officers.

> "…most adults determine proper behavior, as well as the moral implications of those actions, after they observe other group members."

In the 1960s, Yale University psychologist Stanley Milgram demonstrated how external factors influence moral judgment in a series of experiments on obedience.[7] The experiment involved teams of three people: an experimenter, a "learner," and a teacher (the only actual subject of the experiment). The experimenter instructed the teacher to quiz the learner, a confederate of the researcher, on a list of word pairs. Each time the learner answered incorrectly, the teacher administered shocks from what they thought was an electroshock generator. The learner, located in another room and hidden from view, pretended to express increasing discomfort, even banging on the walls and reminding the teacher of a "preexisting heart condition." As the shocks approached 135 volts, many of the teachers began to question the experiment. Almost invariably, the subjects (teachers) looked to the experimenter for ethical guidance. When the experimenter instructed the teachers to persist, the majority of subjects delivered shocks to the maximum level of 450 volts despite the learner's desperate pleas.

Milgram's findings were unsettling, to say the least. However, a set of follow-up experiments designed to test a second person's influence on participants' behavior yielded very different results. When the second "teacher" (another confederate of Milgram) declined to administer shocks past 210 volts, the majority of experimental subjects also refused. This result implies that the mere presence of a second person sufficed to motivate the subjects to "vote their conscience" (i.e., to follow their best judgment and stop the experiment).

Despite the forecast of a group of psychiatrists who predicted that only 1 percent of subjects would administer the maximum shock of 450 volts, 2/3 of subjects (65 percent) in the original set of trials delivered the maximum shock. During the follow-up experiments, however, when a second teacher refused to proceed past 210 volts,

only 10 percent of the subjects continued to the maximum level of 450 volts. Milgram concluded that the presence of an authority figure (experimenter) significantly influenced the teachers' decisions to continue the shocks in the first set of experiments; however, the mere presence of another conscientious observer overcame those effects.

Milgram's findings provide strong evidence for the theory that most people look to others for moral guidance, especially in unfamiliar situations. For law enforcement leaders, the lesson is clear—with ethics, most officers need to be led. Additionally, the formal and informal leaders who provide this guidance play a critical role in officers' moral development and conduct.

Social Learning

Most officers enter law enforcement with minimal experience in the field or in handling the moral dilemmas that officers typically encounter. They learn how to perform their jobs, as well as recognize the organizational norms, values, and culture, from their peers and supervisors. While supervisors provide direct, formal reinforcement, officers' peers offer friendship and informal rewards that, in many cases, hold greater influence than official recognition from the agency. Also, police often spend considerable time socializing with other officers, both on and off the job. This sense of community drives officers to adopt the behaviors, values, and attitudes of the group in order to gain acceptance.

Because behavior results from consequences, law enforcement officers learn about acceptable and unacceptable practices through a consistent, timely, and meaningful system of reward and punishment. Officers likely will repeat behaviors that lead to reinforcing outcomes, while they rarely will duplicate behaviors that lead to punishment—an occurrence referred to as the Law of Effect.[8] If officers receive positive reinforcement after they perform certain actions, even illegal ones, they likely will behave similarly in the future despite organizational policies or prohibitions.

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Officers observe how other group members receive recognition, both formally by the organization and informally by their peers, to learn what constitutes appropriate behavior in a process known as vicarious learning.[9] Psychologists discovered that the most effective vicarious learning models possess specific attributes.

- Competence: Most police officers take great pride in the ability to perform their duties with minimal supervision, even in demanding circumstances. Therefore, they model the behavior of the most competent and experienced officers.
- Status: Typically, officers respect those with impressive organizational status. In law enforcement, though, an individual may hold status not within the larger agency, but only among an informal group or specialized unit. Informal peer leaders shape the behavior of less experienced officers who aspire to a similarly prominent position.
- Power: Those who can reward or punish an officer's performance, either formally or informally, tend to wield the most influence. Like recognition, power can be either formal or informal, and sometimes those with unofficial power hold significantly more sway than official organizational policies or formal supervision.

These informal power networks can exacerbate unethical behavior by transmitting a set of shared values, beliefs, and norms that depart from agency policy. Research finds that officers engage in certain forms of conduct to

secure and maintain peer-group approval.[10] If officers remain unsure about the legality or morality of a particular behavior, they look to the peer group for assurance, just as Milgram's subjects relied on the experimenter for ethical guidance. When officers engage in immoral conduct, they often justify their actions through the values and beliefs of the peer group.

Cognitive Rationalizations

Regardless of external influences, most individuals first convince themselves of the morality of their actions. Unethical officers might employ cognitive rationalizations, mental and linguistic strategies that sanitize or neutralize deviant behavior, to make their actions appear socially acceptable. Interestingly, research on white-collar crime indicates that corrupt individuals do not view themselves as such, and they explain their behaviors as part of normal, acceptable business practices. Similar studies of law enforcement found that police officers define misconduct in very narrow terms, while citizens define it more broadly. Officers may employ specific strategies to nullify their negative feelings or regrets about misconduct.[11]

- Denial of victim: With this strategy, officers argue that the violated party deserved to be victimized. For example, an officer who steals cash from a suspected drug dealer during a search argues that the dealer holds no entitlement to the money because he earned it illegitimately.
- Denial of responsibility: Police convince themselves that they acted improperly because no other options existed. The circumstances may involve peer pressure, an unethical supervisor, or an environment where "everyone else was doing it." These officers view themselves as victims with no real choice but to participate in the misconduct.
- Denial of injury: In this form of rationalization, guilty parties convince themselves that their actions did not harm anybody and, thus, were not really corrupt. For example, officers might feel tempted to justify stealing profits from a drug dealer when the dealer did not rightfully earn the money, and it would be difficult to identify an aggrieved party. Police neutralize this behavior by comparing their actions to the crimes of the drug dealer.
- Social weighting: When relying on this form of explanation, corrupt police make selective social comparisons to justify their unethical conduct. For instance, officers who falsify a police report to convict a robbery suspect might minimize their participation in the misconduct and vilify a coworker who "lies all the time on reports."
- Moral justification: At times, people claim that they must break certain rules to achieve a more important goal. For example, officers may violate strict search and seizure laws to arrest a pedophile because, given the high stakes of the crime, they believe that the ends justify the means. Officers with this attitude feel that if the laws prevent them from effectively executing their job, then they must bend the rules or make an exception to arrest a dangerous felon. Unlike other rationalizations, moral justification not only excuses deviant conduct but can actually glorify such acts in the name of justice. Officers often convince themselves that their jobs demand such actions for the "greater good."

> "…law enforcement officers learn about acceptable and unacceptable practices through a consistent, timely, and meaningful system of reward and punishment."

In law enforcement, officers can invoke these rationalizations either prospectively (before the corrupt act) to forestall guilt and resistance or retrospectively (after the misconduct) to erase any regrets. Law enforcement leaders must remain alert to the presence of rationalization in their agency's culture because rationalization alters the definition of unethical conduct to make immoral behavior seem socially acceptable.

Culture of Ethics

Law enforcement leaders must create a culture of ethics within their agency. First, the organization must ascribe to a mission statement and a clear set of operating values that represent more than hollow promises, but, rather,

establish standards for employees' behavior at all levels and illustrate that ethics play a crucial role in an officer's success in the agency.[12] If managers neglect ethics or, even worse, behave poorly themselves, this demonstrates to officers that neither the agency nor its leaders care about proper conduct. Strong moral behavior at all levels sends officers a clear, consistent message that the agency will not tolerate inappropriate behavior.

Next, supervisors should work diligently to reward appropriate conduct and correct inappropriate behavior.[13] Because informal leaders significantly impact officers' attitudes and behaviors, formal managers must confront ethical problems immediately and penalize immoral conduct quickly and appropriately. For an effective culture of ethics, officers must observe that ethical officers advance their careers and immoral ones receive punishment.

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Often, supervisors struggle to accept that members of their agency behave unethically. Even when they openly acknowledge wrongdoing, senior management can blame the misconduct on rogue officers and argue that they misrepresent the larger agency. Law enforcement leaders must accept the possibility of pervasive unethical conduct and quickly address such incidents.

Finally, law enforcement agencies should frequently discuss ethics in the workplace.[14] Like physical fitness, ethical fitness requires constant practice. Case studies provide an effective tool for this continual reinforcement; they allow officers to test their moral reasoning skills, discuss their views, and share their experiences in a safe environment.

Supervisors who facilitate case studies should select relevant, real-world examples that challenge officers to think critically. The facilitator should not recite a lengthy, theoretical monologue on the importance of ethics, but, rather, challenge students on key issues, promote discussion, and examine the consequences of different actions. Depending on the topic, the facilitator can showcase video documentaries, news stories, or fictional examples. Ultimately, an honest exchange of information and ideas stimulates moral development and proper ethical conduct.

Conclusion

Law enforcement officers must safeguard the public's trust to perform their jobs effectively. Because ethical conduct greatly impacts public trust, law enforcement agencies must closely examine their policies, reward systems, and training to ensure that their agency fosters a culture of firm ethical values. Instead of expecting that officers already possess a firmly engrained set of values (good or bad) when they enter the police force, managers must remember that all officers have the potential to act virtuously; but, when the work environment allows misbehavior either implicitly or explicitly, the potential for abuse skyrockets. Theognis of Megara, another ancient Greek philosopher, said, "Fairly examined, truly understood, no man is wholly bad, nor wholly good."[15] Police officers are not exempt from this idea. Effective law enforcement leaders bring out the best in their staff by ensuring that officers not only understand the right thing to do but actually do it.

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Dr. Fitch, a lieutenant with the Los Angeles, California, Sheriff's Department, holds faculty positions in the Psychology Department at California State University, Long Beach, and with the Organizational Leadership Program at Woodbury University. Dr. Fitch can be reached for comments at bdfitch@lasd.org.

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Ethics, Professionalism is the Foundation for Police

www.ethicsinpolicing.com/article.asp?id=6079

Behind the badge can be a life-saving Superman — or a fire-breathing beast.

That's how people seem to react toward the deputies and police officers who swear to protect and serve.

Last month, a Palm Springs police sergeant raced into a burning home and pulled a man to safety — and mydesert.com readers rushed to praise him. "It truly takes a special person to be a police officer. Thank God we have them here in Palm Springs protecting us," one reader wrote.

When the interrogation spotlight turns on an officer, though, the public voices the opposite.

During the last month, a trio of Coachella Valley officers has been in the news for criminal cases against them. A Desert Hot Springs police sergeant is awaiting a federal trial on charges he abused a suspect, and prosecutors accuse a Cathedral City police officer of jumping into a pool naked while on duty. Most recently, police announced an investigation into domestic abuse and kidnapping claims against a Palm Springs police lieutenant.

None of the officers have been tried yet — but many were already convicted in the court of public opinion. "Just another criminal who hides behind the badge to gain the trust of all the gullible morons who will then let him do as he pleases," one reader wrote on mydesert.com. "Gut tells me this will eventually be a murder case where he beat her to death and dumped her somewhere," another chimed in about the Palm Springs lieutenant, hours before police found the woman he was accused of kidnapping alive.

Residents have high expectations of police officers — and rightfully so — for one simple reason: They should know better. "If anyone knows what the law is, you should," said Chris Madigan, director of the Public Safety Academy at College of the Desert. "You should be able to prevent mishaps yourself or being involved in things that are either unethical or illegal because that's your job. That's what you do every day."

It could easily be argued that some know how to live by high values and others can never learn to do so. Madigan said he hopes to weed out those who cannot abide by the standards before they're handed a badge and gun.

That's why ethics and professionalism are the foundation for each of the 42 learning topics students cover at the academy. "You have the power to take away someone's freedom instantly, just on your say so, and if the public doesn't trust in you in that role, you're not going to be successful," he said. "It's everything we do. It's every decision we make," he said.

Law Enforcement Ethics . . .
The Continuum of Compromise

Police corruption is often seen as a distant problem peculiar to "big city cops" or "other departments." Denial and refusal to accept the potential for ethical compromise and corruption at "our department" prevents administrators and officers from developing an in-depth understanding and appreciation of the issues. Without a clear understanding, adequate information and practical strategies, officers who are exposed to a risk-filled environment are more likely to engage in inappropriate behaviors that can destroy their professional and personal lives . . . as well as the reputation and credibility of their organizations. The transformation from an idealistic, highly ethical officer into a self-serving individual who believes "if we don't look out for ourselves who will?" is a subtle process that usually occurs before the officers knows what has happened. For ethics training to be effective, officers have to see the information as relevant and credible. The typical "soap box" approach, whether taught by internal affairs, supervisors and commanders, attorneys or others is often seen as scolding, warning and threatening. This approach, even when the information is interesting and enlightening, is rarely internalized by the officers nor incorporated into their day-to-day activities.

The Continuum of Compromise

In this article, the authors explain the "continuum of compromise' (Gilmartin & Harris, 1995). It is a frame work for understanding and teaching how the transition from "honest cop" to "compromised officer" can occur. Law enforcement agencies can help prepare their officers for the ethical challenges they face during their careers. However, that will require changing the way this topic is approached by the organization and teaching and integrating the information throughout the organization.

Officers live and work in a constantly changing and dynamically social context in which they are exposed to a myriad of ethical conflicts. When either unprepared or unaware, officers are more likely to "go with the flow" than they would be if they were adequately prepared to face potentially ethical risks. Everyday, officers practice mental preparation as it relates to tactical situations. Officers who are mentally prepared to face a lethal encounter are more likely to be successful than other officers who are tactically proficient but mentally unprepared. Just like lethal encounters, ethical dilemmas occur at the most inopportune times, frequently without warning and with little time to stop and think about situation. When inadequately prepared, even the most honest, above reproach officers can make inappropriate split-second ethical decisions . . . decisions that can result in life-changing consequences. If officers are going to survive ethical dilemmas they need to be as mentally prepared as they would be for tactical encounters.

While police work is seductive and exhilarating, it can also lead officers down the path of ethical compromise. The "continuum of compromise" outlines the path of ethical compromise and can be used to help officers understand and mentally prepare for the ethical dilemmas they will face. Understanding the issues and being mentally prepared will help officers assume responsibility for and make more appropriate decisions. Compromising behavior has to be seen as something that can potentially affect all law enforcement officers . . . not just those in "corruption rich" environments. Officers who view compromise or corruption as an "all or none" phenomenon will not see themselves as "at risk." When the potential for compromise is not recognized, officers will see compromise as an unlikely event, training will be viewed as a waste of time and officers will

not become mentally prepared. Understanding the continuum of compromise will allow officers to recognize the risks, assess their own potential for compromise and develop an effective strategy to ensure ethical integrity. When teaching ethics the goal must be to develop an understanding of the progression towards compromise and the development of self-monitoring strategies to prevent becoming embroiled in compromising events.

The Continuum of Compromise

A Perceived Sense of Victimization can lead to the Rationalization & Justification of:

Acts of Omission

Acts of Commission - Administrative

Act of Commission - Criminal

Entitlement versus Accountability

Loyalty versus Integrity

Officers frequently develop a perceived sense of victimization over time. Officers typically begin their careers as enthusiastic, highly motivated people. However, when these young officers over-invest in and over-identify with their professional role they will develop a sense of singular-identity based on their job and an increased sense of victimization. At greatest risk are officers whose jobs literally become their lives. For them, "I am a cop." is not just a cliché but rather a way of life. Over-identification and over-investment causes people to link their sense of self to their police role . . . a role they do not control. While this builds camaraderie, it can also cause officers to eventually hate and resent the job they once loved.

While officers have absolute control over their own integrity and professionalism, the rest of their police role is controlled by someone else. Department rules, procedures, policies, equipment, budget allocations, assignments, dress codes, and many other day-to-day and long-term activities are controlled by the chief, commanders, supervisors, prosecuting attorneys, the criminal justice system, laws, the courts, politicians, etc. Officers who over-identify with the job soon experience a loss of control over other aspects of their lives. Professional over-investment, coupled with a loss of personal control puts officers at serious risk . . . a risk, that in some ways is more dangerous than the physical risks they face on the street. "I t doesn't matter how guilty you are, but how slick your lawyer is," can become the officers cynical yet reality-based perception of the legal system. These realities combine with over-investment to develop an "Us versus them" perception in terms of how officers see the world.

The physical risks that officers are exposed to each day require them to see the world as potentially lethal. To survive, they have to develop a "hypervigilant" (Gilmartin, 1984) mind-set. Hypervigilance coupled with over-investment leads officers to believe the only person you can really trust is another cop . . . a "real cop" that is, not some "pencil-neck in the administration." While officers first become alienated from the public, they can soon distance themselves from the criminal justice system and finally from their own department administration. "I can handle the morons on the street, I just can't handle the morons in the administration," is often heard among officers. It is ironic how quickly idealism and trust in the administration can change . . . often times even before the first set of uniforms wears out. As a sense of perceived victimization intensifies, officers become more distrusting and resentful of anyone who controls their job role. At this point, without any conscious awareness and certainly without any unethical intent, unsuspecting officers can begin a journey down the continuum of compromise.

As the over-invested officer detaches from non-work related interests or activities, a perceived sense of victimization will increase. Peer groups, friends, co-workers and potentially their entire frame of reference of life begins to change. By itself, feeling like a victim is by no means equivalent to being ethically compromised. However, feeling like a victim (whether real or imagined) is the first stop on the continuum of compromise.

Acts of Omission

When officers (or anyone for that matter) feel victimized, in their own mind they can rationalize and justify behaviors they may not normally engage in. "Acts of Omission" occur when officers rationalize and justify not doing things they are responsible for doing. At this point, officers can feel quite justified in not doing things that, from their own perspective, appear to "even the score." "If they (whomever it may be) don't care about us, why should we care about them." Acts of omission can include selective non-productivity (ignoring traffic violations or certain criminal violations, etc.), "not seeing" or avoiding on-sight activity, superficial investigations, omitting paperwork, lack of follow up, doing enough to just "get by" and many other activities which officers can easily omit. "You will never get in trouble for the stop you don't make!" typifies the mind-set of officers during this stage.

This results in decreased productivity and produces passive resistance to organizational mandates. "Acts of Omission" rarely face critical scrutiny from peers who themselves are frequently experiencing the same sense of victimization and socialization process. Peer acceptance and loyalty become more important than following some arbitrary set of professional principles. The perceived sense of being victimized can allow officers to rationalize and justify other acts of omission such as not reporting another officer's inappropriate behavior (sometimes regardless of how extreme or criminal the behavior may be).

Acts of Commission - Administrative

Once officers routinely omit job responsibilities, the journey to the next step is not a difficult one to make . . . "Acts of Commission - Administrative." Instead of just omitting duties and responsibilities, officers commit administrative violations. Breaking small rules, that seem inconsequential or which stand in the way of "real police work" is the first step. This can set the stage for continued progression down the continuum. Acts of administrative commission are seen in many ways . . . carrying unauthorized equipment and/or weapons, engaging in prohibited pursuits and other activities, drinking on duty, romantic interludes at work, not reporting accidents and firing warning shots are just a few examples. Department sanctions are typically the only risk that officers will face at this point. For most officers this is the extent of their personal journey down the continuum of compromise. Acts of omission and acts of administrative commission are significant in terms of professional accountability and personal integrity. When discovered, they can erode community trust and damage police/community relations. However, they rarely place officers at risk for criminal prosecution. The initially honest and highly motivated officers can now rationalize their behavior along the lines of "I'm not a naive rookie out trying to change the world . . . I know what it's really like on the streets and we (the police) have to look out for each other because no one else will."

Acts of Commission – Criminal

Unsuspecting officers can unwittingly travel to the next and final stage of the continuum . . . "Acts of Commission - Criminal." In the final stage on the continuum of compromise officers engage in and rationalize behavior that just a few years before could not be imagined. At first, acts of criminal commission may appear benign and not terribly different from acts of administrative commission. Evidence that will never be of any use is thrown away instead of being turned in, overtime or payroll records are embellished, needed police equipment is inappropriately purchased with money seized from a drug dealer, expecting "a little something in the envelope" when the officers drop by are but a few examples that officers have easily rationalized. "What the hell, we put our lives on the line and they owe us". A gun not turned into evidence and kept by the officer can become "it's just a doper's gun anyway and would probably be used to kill some innocent person or even a cop." Theft and misappropriation of seized assets is a problem, but it's not "like real theft where there is a real victim, nobody is getting hurt but the dopers, what's the big deal?" The "Loyalty versus Integrity" dilemma can permit criminal actions to develop into conspiracies . . . whether other officers are actively involved or passively remain loyal and accept what takes place.

Now, the risks are far beyond just administrative reprimands or suspension . . . officers' face being fired and criminal sanctions when they are caught. The initially honest, dedicated, above reproach officers now ask, "Where did it all go wrong," "how did this happen" as they face the realities of personal and professional devastation and criminal prosecution. Officers who reach the final stage did not wake up one day and take a quantum leap from being honest hard working officers to criminal defendants.

Entitlement versus Accountability

Officers can develop an overwhelming sense of victimization and an intense resentment toward the supervisors and administrators who control their job-role. This can lead to another dilemma . . . a sense of entitlement. Entitlement is a mindset that suggests "we stick together" and "we deserve special treatment." The off-duty officer who is driving 30 mph over the speed limit and weaving in and out of traffic who tells his passenger, a concerned co-worker, "Relax, I have Mastershield!" implies a sense of entitlement and feeling of impunity. Entitlement allows both on and off duty officers to operate with the belief that many of the rules don't apply to them. "Professional courtesy" goes far beyond just giving another officer a break on a traffic violation. Officers are constantly faced with the dilemma of "doing the right thing" or "doing what they know is right." The only way to change this sense of entitlement is to foster an environment of accountability . . . both organizational and personal accountability.

Loyalty versus Integrity

Most officers want to be known as loyal and a man or woman of integrity. A problem occurs, however, when a sense of victimization and over-identification with the job sets into motion the dilemma of "loyalty versus integrity" (Mollen Commission, 1994). Here is where officers called in to Internal Affairs and asked questions about another officer lie, many times about a minor issue. When this occurs, the officer has traded his/her integrity for "loyalty" to a fellow officer. Unfortunately, law enforcement agencies across the country can give many examples of "innocent" officers not telling the truth in an attempt to protect a partner or co-worker, only to find themselves facing serious or career ending discipline. Early exposure to such statements as "How will the department find out about it if we all hang together?" "Cops don't snitch on other cops" can help foster the "loyalty v. integrity" dilemma that officers will likely face during the course of their careers.

What Can Be Done?

When officers are ill-prepared to face the ethical dilemmas to which they will be exposed and unaware of the continuum of compromise, they can blindly and over a period of time allow mild job frustration to develop into pathological anger and rage . . . leading to devastating consequences. This progression is clearly predictable and is often preventable. The time and resources spent preventing ethical compromise through credible instruction and proactive supervision is infinitely smaller than what it takes to conduct internal and criminal investigations, convene investigative commissions or restore community trust and repair police/community relations.

If law enforcement agencies are going to foster an atmosphere of unreproachable ethics, they must implement a comprehensive strategy throughout the agency. Officers have to be aware of and accept the "Continuum of Compromise" as a potential reality that can affect all members of the agency. They must learn skills to help them change the "Victim Perception" and internalize a "Survivor Mentality." Teaching officers to appreciate and understand the difference between what they do and do not control is essential for creating ethically sound officers. Strategies for accepting the fact that officers do not control their police role, but do have absolute control over their integrity and professionalism have to taught and practiced.

While the ultimate responsibility for behaving in an ethical manner lies with the individual officer, management shares some responsibilities. Supervisors have to recognize and proactively address potential ethical violations before major problems develop. Supervisory acts of omission occur frequently. Not taking care of the "little things" can ultimately be devastating to individual officers and organizations as well. Supervisors need practical

skills, a willingness to use these skills and they have to be held accountable for fulfilling their responsibilities. Supervisors, commanders and chief executive officers have to appreciate their own vulnerabilities and the mixed messages they sometimes send. They do not have the luxury of simply talking about ethics . . . they have to "walk the talk" and be day-to-day role models. Unethical behavior by supervisory and command personnel only models unethical behavior and sends the message, "Do as I say, not as I do." Is an executive-level officer who registers at a police conference (at taxpayer expense) and plays golf instead of attending the conference any less unethical than the line officer who is unavailable for calls because he/she is conducting personal business on duty? Politics, organizational history or institutional traditions should never be used to rationalize or justify unethical behavior. As long as what goes on in the department is inconsistent with what is being taught, any ethical training program will be nothing more than lip service and a waste of valuable time and resources.

The "continuum of compromise" can be found at all levels of an organization. Ethics training and a commitment to the highest level of professional and personal integrity apply to all members and have to be consistently demonstrated throughout the department. If law enforcement is to enjoy, maintain and in some jurisdictions regain the status of a respected profession in our society, it has to change the way it approaches integrity and ethical issues. A sincere organizational commitment and meaningful training has to focus on preventing small incidents from developing into major situations with potentially devastating consequences.

Despite the headline stories, law enforcement organizations can regain lost trust, improve police/community relations, protect the reputations of good, hardworking and ethical law enforcement professionals and help prevent officers from destroying their professional careers and personal lives. Ethics training can no longer be seen as window dressing that makes good press after an embarrassing incident hits the front page. The topics of ethics, integrity, compromise and corruption have to become as important as other critical areas of law enforcement training if significant changes can occur. By making a serious commitment and taking a proactive role, organizations can look forward to spending less time investigating, disciplining and prosecuting officers for unethical or criminal behaviors.

Training to Think with Sgt. Steve "Pappy" Papenfuhs
Ethical dilemmas cops face daily

The impact of human factors upon individual performance must coincide with timely and fair discipline — both in a positive and a negative sense

In February of 2011, the commander of a drug task force and a private investigator were arrested by federal agents on allegations that they conspired to sell drugs (Solanga & Fraley, 2011).

An officer in the Seattle Police Department resigned after learning that his department intended to terminate his employment after a controversial police shooting that was partially captured on the officer's dash-cam (McNerthney & Pulkkinen, 2011).

A Dallas police officer was fired after a video surfaced that showed him kicking a handcuffed prisoner in the face (Mitchell, 2011).

In Baltimore, 10 officers were arrested on corruption charges when they were found to have taken kickbacks for steering motorists to a tow yard that was not licensed to do business with the city (Fenten & Calvert, 2011).

In Quebec, Canada two patrol officers were caught sleeping on the job by a citizen armed with a cell phone camera (Arsenault, 2011).

The investigations of these events are ongoing and the outcomes yet unknown, however these controversial incidents are highly publicized and can lead to the public's distrust of public safety professionals.

Law enforcement professionals are not immune from feelings of mistrust. Often these fact-based emotions are directed towards their very own employers. When promotional exams are based upon race rather than upon merit — as the United States Supreme Court determined in the case of the New Haven, Connecticut Fire

Department's 2003 promotional exam (Liptak, 2009) — public safety is compromised both by the presence of less-than-competent personnel in positions of authority, and because of a decrease in the morale of the line-staff. Safety-critical professions demand that their personnel function continuously at a high level of performance, and with a high degree of interpersonal trust among cohorts.

In public service, those cohorts include the members of the public at large.

All of the situations mentioned above produce an ethical dilemma across all ranks of the respective departments. An ethical dilemma is:

1.) a situation in which the officer did not know what the right course of action was, or
2.) a situation in which the course of action the officer considered right was difficult to do, or
3.) a situation in which the wrong course of action was very tempting (Braswell, McCarthy B.R., and McCarthy, B.J. 2002).

Strategies to Mitigate the Ethical Breaches

Once one understands how ethical dilemmas are framed in this context, it then becomes possible to formulate strategies to eradicate or at least mitigate the ethical breaches of behavior performed by those within the public safety sectors.

Remedies to lapses of ethical behavior on the part of police officers begin first with the selection and hiring of qualified individuals. Department heads should no longer actively find "work-arounds" of minimum hiring standards in order to recruit a member of a special interest group- no matter what Attorney General Eric Holder recently indicated with regard to Dayton, Ohio Police Department. No agency should ever again be found in the position that the Los Angeles Police Department found itself when they had recruits working the streets and their background checks had yet to be completed.

The Next Step is Ethics Training

Leadership, professionalism, and ethics is considered so critical to the California Commission on Peace Officers Standards and Training (POST) that it is the very first learning domain presented to new recruits in police academies. But learning is not a one-time event. Rather it is a continuous process of review and reinforcement. Therefore, ethics training should continue throughout an officer's career. This training should be both formal and presented in a structured format, as well as informally presented in settings such as briefings and team meetings. In addition to participating in the ethics training received by those at the officer rank, first line supervisors and middle management should also receive training in the investigation of ethical breaches.

But no amount of training is sufficient if department leadership fails to set an "ethical-leadership" example. Upper management needs to understand the influences they have on those in their command through the decisions they make. Decisions such as policy development, discipline, and promotions must inculcate a "just-culture" within the organization.

Make Ethics Training Real

Ethical training must be feature-intensive (Sharps, 2010) and must address rather than ignore the human emotions involved. For instance, in the case of the Dallas officer who kicked the prone and handcuffed suspect, it is reasonable to understand that the officer was emotionally charged. Human beings do not have an emotional "on-off" switch. The "chemical cocktails" that are delivered into the system during a fight or flight response do not suddenly and magically disappear once a physical altercation is over.

Rather than simply telling an officer that he needs to control his use of force, feature-intensive training would include explaining to an officer that, "You are going to be adrenalized, you are going to feel the physical effects of that adrenaline, you may very well feel a need to continue to strike the suspect, that need may even persist after the suspect is handcuffed. It is completely normal and acceptable to feel that way, but when the time

comes, you must recognize the feelings for what they are — physical and emotional responses to the chemicals in your system — and you need to breathe and re-engage you higher thinking brain and process the situation."

By presenting this information at this level of comprehension, you are educating and preparing the officer for the inevitable and predictable realities he or she will face one day during his or her career. Additionally, from an ethical standpoint the leaders of the agency are recognizing the human factors involved rather than succumbing to the belief that an officer is an automaton; and subsequently failing to provide the necessary preparation in order for their personnel to perform at their best. With an understanding of these human dimensions, agency managers are in a better position to identify and explain their officer's performance to a citizenry uneducated in the realities of force encounters between law enforcement officers and criminal subjects.

Once a programmed model of ethics training has been instituted, a process of discipline can be established. While many consider "discipline" to have a completely negative connotation, discipline can in fact have positive attributes. Correct behavior should be reinforced, while negative behavior should be promptly yet fairly rebuked. For instance, using the Dallas officer's alleged excessive force as an example, the officer's on-scene partners first attempted to intervene in his inappropriate behavior. After being restrained and pushed away from the handcuffed suspect by his partners, the officer returned to the suspect, sprayed him with OC spray, and kicked him in the head. The partner officers then reported what they believed to be excessive force to their superiors. While the known outcome of this event was the firing of the subject officer, one would hope that the reporting officers were commended by the executive staff of the agency as an example of the high ethical standards expected of all personnel. By doing so, the management reinforces the ethical culture of the agency.

Seeing the Big Picture

In order to maintain a just culture with fairness, respect, and integrity, agency heads must understand the impact of their every decision. Shift-work is a reality in police work. While many officers by necessity work while most of society sleeps, those same officers are often required to attend to business related activities during normal waking hours. Some of those activities include: court attendance, training, and attendance at mandatory meetings. This invasive adjustment of sleep hours can lead to excessive fatigue; and in the public safety world, fatigue can kill. According to the Force Science Research Center (FSRC), Dr. Bryn Vila believes that with appropriate shift scheduling, shift lengths, and controlled napping, high-liability events such as traffic accidents can be reduced (Vila, 2011). Therefore, rather than default to a position that any officer who falls asleep on duty is shirking his duties and should be reprimanded, the progressive executive officer can proactively plan sleep deprivation countermeasures and should support his personnel by enlightening the community about the preemptive measures he has taken to best ensure public safety.

Chief executives should honestly plan for the future of the department. This means scrupulously abiding by merit-based promotions rather than advancing the careers of individuals that will favor special interest groups, thus advancing the career of the chief himself. Other than covering up for the criminal activity of another, there is no greater breach of ethics on the part of executive staff than the promotion of the less capable employee for purely selfish reasons. Promoting less-than competent personnel in order to fulfill some stated or imaginary "quota" is an ethical violation that will one day lead to disastrous consequences — in fact, many will say it has already. A supervisor or middle-manager who has been appointed to a position of leadership based upon political concerns or because of a close relationship with executive staff rather than upon competence places the lives of officers and civilians in jeopardy. In fact, a common axiom among senior sergeants and officers is, "Let's get this call handled before the lieutenant arrives and screws this whole thing up."

It would be humorous if there was not more than a little truth to this adage.

Beyond the catastrophic concerns — such as the potential loss of life — are the more mundane personnel issues that these very same less-than competent managers are often unable to resolve. Maintaining high ethical standards within the workplace and between employees is an administrative function with which management is charged. Failure to address petty squabbles, animosities, and vindictive employees is a failure of leadership. If a

leader does not have the courage to address these trivial issues, how then can he or she be counted on to make critical decisions in life-or-death situations?

In order to eradicate many of the ethical dilemmas faced by public safety professionals, leadership must be service-centered. The impact of human factors upon individual performance must coincide with timely and fair discipline — both in a positive and a negative sense. Chief Officers must reach out to all members of the community and, while keeping in mind that there will always be a political component to operating a police department, the leadership must make it clear that they also serve another constituency- that is, the sworn officers themselves. Finally, those that are promoted within a police department must be promoted based upon merit and must have demonstrated the requisite courage to make the tough decisions in both critical and mundane situations.

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About the author: Sergeant Steve "Pappy" Papenfuhs is a police training specialist recently retired after serving 29 years with the San Jose, California Police Department. During his career he worked Patrol, Field Training (FTO), Street Crimes, SWAT, Auto Theft, Sexual Assaults, Narcotics, Family Violence, and supervised the department's in-service Training Division. He is the developer of the Defense and Arrest Tactics program currently taught at the San Jose Police Department, and the police academies at Evergreen Valley College in San Jose, Gavilan College in Gilroy, and Monterey Peninsula College in Monterey. He holds a Force Analysis certification from the Force Science Research Center, and is a certified instructor with the California Commission on Peace Officers Standards and Training (POST) in several disciplines including: Firearms, Defensive Tactics, Baton, Force Options, and Emergency Vehicle Operations (EVOC).

The Future of Police Image and Ethics

By Joseph A. Schafer, Associate Professor, Center for the Study of Crime, Southern Illinois University Carbondale, Carbondale, Illinois

This article reviews highlights of the advances of professional policing in recent decades and illuminates the obstacles that continue to prevent the image of police from becoming more positive. Also included is a discussion of the future of police ethics, including pre-service behavior standards, evolving forms of off-duty behavior that might be problematic for police agencies, the role technology may play in preserving a healthy police image, and the future of accountability to citizens and communities.

Pre-service Behavior Standards

Questions and debate surrounding the regulation of pre-service behavior are not new. The use of alcohol, and especially underage drinking, by candidates is a long-standing issue. Contemporary manifestations of the behavior standard discussion now center on issues such as youthful experimentation with controlled substances as well as digital and online behavior. In a time of dwindling applicant pools and high employee attrition, some agencies have questioned whether conventional zero-tolerance stances are feasible and responsible.

Agencies currently struggle with the question of whether pre-service experimental use of controlled substances should disqualify an applicant. Does such use reflect poor character or judgment, suggesting that an applicant is ill suited for police work? Does it suggest that the applicant might have credibility issues when testifying in court? If some drug use is allowed, what are the parameters on the type of drugs, the frequency of use, and the time lapse since the last use?[1]

With the rise of computer and network technology comes the need for candidate accountability for digital and online behavior. Would it be appropriate to refuse employment to an otherwise exemplary candidate who downloaded audio, video, or other computer files without proper purchase or permission? Does an applicant who made an illegal copy of a college roommate's CD have serious flaws in judgment and character? Does the response to these questions differ depending on the position for which a candidate is applying—for example, a local patrol officer position versus a federal special agent position? As with controlled substances and underage consumption of alcohol, the debate focuses on the parameters of acceptable digital and online conduct.

Social-networking sites on the Internet provide people with a portal for connecting with others, sharing information and the opportunity to express their creativity. Today, many future police officers make extensive use of online profiles, photographs, videos, and blogs. Departments have found these sites to be rich in information for evaluating candidates and therefore mine data from these sites during background checks. It has been found that users of the networking sites often feel uninhibited online and express themselves in manners different from how they behave in person. In addition, some users even create false profiles of themselves. Confronted with this new source of personal information about candidates, agencies need to decide on acceptable parameters of creativity expressed on personal Web sites.

Agencies certainly seek to hire candidates of integrity, whose character and conduct will not be assailed on the witness stand. At the same time, those preparing to enter police work may have different views and values about their behavior than their potential employers.[2] At present, it is not clear whether an occasional "music pirate" will make a poor or non-credible police officer. Executives would be well advised to consult with local human-resources experts to understand how and even whether to account for such behaviors in the screening process.

Digital Technologies and Off-Duty Behavior

Besides raising concerns at the pre-employment screening phase, digital technologies create new opportunities for existing personnel to engage in off-duty conduct that may be lawful but may still promote a negative image of their agency. Recent years have produced many instances where officers of various ranks and their families have been discovered in compromising or morally questionable online behavior. Online conduct that is sexually overt or morally questionable or that demonstrates bias or poor judgment can be a real problem for agencies.

How should agencies handle officers using eBay to sell images of themselves masturbating?[3] What about officers posting pictures of themselves engaging in group sexual relations? Are there parameters on what officers can post on their blog or personal page at a social-networking site? Arbitration procedures and the courts are constantly shaping the parameters of protected and punishable behaviors. Police departments must keep themselves updated on these rulings.

The moral and legal parameters governing off-duty behavior exemplify the notion of a gray area for a standard of conduct. Currently there is limited information available to guide agencies and executives in setting appropriate and lawful parameters in the personal use of modern technology. As the volume of relevant incidents increases with time, policies and procedures to assist executives in handling these incidents will need to be prepared. Poor handling of these matters may actually compound the problem by bringing media attention and public scrutiny to the agency. Executives considering action against an officer should seek the advice of their agency's legal counsel to ensure that their actions are within the boundaries of the law.

Technology and the Police Image

In the last decade, in-car video camera systems have become both a tool for law enforcement (e.g., recorded evidence of field sobriety testing) as well as a means of ensuring police transparency. The audio and video images provided by these systems have allowed countless officers to rebut false claims of abuse and inappropriate conduct.[4]

Video-recording capabilities are diversifying rapidly. Many cellular telephones now incorporate low-resolution recording devices. These first-generation devices are small in size, have limited quality, and may not include audio recording, and they can usually capture video for only a short period of time before reaching the system's memory capacity. However, as technologies expand into second and third generations, significant improvements are typical. This means that in the next decade agencies will likely deploy small, high-quality wearable video-recording devices in the field with officers. The military is already using expensive and somewhat cumbersome systems in combat zones.

It is only a matter of time before improved, streamlined, and cost-effective systems can accompany officers on patrol. These devices will be able to record every interaction officers have with citizens, creating evidence supporting officers when they perform their duties in an appropriate manner. Averting just a few lawsuits could offset the expense of such a system. But would the culture of a given police agency embrace this technology? At times, officers have resisted in-car systems because of the feeling they create that Big Brother is watching. Although these systems can provide evidence that officers are performing their duties in an appropriate manner, their presence also carries an implicit assumption that officers might not behave in a lawful and respectful manner. Reasonable people can disagree on whether an agency should compel its professional officers to be recorded during the course of their duties. In agencies where they are able to speak for officers, labor organizations likely have views on the use of such devices.

Beyond audio and video recording, other technologies are enhancing the level of transparency within police operations. Some departmental Web sites allow citizens to map recent crimes in their neighborhood.[5] Computer systems and expanded telephone/voicemail networks (for both entire agencies and specific officers in an agency) make an organization more open and improve access to employees.

At the same time, the expansion of inexpensive, handheld video-recording technology in the hands of citizens has also enhanced the transparency of policing, although citizens have used these devices mostly to highlight cases where officers have overstepped their rights in effecting arrests.

Proper use of audio, video, and Web-based information systems can help to create an image of police officers and agencies as open, honest, and accessible. Agencies should continue to work with technology manufacturers to develop new tools and applications that will both preserve the integrity of policing and enhance the image of police professionalism.

Accountability

Regrettably, there are daily reports of officers and agencies that have allegedly violated their oath and duty to the community they serve. While many of these allegations will ultimately be found frivolous, others illustrate failures in ethics and accountability systems. The volume of national news on this matter obscures the tremendous advances the police profession has made in recent decades. Although each contemporary misdeed still provides cause for concern, it is important to recognize the achievements in improving officer professionalism and agency accountability. Unfortunate incidents do occur, but policing has succeeded in laying the foundation for a strong and pervasive culture of integrity. The remaining question is how to improve street-level police operations. Although accountability mechanisms, higher educational standards, and ethics awareness training are all laudable steps, do they suffice to bring about a fundamental improvement in the routine behaviors of police officers on the street?[6]

Agencies must embrace the development of new technological applications not only to enhance officer safety and improve the success of prosecution efforts, but also to allow citizens to better understand crime and policing in their community. Police executives need to provide effective leadership to ensure a culture of true integrity and accountability in their agency. Those who design ethics training and other educational seminars must seek out ways to move beyond simply telling officers to do the right thing; ethics training should ideally empower officers to anticipate the complex moral choices they must make, sometimes in a matter of seconds. Agencies must continue to reinforce the notion that officers and agencies serve the public; this service includes an element of transparency and accountability.

Plan for the Realities of Tomorrow

For decades, police agencies have struggled to generate and sustain a positive police image and an ethical organizational environment. Numerous advances have been realized, but the process continues. Police officials and community leaders must continue their dialogue in the search for ways to strengthen their organization's culture of integrity. In looking toward the future, police executives should consider how technological and social change creates both new challenges and new opportunities. Shifting social values and behaviors mean different prior experiences that prospective employees bring to an agency. These values, coupled with emerging technologies, also modify how some officers will express themselves when off duty. Professional organizations must begin to explore the legal and ethical parameters of pre-service and off-duty behavior, with the goal of providing executives with a better understanding of the rights of employees and agencies.

Technological and social changes also represent an important opportunity for agencies to enhance their image and improve their ethics. Technological applications provide new ways to monitor officer conduct, which has the potential to enhance officer safety, improve offender prosecution, and protect officers from frivolous complaints and lawsuits. At the same time, however, these benefits can be offset by potential opposition from officers and labor associations that view these technologies as invasive and unnecessary.

Agencies now have increasing opportunities to provide transparency in various aspects of their operations. Transparency enhances accountability and can improve the overall image of an agency, yet it can also provide critics with ammunition to make distorted claims. Police executives must understand both the opportunities and difficulties presented by technological and social change. The implications of these developments may vary from agency to agency, but the key for all police executives is to plan today for the realities of tomorrow.∎

Notes:

[1]See William J. Woska, "Police Officer Recruitment: A Public-Sector Crisis," The Police Chief 73 (October 2006): 52–59.

[2]See generally Sameer Hinduja, Music Piracy and Crime Theory (New York: LFB Scholarly, 2006); R. B. Kini, H. V. Ramakrishna, and B. S. Vijayaraman, "Shaping of Moral Intensity regarding Software Piracy: A Comparison between Thailand and U.S. Students," Journal of Business Ethics 49 (January 2004): 91–104; and H. V. Ramakrishna, R. B. Kini, and B. S. Vijayaraman, "Shaping of Moral Intensity regarding Software Piracy in University Students: Immediate Community Effects," Journal of Computer Information Systems 41, no. 4 (2001): 47–51.

[3]City of San Diego, California, et al. v. John Roe, 125 S.Ct. 521 (2004).

[4]According to the 2004 IACP In-Car Camera Report, police officers are exonerated in 93 percent of complaints when incident video is available; see International Association of Chiefs of Police and Community Oriented Policing Services, The Impact of Video Evidence on Modern Policing: Research and Best Practices from the IACP Study on In-Car Cameras, 2004, www.theiacp.org/documents/pdfs/WhatsNew/IACP%20In-Car%20Camera%20Report%202004.pdf, April 26, 2007, 15.

[5]The Chicago Police Department exemplifies an agency that has invested considerable resources to make community crime data accessible to the public. Their Citizen Law Enforcement Analysis and Reporting (CLEAR) program is the latest version of an effort that dates back to the early 1990s (see gis.chicagopolice.org for details).

[6]Samuel Walker, The New World of Police Accountability (Thousand Oaks, Calif.: Sage Publications, 2005), 171–173.

Principles & Values

By Bob Vernon | From the October 2011 Issue of Law Officer Magazine

Great organizations, from the top to the bottom, benefit from principle-based leaders

There are, in my opinion, six basic essentials of leadership: 1) provide clear direction, 2) develop a team spirit, 3) ensure continuing development/improvement of staff, 4) cultivate shared principles and values, 5) promote open communication, and 6) establish controls to ensure execution. In this article, I will address the topic of cultivating principles and values, perhaps the most important aspect of them all.

Why is the ability to cultivate principles and values so important? Because it's what separates great organizations from good ones. It's difficult to explain how this is done, but it's worth the effort it takes to comprehend. The ability to cultivate principles and values is precisely what makes some leaders so powerful in their ability to influence and persuade others.

This article isn't intended to describe a formula or lock-step process. Rather, it's meant to explain the intangible, sometimes illusive reason that causes some organizations to rise to greatness. Many great leaders don't consciously think about this format or these terms. They just do what comes naturally. They have an intuitive gift for effective leadership. For the rest of us, this can be a very important insight.

Recognition & Reward

When I was a two-star chief over one quarter of the city of Los Angeles, I conducted a strategic planning process with all division commanders (five area stations and one traffic division). We decided to focus our attention on five outcomes: 1) reduce the repressible crime rate, 2) reduce the rate of injury traffic collisions, 3) reduce the response time for 911 emergency calls for service, 4) increase the detective clearance rate (crimes solved), and 5) reduce the rate of outside-initiated personnel complaints.

At an implementation planning meeting with the commanders, I announced what I thought would be a great program. I would purchase a trophy. We'd award the trophy each quarter to the station that was the most successful in achieving our five goals. It would be a perpetual trophy that would be displayed in the lobby of the police station that earned it that quarter. The trophy would be engraved with the name of the area station and the dates (quarter) of this achievement. This recognition strategy, based on the important leadership principle of recognition, would inject some friendly competition into the mix and focus everyone's attention on the goals. In my mind, it was a done deal.

I was very disappointed when several of the station commanders opposed my "brilliant" plan. They explained that few officers ever went into the lobby of their station. Those coming into the lobby were victims, bail bondsmen or complainants, all of whom wouldn't be interested in the trophy.

However, the commanders understood the principle of recognition, and they graciously offered an alternative. Design and purchase a flag, they said. The flag would be a field of midnight blue with a silver "No. 1" (LAPD colors) thereon. We'd fly this flag over the station that won the honor for the quarter, under the U.S. and California flags. I was convinced, and accepted their proposal. Bottom line: It was a great success and a matter of pride and honor, and officers enjoyed explaining the flag to the many who asked about it.

This experience taught me an important lesson. When a leadership team has shared principles and values, their combined wisdom will exceed the sum of their individual abilities and insights.

Effective leaders recognize the importance of establishing a foundation that supports their leadership. They understand that the structure, staffing, policies, procedures and even the operational tactics they set up or endorse should be based upon logic and reason. Logic and reason are the foundation of the Below 100 initiative (www.Below100.com). For example, the first of the mandates "Wear your belt" is based upon hard data: Traffic collisions were the leading cause of officer fatalities in 2010. For the last three decades, 42% of officers killed in traffic collisions weren't wearing a seatbelt. There's no arguing with the factual importance then of wearing your seatbelt. So how do you take a concept like Below 100 and bring it to your organization so that they embrace it?

I believe that building a strong foundation for your leadership begins with identifying a few basic principles. Upon these principles policies are developed. Strategies are then formed to move the policies toward implementation. Finally, tactics or procedures are created and practiced to put the strategies into action. Some practitioners refer to this system as "Principle-Based Leadership."

Principle-Based Leadership

Tactics   Tactics   Tactics   Tactics   Tactics   Tactics   Tactics

     Strategy   Strategy   Strategy   Strategy   Strategy   Strategy

       Policy   Policy   Policy   Policy   Policy
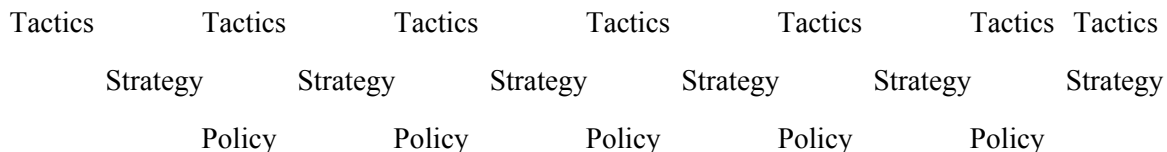
PRINCIPLE

Foundation to Actions

Principles

Because principles are broad statements of truth, they never change. Principles explain reality and give logic to leadership. Most organizations are founded on several principles. Much of the American police ideology and practices find their origins in nine principles identified with Sir Robert Peel (1788–1850) and the London Metropolitan Police. One of those principles states: "…the power of the police to fulfill their functions and duties is dependent on public approval of their existence, actions and behavior and on their ability to secure and maintain public respect."

This is a broad statement of truth that's still relevant today. When a police department secures the respect and approval of the public they serve, they're empowered with support and cooperation. Another principle of Peel states: "The true effectiveness of a police agency is the prevention and reduction of criminal behavior rather than the measurement of police activities such as arrests and/or investigations."

Principles, such as those illustrated here, form a foundation upon which all of the other components of your leadership can be based. Principles answer the "why" questions. In the case of Below 100, the principle is to reduce unnecessary police deaths. "Why are we doing this?" "Why should we use this strategy?" "Why do we

have this policy?"   "Why are we measuring these events or rates?" *The answer*: To save lives and improve officer safety.

Policies

Policies are intended to give guidance. They help focus attention on preferred actions from several alternatives. They're usually statements of intent to apply a principle. Policies differ from rules or procedures in that they're broader in scope. They give some latitude in how goals and objectives are accomplished. They point the members of the organization in the right direction. They offer support and approval that still allows followers to exercise their initiative.

The so-called Peelian principle about public approval described above begs a policy that encourages a partnership and communication with the community served. Such a policy could read: "It's our policy to pursue the philosophy of community-oriented policing. Officers should take appropriate action to establish open lines of communication with all segments of our community and work with them in developing strategies to achieve our mission."

Note: This statement gives direction, but, at the same time, encourages creativity and some flexibility. It moves the principle of community approval toward a reality without limiting the options that can be developed. Other policy statements that would support the principle of public approval could address press relations, personnel complaints, organizational transparency and other similar issues.

Field operations should also be guided by statements of policy, based upon principles. *Example: A* vehicle pursuit policy that minimizes risk to officers and community members will also support the principle of securing public confidence. *Sample:* "When the risk to the officer and/or the community exceeds the benefits of apprehending the violator (considering road conditions, speed, presence of pedestrians, possibility of future apprehension, nature of the violation) the vehicle pursuit should be terminated." This policy statement gives guidance, but also allows discretion.

Strategies

Strategies are the means to offer maximum support for adopted policies. Strategies are well thought out plans or methods to pursue goals and objectives articulated by policy. The policy of adopting the philosophy of community-oriented policing can lead to developing the strategies of problem-oriented policing vs. reactive policing, career criminal focus programs (TRAP) and collaborative community meetings.

The formation of strategies should involve those actually doing the job. Field supervisors and beat officers can often come up with much more effective strategies and tactics than top management. Usually, several strategies should be developed to support a single policy. Unlike principles, strategies can and should be changed according to current conditions and changing challenges. Policies can also be revised or changed but more rarely than strategies.

Example: A press relations policy statement from the LAPD Manual, Vol. 1 (Policy) 115.75: "Officers should make every reasonable effort to serve the needs of the media in informing the public about crime and other police issues" could be supported by the appointment of a press relations officer; an ongoing system of scheduling of press conferences on matters of high interest; allowing members of the media to accompany officers on significant operations where the investigation won't be compromised or the rights of individuals abridged; and allowing the media access to personnel, at the lowest level, who are fully informed about the subject of a press inquiry.

Tactics

A tactic is a method of implementing the plan. They're more specific steps taken toward accomplishing a goal. Tactics are actions or procedures that get the job done. They're often mandates and even rules.

There are usually several tactics within a given strategy. For example, pursuing the strategy of problem-oriented policing could involve several tactics, including hardening the target; scanning, analysis, response and assessment (SARA) crime analysis; property identification; educating probable victims ("Lady Beware" rape prevention video); and graffiti removal. Each of these steps, taken together, constitutes the strategy in support of the principle.

Broad participation in the process of developing principle-based leadership is important at all levels. The higher up the inverted pyramid on the chart, the more beat officers, detectives and other street officers should be involved. When top leadership does a good job of identifying and communicating the foundational principles, exceptional contributions to the rest of the process will occur. Bringing everyone in on the thinking and logic of top leadership demonstrates respect and confidence in them. Combine that with a sincere invitation for all to help with the development of superb strategies and tactics and you have a winning combination.

It's impossible to have a procedure or tactic that will cover every contingency faced by officers. But when they have a foundation of logical principles and policies (Below 100) to guide them, they can create the tactic to fit the situation and constantly improve current procedures.

Values

The presence of deeply shared values results in willing and diligent work toward the organizations goals rather than the need for forced compliance. Values are those issues that members deem important, significant or having worth. Values are determined in various ways. Measuring behavior or accomplishments communicates values. The very fact that top leadership is measuring something tells operating personnel it's important. Giving positive reinforcement to certain behavior communicates values. Taking disciplinary action against prohibited acts communicates values. Punishing those who fail to accept assigned responsibilities communicates values. This is critical to making Below 100 work. Those in leadership positions, and that's just about everyone who reads this magazine, must understand that it's important to "catch" people doing things right and have the courageous conversation or initiate discipline when they're doing things wrong (such as failing to wear body armor or driving faster than necessary to a call.)

Finally, perhaps the most powerful way of developing shared values is the process involved in implementing principle-based leadership that I've attempted to describe in this article. The procedures, methods or tactics mandated by leadership can work to some degree without foundational support. But they will be accepted and even highly valued more readily within the logical matrix of principle-based leadership.

Benefits of Principle-Based Leadership

1.) Increased willing compliance by followers: People are more likely to follow leadership when they understand the purpose behind the direction they receive.
2.) More team work when members employing different strategies or tactics can see how they're linked together by the same principles and policies. Less compartmentalized thinking.
3.) Support from personnel in specialized units when they can see how their activities are connected to other entities of the department.
4.) Increased creativity when members are encouraged to help form strategy and tactics based upon adopted principles and policies.
5.) Shared values. The clarification of the values of the organization is a powerful by-product of the process of developing this model of leadership. The very identification and wording of the foundational principles is a strong statement of what the members of the organization are to value and pursue.

Bob Vernon retired from the LAPD after 37 years on the force. He earned an MBA at Pepperdine University and is a graduate of the University of Southern California's Managerial Policy Institute and the FBI's National Executive Institute. Vernon also founded The Pointman Leadership Institute (pointmanleadership.org), which provides principle-based ethics seminars around the world.

Police Chiefs Desk Reference

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

Law Enforcement Code of Ethics

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 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 in both 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 of 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 public trust to be held so long as I am true to the ethics of the police service. I will never engage in acts of corruption or bribery, nor will 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 ETHICS

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. It is important police officers have clear advice and counsel available to help them perform their duties consistent with these standards. The following ethical mandates are guidelines to meet this end:

Primary Responsibilities of Police Officer: A police officer acts as an official representative of the government; he 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; safe-guarding 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 performs all duties impartially, without favor, affection or ill will and without regard to status, sex, race, religion, political belief or aspiration. All citizens are treated equally with courtesy, consideration and dignity. Officers never allow personal feelings, animosities or friendships to influence official conduct. Laws are enforced appropriately and courteously and, in carrying out their responsibilities, officers strive to obtain maximum cooperation from the public. They conduct themselves, in appearance and deportment, in a way that inspires confidence and respect for the position of public trust they hold.

Discretion: A police officer uses responsibly the discretion vested in the position and exercises it within the law. The principle of reasonableness guide the officer's conclusions, and the officer considers all surrounding circumstances in determining whether any legal action will be taken. Consistent and wise use of discretion, based on professional policing competence, does much to preserve good relationships and retain the confidence of the public. It can be difficult to choose 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 never employs unnecessary force or violence and uses only such force in the discharge of duty as is reasonable in all circumstances. Force is used only with 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 refrains from the unnecessary infliction of pain or suffering and never engages in cruel, degrading or inhuman treatment of any person.

Confidentiality: Whatever a police officer sees, hears, or learns of, which is of a confidential nature, is kept secret unless the performance of duty or legal provision requires otherwise. The public has a right to security and privacy, and information obtained about members of the public must not be improperly divulged.

Integrity: A police officer does not engage in acts of corruption or bribery, nor does 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 their integrity and that undercut the public confidence in a law enforcement agency. Officers 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 advantages from their official status. Respect from the public cannot be bought; it can only be earned and cultivated.

Cooperation with Other Officers and Agencies: Police officers 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 essential that a police officer help colleagues fully and completely and with respect and consideration.

Personal/Professional Capabilities:

Police officers are responsible for maintaining a high standard of professionalism and 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 efficient and effective performance. 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.

Canon of Police Ethics

Article 1: PRIMARY RESPONSIBILITY OF JOB

The primary responsibility of the police service, and of the individual officer, is the protection of people of the United States through the upholding of laws. Chief among these laws 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 the law. 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 the law, have placed upon him. He must recognize the genius of the American system of government, which gives to no man, groups of men or institutions, 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 attention 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 be 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 person. Following the career of a police officer gives no person special prerequisites. 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 awe of him nor a right to command him. The officer will give service where he can, and will 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 wrongdoer 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.

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, shall strive for effective leadership and public influence in matters affecting public safety. He shall appreciate the importance and responsibility of his office and shall hold police work to be an honorable profession rendering valuable service to his community and country.

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Evolution of Policing

Traditional/P.O.P/C.O.P/

COMPSTAT/I.L.P.

POST Management Program

Instructional Goal: To introduce managers/manager trainees to the evolution of policing.

Performance Objectives:

- List the father of modern policing
- Discuss the nine timeless Peel Principles
- Define traditional policing
- Define problem-oriented policing
- Define community policing
- Define Compstat
- Define Intelligence led-policing
- Compare C.O.P., P.O.P., CompStat, and ILP
- Discuss efficiency vs. effectiveness
- Discuss S.A.R.A.
- Discuss the Intelligence Cycle

Professional Policing

1829 - Sir Robert Peel - Father of Modern Policing

"The police are the public and the public are the police; the police being only members of the public who are paid to give full time attention to duties which are incumbent on every citizen in the interests of community welfare and existence." Robert Peel

Nine Timeless Peel Principles

1. Prevent crime and disorder
2. Public approval of police existence
3. Secure willing cooperation of the public
4. Cooperation diminishes with the necessity for the use of force
5. Constant demonstration of absolute impartiality in police service
6. Use only minimum of force necessary
7. Police are the public and the public are the police
8. Never appear to usurp the powers of the judiciary
9. Police efficiency = absence of crime and disorder

Evolution of Policing

- **Traditional Policing** – **1829 to 1970**

- **Problem Oriented Policing** – **1970's to 1980's**

- **Community Oriented Policing** – **1980's to Present**

- **Compstat** – **1990's to present**

- **Intelligence-Led Policing** – **post 9/11**

General Policing Strategies

_____ (1829 to 1970): random, preventive patrolling of designated beat and responding to calls for service (reactive - incident driven).

_____ 1970's to 1980's): proactive process using police analysis and directed patrol techniques. Four stage "SARA" method used to analyze and resolve problems.

_____ 1980's to Present): coactive approach incorporating working relationship between community and police, with a focus on identifying community concerns and resolving those concerns – crime may not be primary focus.

_____ 1990's to present): a crime reduction model which relies upon police managerial accountability and utilizes computer technology and mapping to monitor crime levels and trends.

_____ post 9/11): a proactive application of crime analysis and intelligence used to identify strategic priorities and allocate resources to reduce and prevent crime.

August Vollmer

Father of Traditional American Policing

- **Introduced use of motorized vehicles for patrol in 1912**
- **Introduced two-way radios in cars in 1914**
- **First to use polygraph**
- **First to require college degrees**
- **Hired first female officer in 1925**
- **Focused on crime prevention**
- **Focused on use of physical evidence to solve crimes**

Traditional Driven Policing

- Reactive / Incident Driven

- Involves preventive, non-directed patrol of designated beat
- Police Respond to calls for service
- Limited Information
- Focus on single incidents
- Treats symptoms, not cause
- Relies on criminal justice system for solutions
- Officers insulated from community
- Efficiency Driven

Traditional methods of policing are no longer effective…….We need to solve problems by thinking creatively.

Connect the Dots
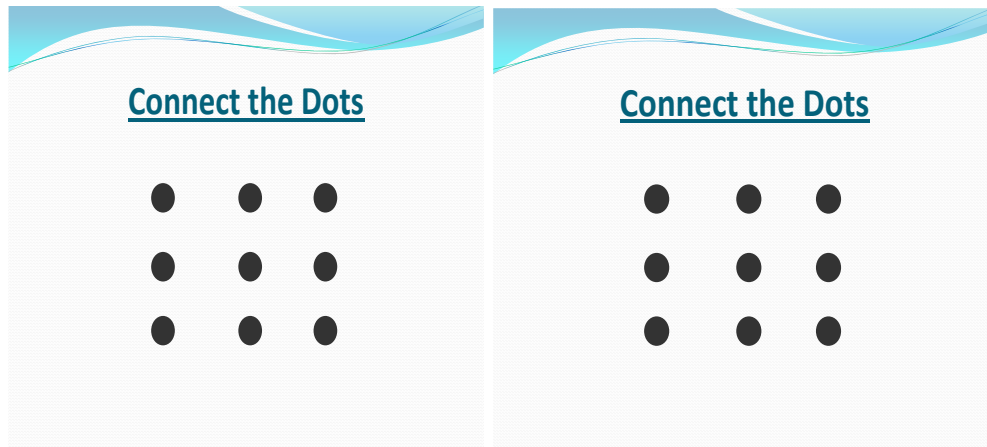
Problem Oriented Policing (P.O.P.)

- Shifts policing efforts from a reactive to proactive response to crime.
- Officers work with residents to identify concerns, and solutions to prevent crime.
- Seeks to get at root of problem, not just deal with symptom.
- Advocate use of S.A.R.A. method of problem solving.
- Identify crime and disorder problems and issues
- Seek a detailed analysis of a problem
- Determine a solution
- Seek a long-term resolution that does not involve arrest
- Resolution of the underlying issues
- Evaluation of outcome of solution to determine success
- Emphasis on proactive policing
- Crime prevention
- Community partnerships
- Sustainable solutions
- Resource development
- Department-wide flexibility and commitment
- Use of officers' knowledge and experience

More than a quick fix: it works toward addressing root causes

Why Use Problem-Oriented Policing?

It is scalable

- It applies to problems with varying levels of complexity, from a single problem address to a community-wide problem.

It is flexible

- It applies to a variety of substantive problem types, from minor quality of life issues to serious offenses.

It is applicable

- Though it has roots in crime pattern theory, it is useful to the day-to-day work of police officers on the street.

It is doable

- Police officers and others can begin using these principles TODAY.

What Is a Problem?
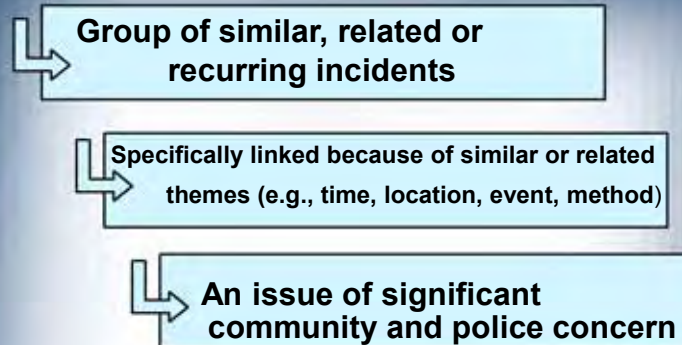
Group of similar, related or recurring incidents

Specifically linked because of similar or related themes (e.g., time, location, event, method)

An issue of significant community and police concern

Central Principles of Problem Solving

- Thoughtful analysis
- Creative response in non-traditional sense
- Uses solution outside the criminal justice system
- Encourages community to take responsibility for problems and solutions
- Effectiveness vs. Efficiency

Problem Solving Model

A systematic process

Information gathering
- Including local data collection

Analysis
- In order to understand and define a problem

Customizing of responses
- Committed to *best* possible responses
- Enforcement, situational, social development
- No preference for one approach over other
- From single response to multi-pronged over time

Evaluation of responses
- Share Information
- Learn from successes and mistakes

Traditional vs. Problem Oriented

Traditional
- Take a report
- Take another report
- Take yet another report
- Randomly patrol

Problem-Oriented
- Constantly review reports for patterns
- Look for commonalties that can be addressed
- Look for root cause – construction, low lighting, low traffic, etc.

Figure 1-2.
Incident-Driven Policing

UNDERLYING CONDITIONS

↓

PROBLEM

Incident Incident Incident Incident Incident Incident Incident

Police
Response
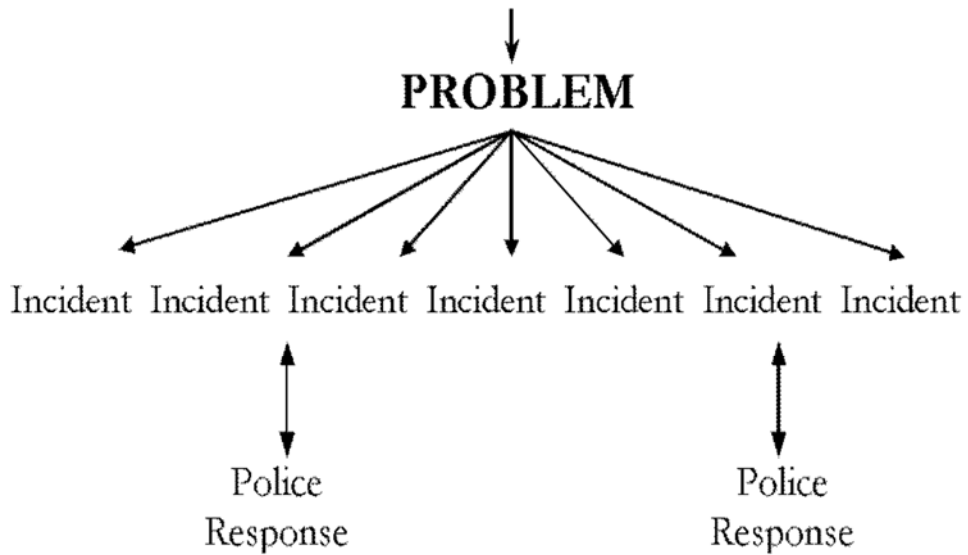
Police
Response

Figure 1-3.
Problem-Oriented Policing
UNDERLYING CONDITIONS

↓

PROBLEM

Incident Incident Incident Incident Incident Incident Incident

Police
Response

Police
Response

Other Public
and Private
Responses

Problem-Solving Process
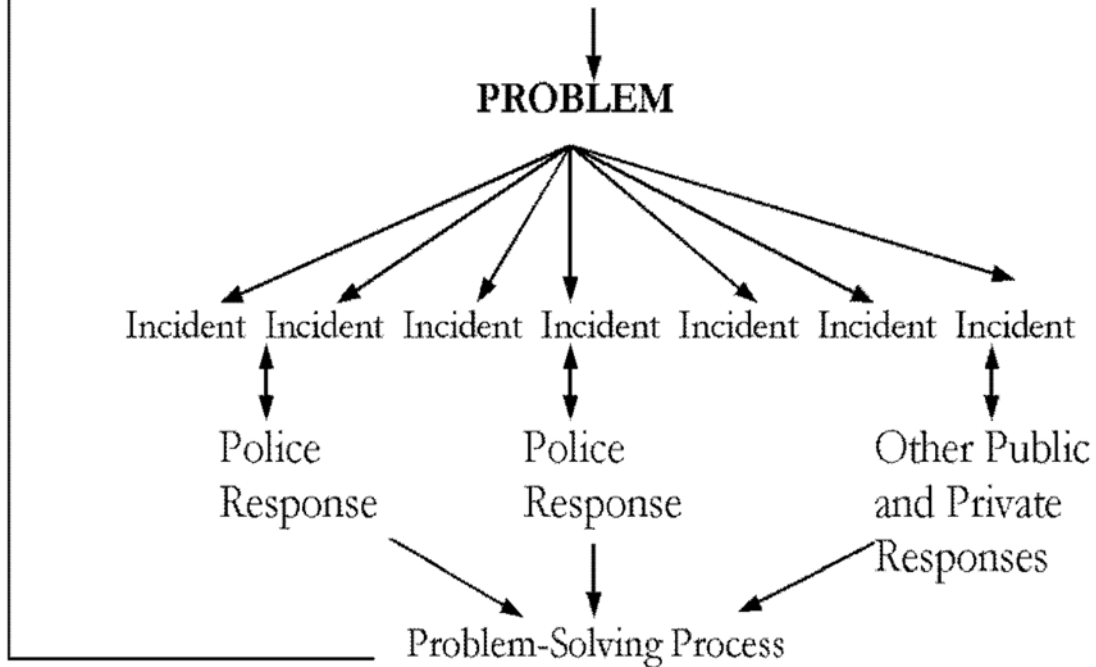
Use an Adaptable Root Cause Analysis Process

RCFA Process

Implementation → •Project Management

Corrective Action → •Evaluation Table
•Affinity Diagrams
•Relationship Digraph

Analysis and Identification

•Brainstorming
•Brain Writing
•Is-Is Not Table
•Why Tree (Fault Tree Analysis)
•5/7 Whys (and test Why Tree)

Investigation and Understanding

Evidence and Proof

Failure

•Flowchart
•Fishbone Diagram
•Timeline Plots
•Distribution Histograms
•Pareto Charts
•FMEA

•Interviews
•Protect Equipment/Parts
•Documents, Records, Diagrams
•Creative Disassembly of Parts
•Expert Investigation

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Potential P.O.P. Outcomes/Solutions

- Eliminate it
- Reduce the Scope
- Reduce the Harm
- Improve the Process
- Shift Responsibility to the Correct Source

Community involvement
Increased sense of safety
Positive community perceptions
Department-wide participation
Benefits of POP
Reduced calls for service
Officer – increased sense of accomplishment
Officer – uses experience and knowledge
**Reduces crime
Safer communities**
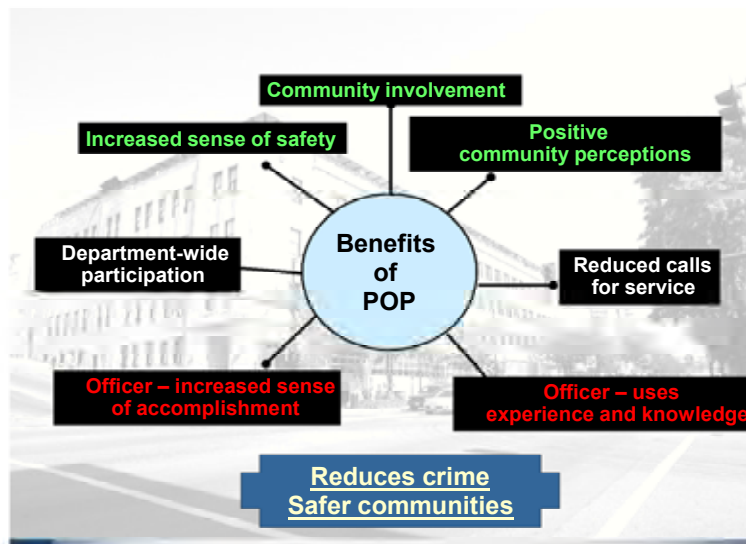
SARA

- **Scanning** - identifying the problem
- **Analysis** - learning the problems causes, scope, and effects
- **Response** - acting to alleviate the problem, that is selecting the alternative solution or solutions to try
- **Assessment** - determining if the response worked
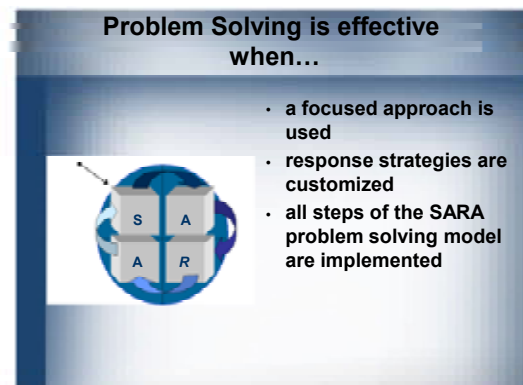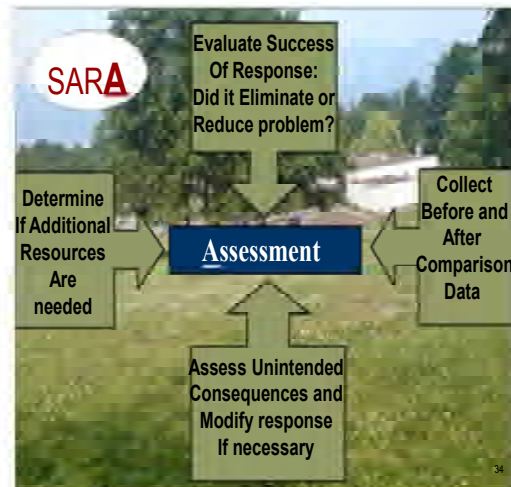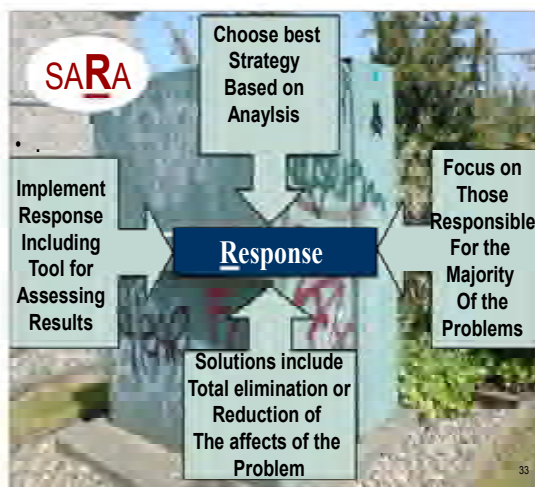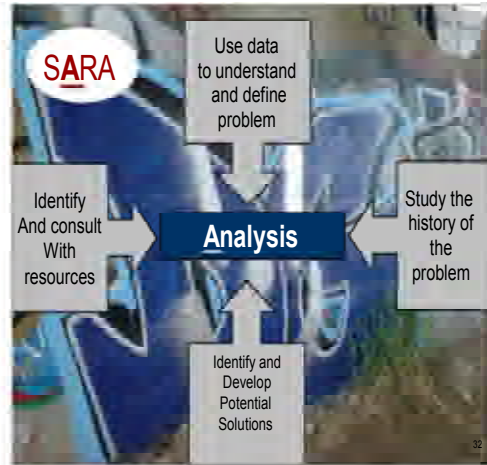
SARA Worksheet

This worksheet can be used as a guide to each of the SARA problem solving steps. It will assist in drawing attention to the various components of the problem, as well as keeping track of all aspects involved.

SCANNING

Describe the problem (be specific):

- o What is the problem?

- o What are the times and locations?

- o How did this come to your attention?

- o Who is affected by this problem?
  - ➢ Direct victims

  - ➢ Indirect victims

  - ➢ Suspects

  - ➢ Witnesses

  - ➢ Businesses

- o Are there environmental concerns?

What is being done or has been done to solve the problem?

Is this a police issue? In what way?

ANALYSIS

What information would be useful to have in order to effectively solve this problem?

How will you obtain this information?

Did you interview all of the concerned parties?

Did you discuss issue with other officers?

Did you collect data from both public and private sources?

What are your short- and long-term goals?

Other personal observations:

RESPONSE

What level of problem solving are you hoping to achieve?

- o Eliminate the problem
- o Reduce the occurrences of the problem
- o Reduce the amount of harm done
- o Remove the problem from police consideration

List as many ways as you can think of to reduce the problem to the level you desire (don't worry about any obstacles at this point):

Choose the best response and provide a more in-depth description:

Whose help will you need to implement this choice?

How long will this response take?

How will you test to find out whether your response was effective?

ASSESSMENT

Maintain rapport with the original complainant (if there was one) in order to remain informed about any changes in the problem.

Maintain contact with the agencies that are assisting in problem solving efforts.

Compare crime and calls-for-service statistics for before, during and after the intervention.

Compare residents'/neighbors' attitudes towards the problem before, during and after the intervention.

Did you reach the level you were hoping for?

What are some of the positive outcomes/side-effects of your response?

What are some of the negative outcomes/side-effects of your response?

Are additional resources still needed?

What can be done to make the project more successful/effective?

The Key Elements of Problem-Oriented Policing - www.popcenter.org

- A problem is the basic unit of police work rather than a crime, a case, calls, or incidents.
- A problem is something that concerns or causes harm to citizens, not just the police. Things that concern only police officers are important, but they are not problems in this sense of the term.
- Addressing problems means more than quick fixes: it means dealing with conditions that create problems.
- Police officers must routinely and systematically analyze problems before trying to solve them, just as they routinely and systematically investigate crimes before making an arrest. Individual officers and the department as a whole must develop routines and systems for analyzing problems.
- The analysis of problems must be thorough even though it may not need to be complicated. This principle is as true for problem analysis as it is for criminal investigation.
- Problems must be described precisely and accurately and broken down into specific aspects of the problem. Problems often aren't what they first appear to be.
- Problems must be understood in terms of the various interests at stake. Individuals and groups of people are affected in different ways by a problem and have different ideas about what should be done about the problem.
- The way the problem is currently being handled must be understood and the limits of effectiveness must be openly acknowledged in order to come up with a better response.
- Initially, any and all possible responses to a problem should be considered so as not to cut short potentially effective responses. Suggested responses should follow from what is learned during the analysis. They should not be limited to, nor rule out, the use of arrest.
- The police must pro-actively try to solve problems rather than just react to the harmful consequences of problems.
- The police department must increase police officers' freedom to make or participate in important decisions. At the same time, officers must be accountable for their decision-making.
- The effectiveness of new responses must be evaluated so these results can be shared with other police officers and so the department can systematically learn what does and does not work.

The concept of problem-oriented policing can be illustrated by an example. Suppose police find themselves responding several times a day to calls about drug dealing and vandalism in a neighborhood park. The common approach of dispatching an officer to the scene and repeatedly arresting offenders may do little to resolve the long term crime and disorder problem. If, instead, police were to incorporate problem-oriented policing techniques into their approach, they would examine the conditions underlying the problem. This would likely include collecting additional information—perhaps by surveying neighborhood residents and park users, analyzing the time of day when incidents occur, determining who the offenders are and why they favor the park, and examining the particular areas of the park that are most conducive to the activity and evaluating their environmental design characteristics. The findings could form the basis of a response to the problem behaviors. While enforcement might be a component of the response, it would unlikely be the sole solution because, in this case, analysis would likely indicate the need to involve neighborhood residents, parks and recreation officials and others.

Problem-oriented policing can be applied at various levels of community problems and at various levels in the police organization. It can be applied to problems that affect an entire community, involving the highest level of police agency, government, and community resources. It can be applied at intermediate levels (for example, a neighborhood or a police district), involving an intermediate level of resources. Or it can be applied at a very localized level (for example, a single location or a small group of problem individuals), involving the resources of only a few police officers and other individuals.

Community Oriented Policing

Three components:

- Community Partnerships
- Organizational Transformation
- Problem Solving

Defined by its programs:

- Neighborhood mini-stations
- Customer satisfaction surveys
- Foot patrols
- School Resource Officers
- Neighborhood watch programs
- Enhanced officer empowerment and discretion

Purpose – increase police effectiveness and legitimacy; enhance community quality of life

C.O.P. Managerial Responsibilities

- Communicate Mission and Vision
- Enforce L.E. Code of Ethics
- Decentralize police services
- Empower line staff / devolution of decision making
- Aid in identification of critical problems in community
- Manage allocation of resources
- Act as process facilitator
- Ensure collaboration with community and other agencies
- Create a culture that emphasizes service

C.O.P.'s Central Principles of Problem Solving

- Thoughtful analysis
- Creative response in non-traditional sense
- Uses solutions outside the criminal justice system
- Encourages community to take   responsibility for problems and solutions
- Striving for Effectiveness and Efficiency
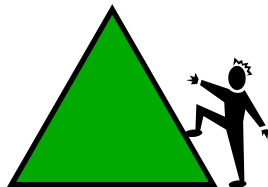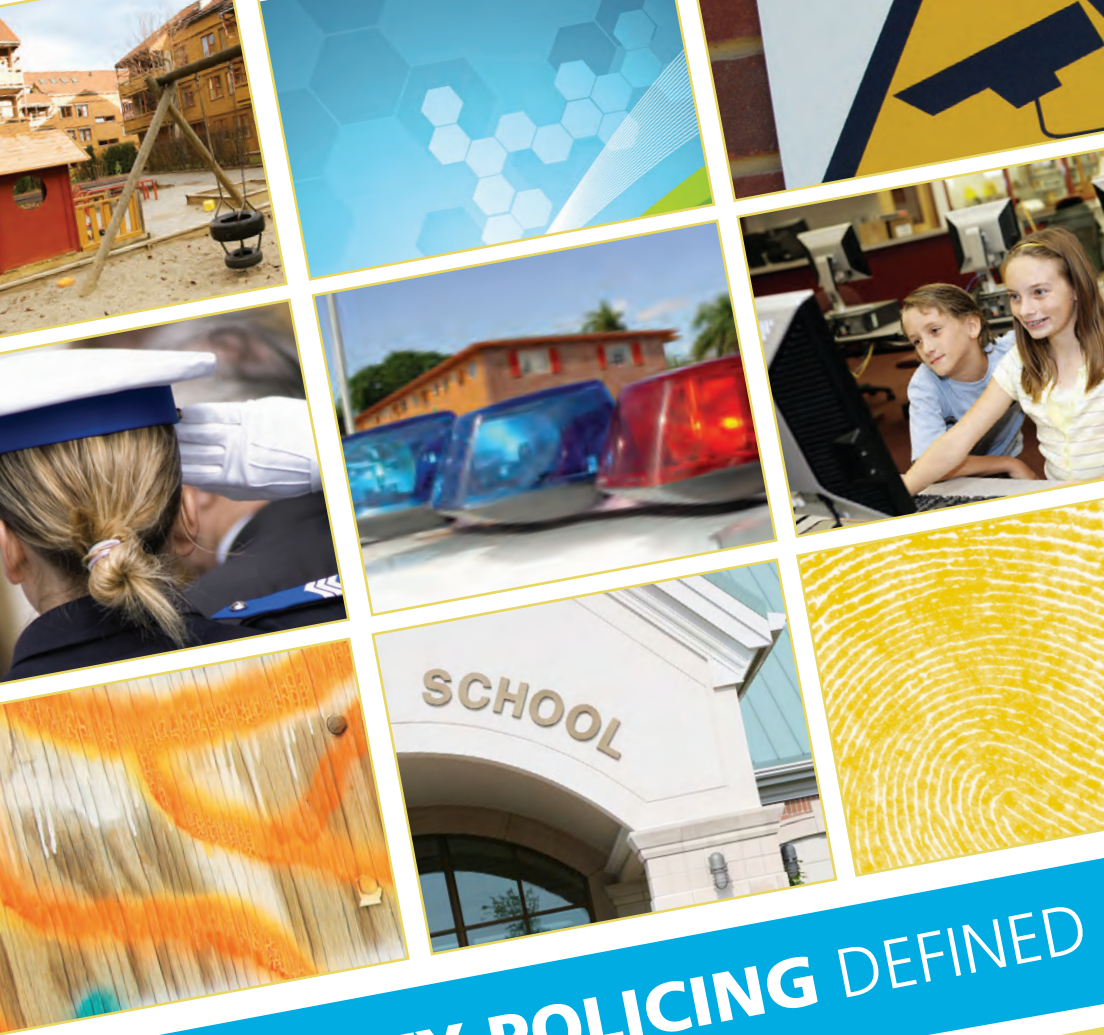
COMMUNITY POLICING DEFINED

COPS
COMMUNITY ORIENTED POLICING SERVICES
U.S. DEPARTMENT OF JUSTICE

Community policing is a philosophy that promotes organizational strategies, which support the systematic use of partnerships and problem-solving techniques, to proactively address the immediate conditions that give rise to public safety issues such as crime, social disorder, and fear of crime.

Community Partnerships

Collaborative partnerships between the law enforcement agency and the individuals and organizations they serve to develop solutions to problems and increase trust in police.

- Other Government Agencies
- Community Members/Groups
- Nonprofits/Service Providers
- Private Businesses
- Media

Organizational Transformation

The alignment of organizational management, structure, personnel, and information systems to support community partnerships and proactive problem solving.

Agency Management
- Climate and culture
- Leadership
- Labor relations
- Decision-making
- Strategic planning
- Policies
- Organizational evaluations
- Transparency

Organizational Structure
- Geographic assignment of officers
- Despecialization
- Resources and finances

Personnel
- Recruitment, hiring, and selection
- Personnel supervision/evaluations
- Training

Information Systems (Technology)
- Communication/access to data
- Quality and accuracy of data

Problem Solving

The process of engaging in the proactive and systematic examination of identified problems to develop and rigorously evaluate effective responses.

- Scanning: Identifying and prioritizing problems
- Analysis: Researching what is known about the problem
- Response: Developing solutions to bring about lasting reductions in the number and extent of problems
- Assessment: Evaluating the success of the responses
- Using the crime triangle to focus on immediate conditions (victim/offender/location)

Community Partnerships

Collaborative partnerships between the law enforcement agency and the individuals and organizations they serve to develop solutions to problems and increase trust in police.

Community policing, recognizing that police rarely can solve public safety problems alone, encourages interactive partnerships with relevant stakeholders. The range of potential partners is large and these partnerships can be used to accomplish the two interrelated goals of developing solutions to problems through collaborative problem solving and improving public trust. The public should play a role in prioritizing public safety problems.

Other Government Agencies

Law enforcement organizations can partner with a number of other government agencies to identify community concerns and offer alternative solutions. Examples of agencies include legislative bodies, prosecutors, probation and parole, public works departments, neighboring law enforcement agencies, health and human services, child support services, ordinance enforcement, and schools.

Community Members/Groups

Individuals who live, work, or otherwise have an interest in the community—volunteers, activists, formal and informal community leaders, residents, visitors and tourists, and commuters—are a valuable resource for identifying community concerns. Partnerships with these factions of the community can engage the community in achieving specific goals at town hall meetings, neighborhood association meetings, decentralized offices/storefronts in the community, and team beat assignments.

Nonprofits/Service Providers

Advocacy and community-based organizations that provide services to the community and advocate on its behalf can be powerful partners. These groups often work with or are composed of individuals who share certain interests and can include such entities as victims groups, service clubs, support groups, issue groups, advocacy groups, community development corporations, and the faith community.

Private Businesses

For-profit businesses also have a great stake in the health of the community and can be key partners because they often bring considerable resources to bear on problems of mutual concern. Businesses can help identify problems and provide resources for responses, often including their own security technology and community outreach. The local chamber of commerce and visitor centers can also assist in disseminating information about police and business partnerships and initiatives.

Media

The media represent a powerful mechanism by which to communicate with the community. They can assist with publicizing community concerns and available solutions, such as services from government or community agencies or new laws or codes that will be enforced. In addition, the media can have a significant impact on public perceptions of the police, crime problems, and fear of crime.

Organizational Transformation

The alignment of organizational management, structure, personnel, and information systems to support community partnerships and proactive problem-solving efforts.

The community policing philosophy focuses on the way that departments are organized and managed and how the infrastructure can be changed to support the philosophical shift behind community policing. It encourages the application of modern management practices to increase efficiency and effectiveness. Community policing emphasizes changes in organizational structures to institutionalize its adoption and infuse it throughout the entire department, including the way it is managed and organized, its personnel, and its technology.

Agency Management

Under the community policing model, police management needs to infuse community policing ideals throughout the agency by making a number of critical changes in climate and culture, leadership, formal labor relations, decentralized decision-making and accountability, strategic planning, policing and procedures, organizational evaluations, and increased transparency.

Climate and culture

Changing the climate and culture means supporting a proactive orientation that values systematic problem solving and partnerships. Formal organizational changes should support the informal networks and communication that take place within agencies to support this orientation.

Leadership

Leaders serve as role models for taking risks and building collaborative relationships to implement community policing and they use their position to influence and educate others about it. Leaders, therefore, must constantly emphasize and reinforce community policing's vision, values, and mission within their organization and support and articulate a commitment to community policing as the dominant way of doing business.

Labor relations

If community policing is going to be effective, police unions and similar forms of organized labor must be a part of the process and function as partners in the adoption of the community policing philosophy. Including labor groups in agency changes can ensure support for the changes that are imperative to community policing implementation.

Decision-making

Community policing calls for decentralization both in command structure and decision-making. Decentralized decision-making allows front-line officers to take responsibility for their role in

community policing. When an officer is able to create solutions to problems and take risks, he or she ultimately feels accountable for those solutions and assumes a greater responsibility for the well-being of the community. Decentralized decision-making involves flattening the hierarchy of the agency, increasing tolerance for risk-taking in problem-solving efforts, and allowing officers discretion in handling calls. In addition, providing sufficient authority to coordinate various resources to attack a problem and allowing the officers the autonomy to establish relationships with the community will help define problems and develop possible solutions.

Strategic planning

The department should have a written statement reflecting a department-wide commitment to community policing and a plan that matches operational needs to available resources and expertise. If a strategic plan is to have value, the members of the organization should be well-versed in it and be able to give examples of their efforts that support the plan. Components such as the organization's mission and value statement should be simple and communicated widely. Everything should connect back to it.

Policies

Community policing affects the nature and development of department policies and procedures to ensure that community policing principles and practices have an effect on activities on the street. Problem solving and partnerships, therefore, should become institutionalized in policies, along with corresponding sets of procedures, where appropriate.

Organizational evaluations

In addition to the typical measures of police performance (arrests, response times, tickets issued, and crime rates) community policing calls for a broadening of police outcome measures to include such things as community satisfaction, less fear of crime, the alleviation of problems, and improvement in quality of life. Community policing calls for a more sophisticated approach to evaluation—one that looks at how feedback information is used, not only how it measures outcomes.

Transparency

Community policing involves decision-making processes that are more open than traditional policing. If the community is to be a full partner, the department needs mechanisms for readily sharing relevant information on crime and social disorder problems and police operations with the community.

Organizational Structure

It is important that the organizational structure of the agency ensures that local patrol officers have decision-making authority and are accountable for their actions. This can be achieved through long-term assignments, the development of officers who are "generalists," and using special units appropriately.

Geographic assignment of officers

With community policing, there is a shift to the long-term assignment of officers to specific neighborhoods or areas. Geographic deployment plans can help enhance customer service and facilitate more contact between police and citizens, thus establishing a strong relationship and mutual accountability. Beat boundaries should correspond to neighborhood boundaries and other government services should recognize these boundaries when coordinating government public-service activities.

Despecialization

To achieve community policing goals, officers have to be able to handle multiple responsibilities and take a team approach to collaborative problem solving and partnering with the community. Community policing encourages its adoption agency-wide, not just by special units, although there may be a need for some specialist units that are tasked with identifying and solving particularly complex problems or managing complex partnerships.

Resources and finances

Agencies have to devote the necessary human and financial resources to support community policing to ensure that problem-solving efforts are robust and that partnerships are sustained and effective.

Personnel

The principles of community policing need to be infused throughout the entire personnel system of an agency including recruitment, hiring, selection, and retention of all law enforcement agency staff, including sworn officers, nonsworn officers, civilians, and volunteers, as well as personnel evaluations, supervision, and training.

Recruitment, hiring, and selection

Agencies need a systematic means of incorporating community policing elements into their recruitment, selection, and hiring processes. Job descriptions should recognize community policing and problem-solving responsibilities and encourage the recruitment of officers who have a "spirit of service," instead of only a "spirit of adventure." A community policing agency also has to thoughtfully examine where it is seeking recruits, whom it is

recruiting and hiring, and what is being tested. Some community policing agencies also look for involvement of the community in this process through the identification of competencies and participation in review boards.

Personnel supervision/evaluations

Supervisors must tie performance evaluations to community policing principles and activities that are incorporated into job descriptions. Performance, reward, and promotional structures should support sound problem-solving activities, proactive policing and community collaboration, and citizen satisfaction with police services.

Training

Training at all levels—academy, field, and in-service—must support community policing principles and tactics. It also needs to encourage creative thinking, a proactive orientation, communication and analytical skills, and techniques for dealing with quality-of-life concerns and maintaining order. Officers can be trained to identify and correct conditions that could lead to crime, raise public awareness, and engage the community in finding solutions to problems. Field training officers and supervisors need to learn how to encourage problem solving and help officers learn from other problem-solving initiatives. Until community policing is institutionalized in the organization, training in its fundamental principles will need to take place regularly.

Information Systems (Technology)

Community policing is information-intensive and technology plays a central role in helping to provide ready access to quality information. Accurate and timely information makes problem-solving efforts more effective and ensures that officers are informed about the crime and community conditions of their beat. In addition, technological enhancements can greatly assist with improving two-way communication with citizens and in developing agency accountability systems and performance outcome measures.

Communication/access to data

Technology provides agencies with an important forum by which to communicate externally with the public and internally with their own staff. To communicate with the public, community policing encourages agencies to develop two-way communication systems through the Internet to provide online reports, reverse 911 and e-mail alerts, discussion forums, and feedback on interactive applications (surveys, maps), thereby creating ongoing dialogs and increasing transparency.

Technology encourages effective internal communication through memoranda, reports, newsletters, e-mail and enhanced incident reporting, dispatch functions, and communications interoperability with other entities for more efficient operations. Community policing also encourages the use of technology to develop

accountability and performance measurement systems that are timely and contain accurate metrics and a broad array of measures and information.

Community policing encourages the use of technology to provide officers with ready access to timely information on crime and community characteristics within their beats, either through laptop computers in their patrol cars or through personal data devices. In addition, technology can support crime/problem analysis functions by enabling agencies to gather information about the greater aspects of events including more detailed information about offenders, victims, crime locations, and quality-of-life concerns, and to further enhance analysis.

Quality and accuracy of data

Information is only as good as its source and, therefore, it is not useful if it is of questionable quality and accuracy. Community policing encourages agencies to put safeguards in place to ensure that information from various sources is collected in a systematic fashion and entered into central systems that are linked to one another and checked for accuracy so that it can be used effectively for strategic planning, problem solving, and performance measurement.

Problem Solving

The process of engaging in the proactive and systematic examination of identified problems to develop and rigorously evaluate effective responses.

Community policing emphasizes proactive problem solving in a systematic and routine fashion. Rather than responding to crime only after it occurs, community policing encourages agencies to proactively develop solutions to the immediate underlying conditions contributing to public safety problems. Problem solving must be infused into all police operations and guide decision-making efforts. Agencies are encouraged to think innovatively about their responses and view making arrests as only one of a wide array of potential responses. A major conceptual vehicle for helping officers to think about problem solving in a structured and disciplined way is the SARA (Scanning, Analysis, Response and Assessment) problem-solving model.

Scanning: Identifying and prioritizing problems

The objectives of scanning are to identify a basic problem, determine the nature of that problem, determine the scope of seriousness of the problem, and establish baseline measures. An inclusive list of stakeholders for the selected problem is typically identified in this phase. A problem can be thought of as two or more incidents similar in one or more ways and that is of concern to the police and the community. Problems can be a type of behavior, a place, a person or persons, a special event or time, or a combination of any of these. The police, with input from the community, should identify and prioritize concerns.

Analysis: Researching what is known about the problem

Analysis is the heart of the problem-solving process. The objectives of analysis are to develop an understanding of the dynamics of the problem, develop an understanding of the limits of current responses, establish correlation, and develop an understanding of cause and effect. As part of the analysis phase, it is important to find out as much as possible about each aspect of the crime triangle by asking Who?, What?, When?, Where?, How?, Why?, and Why Not? about the victim, offender, and crime location.

Response: Developing solutions to bring about lasting reductions in the number and extent of problems

The response phase of the SARA model involves developing and implementing strategies to address an identified problem by searching for strategic responses that are both broad and uninhibited. The response should follow logically from the knowledge learned during the analysis and should be tailored to the specific problem. The goals of the response can range from either totally eliminating the problem, substantially reducing the problem, reducing the amount of harm caused by the problem, or improving the quality of community cohesion.

Assessment: Evaluating the success of the responses

Assessment attempts to determine if the response strategies were successful by determining if the problem declined and if the response contributed to the decline. This information not only assists the current effort but also gathers data that build knowledge for the future. Strategies and programs can be assessed for process, outcomes, or both. If the responses implemented are not effective, the information gathered during analysis should be reviewed. New information may have to be collected before new solutions can be developed and tested. The entire process should be viewed as circular rather than linear.

Using the crime triangle to focus on immediate conditions (victim/offender/location)

To understand a problem, many problem solvers have found it useful to visualize links among the victim, offender, and location (the crime triangle) and those aspects that could have an impact on them, for example, capable guardians for victims, handlers for offenders, and managers for locations. Rather than focusing primarily on addressing the root causes of a problem, the police focus on the factors that are within their reach, such as limiting criminal opportunities and access to victims, increasing guardianship, and associating risk with unwanted behavior.
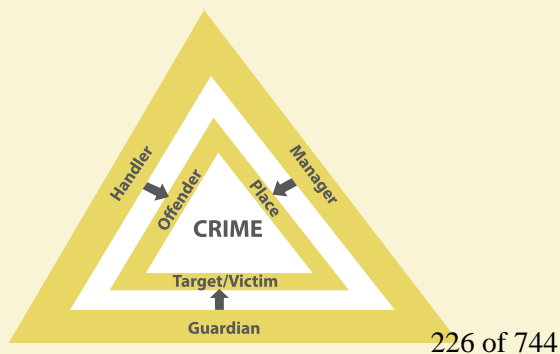
Problem Analysis Triangle. (Clarke and Eck, 2003)

Notes

Efficiency & Effectiveness

- **EFFICIENCY –**
  Doing things RIGHT.

- **EFFECTIVENESS –**
  Doing the RIGHT things.

> Ideally, both efficiency and effectiveness are present in policing.

New Ides for Old Problems

- Lose the "cuff'em and stuff'em" attitude
- Address the root cause or proximate cause, not the symptom
- Is the REAL problem what is listed as the arrest title or the title on the offense report?
- What alternative solutions can be derived?

"A problem well stated is a problem half solved"

The Challenge of Problem Solving

Organizational Impediments:

- Resistance to change
- Dependent on outside Agency Cooperation
- Lack of Internal Organizational Support

Community policing is a philosophy that promotes organizational strategies, which support the systematic use of partnerships and problem-solving techniques, to proactively address the immediate conditions that give rise to public safety issues such as crime, social disorder, and fear of crime.

Community policing is comprised of three key components:

1. Community Partnerships
Collaborative partnerships between the law enforcement agency and the individuals and organizations they serve to develop solutions to problems and increase trust in police.

- o Other Government Agencies
- o Community Members/Groups
- o Nonprofits/Service Providers
- o Private Businesses
- o Media

2. Organizational Transformation
The alignment of organizational management, structure, personnel, and information systems to support community partnerships and proactive problem solving.

Agency Management

- o Climate and culture
- o Leadership
- o Labor relations
- o Decision-making
- o Strategic planning
- o Policies
- o Organizational evaluations
- o Transparency
- o Organizational Structure

Geographic assignment of officers

- o Despecialization
- o Resources and finances

Personnel

- o Recruitment, hiring, and selection
- o Personnel supervision/evaluations
- o Training

Information Systems (Technology)

- o Communication/access to data
- o Quality and accuracy of data

3. Problem Solving
The process of engaging in the proactive and systematic examination of identified problems to develop and rigorously evaluate effective responses.

- o **Scanning:** Identifying and prioritizing problems
- o **Analysis:** Researching what is known about the problem
- o **Response:** Developing solutions to bring about lasting reductions in the number and extent of problems
- o **Assessment:** Evaluating the success of the responses
- o Using the **crime triangle** to focus on immediate conditions (victim/offender/location)

Community Policing: Principles and Elements by Gary Gordner

Community policing has its roots in such earlier developments as police-community relations, team policing, crime prevention, and the rediscovery of foot patrol. In the 1990s it has expanded to become the dominant strategy of policing – so much that the 100,000 new police officers funded by the 1994 Crime Bill must be engaged in community policing.

Community policing (COP) is often misunderstood. Four essential principles should be recognized:

- **COP is not a panacea.** It is not the answer to all the problems facing any one department. However, COP is an answer to some of the problems facing modern policing and it may be an answer to some of the problems facing any one department.
- **COP is not totally new.** Some police departments or individual police officers report that they are already doing it, or even that they have always practiced COP. This may be true. Even so, there are some specific aspects of community policing that are relatively new; also, very few agencies can claim that they have fully adopted the entire gamut of COP department-wide.
- **COP is not "hug a thug."** It is not anti-law enforcement or anti-crime fighting. It does not seek to turn police work into social work. In fact, COP is more serious about reducing crime and disorder than the superficial brand of incident-oriented "911 policing" that most departments have been doing for the past few decades.
- **COP is not a cookbook.** There is no ironclad precise definition of community policing nor a set of specific activities that must always be included. A set of universally applicable principles and elements can be identified, but exactly how they are implemented should and must vary from place to place, because jurisdictions and police agencies have differing needs and circumstances. In order to describe the full breadth of community policing, it is helpful to identify four major dimensions of COP and the most common elements occurring within each. The four dimensions are:
  - The Philosophical Dimension
  - The Strategic Dimension
  - The Tactical Dimension
  - The Organizational Dimension

The Philosophical Dimension
Many of its most thoughtful and forceful advocates emphasize the community policing is a new philosophy of policing, perhaps constituting even a paradigm shift away from professional-model policing and not just a particular program or specialized activity. The philosophical dimension includes the central ideas and beliefs

underlying community policing. Three of the most important of these are citizen input, broad function, and personal service.

(1) **Citizen Input** – Community policing incorporates a firm commitment to the value and necessity of *citizen input* to police policies and priorities. In a free and democratic society, citizens are supposed to have a say in how they are governed. Police departments, like other agencies of government, are supposed to be responsive and accountable. Also, from a more selfish standpoint, law enforcement agencies are most likely to obtain the citizen support and cooperation they need when they display interest in input from citizens.

A few of the techniques utilized to enhance citizen input are:

- *Agency Advisory Boards* – groups of citizens who meet regularly with the chief/sheriff and other top commanders to provide input and advice on overall agency policies, priorities, and issues.
- *Unit Advisory Boards* – groups of citizens who meet regularly with unit commanders and related personnel to provide input and advice on unit policies, priorities, and issues (e.g. precinct advisory boards, victim/witness advisory councils, family abuse advisory boards, etc.).
- *Beat Advisory Boards* – groups of citizens who meet regularly with their beat officer or beat team to provide input and advice about priorities and issues.
- *Special Advisory Boards* – groups of citizens with special interests who meet regularly with the chief/sheriff, top commanders, or related personnel to provide input and advice on policies, priorities, and issues related to their special interests (e.g. ministry alliance, business council, mental health council, etc.).
- *Community Surveys* – surveys conducted in various ways (telephone, mail, in-person, in the newspaper, etc.) to obtain citizen views on policies, priorities, and issues.
- *Electronic Mail/Home Page* – use of the Internet, on-line services, computer bulletin boards, etc., to obtain citizen views on policies, priorities and issues.
- *Radio/Television Call-In Shows* – use of radio and TV call-in shows to obtain citizen views on policies, priorities and issues.
- *Town Meetings* – public meetings to which citizens are invited in order to provide input and advice on policies, priorities, and issues.

(2) **Broad Function** – COP recognizes policing as a *broad function*, not a narrow law enforcement or crime fighting role. The job of police officers is seen as working with residents to enhance neighborhood safety. This includes resolving conflicts, helping victims, preventing accidents, solving problems, and fighting fear as well as reducing crime through apprehension and enforcement. Policing is inherently a multi-faceted government function – arbitrarily narrowing it to just call-handling and law enforcement reduces its effectiveness in accomplishing the multiple objectives that the public expects police to achieve.

Some examples of the broad function of policing include:

- *Traffic Safety* – good police departments pursue traffic safety through education and engineering as well as selective enforcement.
- *Drug Abuse* – many agencies eek to reduce drug abuse through public education, DARE, regulation of prescriptions, and control of chemicals as well as through a   variety of enforcement efforts.
- *Fear Reduction* – many agencies attempt to reduce fear of crime (especially when it is out of proportion to actual risk) through public education, high-interaction patrol, problem solving, and enforcement focused on nuisance crimes (e.g., panhandling and loitering).
- *Domestic Violence* – most police departments now offer domestic violence victims an array of services (referral, transportation, protection, probable cause arrest, etc.) rather than merely explaining how to obtain an arrest warrant.
- *Zoning* – some agencies take the opportunity to participate in zoning decisions and related matters (e.g., issuance of building permits) in order to offer input related to traffic safety, crime prevention, etc.

(3) **Personal Service** – Community policing emphasizes *personal service* to the public, not bureaucratic behavior. This is designed to overcome one of the most common complaints that the public has about government employees, including police officers – that they do not seem to care, and that they treat citizens as numbers, not real people. Of course, not every police-citizen encounter can be amicable and friendly. But whenever possible, officers should deal with citizens in a friendly, open, and personal manner designed to turn them into satisfied customers. This can be best done by eliminating as many artificial bureaucratic barriers as possible, so that citizens can deal directly with "their" officer.

A few of the methods that have been adopted in order to implement personalized service are:

- *Officer Business Cards* – officers are provided personalized business cards to distribute to victims, complainants, and other citizens with whom they have contact.
- *Officer Pagers and Voice Mail* – officers have their own pagers and voice mail so that victims, complainants, and other citizens can contact them directly.
- *Recontact Procedures* – all or a subset of victims, complainants, and others are recontacted by the officer who handled their situation, the officer's supervisor, or some other staff member (e.g., a volunteer) to see if further assistance is needed.
- *Slogans and Symbols* – many departments adopt slogans, mission statements, value statements, and other devices designed to reinforce the importance of providing personalized service to the public.

The Strategic Dimension

The strategic dimension of community policing includes the key operational concepts that translate philosophy into action. These strategic concepts are the links between the broad ideas and beliefs that underlie community policing and the specific programs and practices by which it is implemented. They assure that agency policies, priorities, and resource allocation are consistent with the COP philosophy.

Three important strategic elements are re-oriented operations, prevention emphasis, and geographic focus.

(1) **Re-Oriented Operations** – Community policing recommends re-oriented operations, with less reliance on the patrol car and more emphasis on face-to-face interactions. One objective is to replace in effective or isolating operational practices (e.g., motorized patrol and rapid response to low priority calls) with more effective and more interactive practices. A related objective is to find ways of performing necessary traditional functions (e.g., handling emergency calls and conducting follow-up investigations) more efficiently, in order to save time and resources that can then be devoted to more community-oriented activities.

Some illustrations of re-oriented operations include:

- *Foot Patrol* – where appropriate, many agencies have instituted foot patrol to supplement or even replace motorized patrol.
- *Other Modes of Patrol* – many agencies have adopted other modes of patrol, such as bicycle patrol, scooter patrol, dirt bike patrol, and horse patrol.
- *Walk and Ride* – many agencies require officers engaged in motorized patrol to park their cars periodically and engage in foot patrol in shopping centers, malls, business districts, parks, and residential areas.
- *Directed Patrol* – many agencies give motorized patrol officers specific assignments (sometimes called "D-runs") to carry out during time periods when they are not busy handling calls.
- *Differential Patrol* – many agencies have adopted differential responses (e.g., delayed response, telephone reporting, walk-in reporting) tailored to the needs of different types of calls, instead of dispatching a marked unit to the scene of every call for service.
- *Case Screening* – many agencies have adopted different investigative responses (e.g., no follow-up, follow-up by patrol, follow-up by detectives) tailored to meet the needs of different types of criminal and non-criminal cases, instead of assigning every case to a detective.

(2) **Prevention Emphasis** – Community policing tries to implement a *prevention emphasis*, based on the common sense idea that although citizens appreciate and value rapid response, reactive investigations, and apprehension of wrongdoers, they would always prefer that their victimizations be prevented in the first place. Most modern police departments devote some resources to crime prevention, in the form of a specialist officer or unit. COP attempts to go farther by emphasizing that prevention is a big part of every officer's job.

A few of the approaches to focusing on prevention that departments have adopted are:

- *Situational Crime Prevention* – the most promising general approach to crime prevention is to tailor specific preventive measures to each situation's specific characteristics.
- *CPTED* – one set of measures used by many departments is CPTED (Crime Prevention Through Environmental Design), which focuses on the physical characteristics of locations that make them conducive to crime.
- *Community Crime Prevention* – many departments now work closely with individual residents and with groups of residents (e.g., block watch) in a cooperative manner to prevent crime.
- *Youth-Oriented Prevention* – many departments have implemented programs or collaborated with others to provide programs designed to prevent youth crime (e.g., recreation, tutoring, and mentoring programs).
- *Business Crime Prevention* – many departments work closely with businesses to recommend personnel practices, retail procedures, and other security measures designed to prevent crime.

(3) **Geographic Focus** – Community policing adopts a geographic focus to establish stronger bonds between officers and neighborhoods in order to increase mutual recognition, identification, responsibility, and accountability. Although most police departments have long assigned patrol officers to beats, the officers' accountability has usually be temporal (for their shift) rather than geographic.

More specialized personnel within law enforcement agencies have been accountable for performing their functions but not for any geographic areas. By its very name, however, community policing implies an emphasis on places more so than on times or functions.

Some of the methods by which COP attempts to emphasize geography are as follows:

- *Permanent Beat Assignment* – patrol officers are assigned to geographic beats for extended periods of time, instead of being rotated frequently.
- *Lead Officers* – since several different officers will be assigned to a beat across 24 hours a day, 7 days a week, often one officer is designated as the lead officer responsible for problem identification and coordination of the efforts of all the officers.
- *Beat Teams* – the basic building block for patrol can be the beat team (all the officers who work in a particular beat) rather than the temporal squad or shift.
- *Cop-of-the-Block* – the beat can be sub-divided into smaller areas of individual accountability, so that every patrol officer has general responsibility for a beat and special responsibility for smaller areas.
- *Area Commanders* – middle-level managers (typically lieutenants) can be given responsibility for geographic areas consisting of several beats, instead of being shift or squad commanders.
- *Mini-Stations* – each beat or combination of beats can have its own facility (mini-station, sub-station, or storefront) to give it additional geographic focus for officers and area residents.
- *Area Specialists* – some detectives and other specialists can be assigned to geographic areas instead of to narrow sub-specialties (e.g., a detective handles all, or at least most, of the crime occurring in a particular neighborhood, instead of handling car thefts from all over the jurisdiction).

The Tactical Dimension
The tactical dimension of community policing ultimately translates ideas, philosophies, and strategies into concrete programs, tactics, and behaviors. Even those who insist that "community policing is a philosophy, not a

program" must concede that unless community policing eventually leads to some action, some new or different behavior, it is all rhetoric and no reality. Indeed, many commentators have taken the view that community policing is little more than a new police marketing strategy that has left the core elements of the police role untouched. Three of the most important tactical elements of community policing are positive interaction, partnerships, and problem solving.

(1) **Positive Interaction** – Policing inevitably involves some negative contacts between officers and citizens – arrests, tickets, stops for suspicion, orders to desist, inability to make things much better for victims, etc. Community policing recognizes this fact and recommends that officers offset it as much as they can by engaging in positive interactions whenever possible. Positive interactions have several benefits, of course: they generally build familiarity, trust and confidence on both sides; they remind officers that most citizens respect and support them; they make the officer more knowledgeable about people and conditions in the beat; they provide specific information for criminal investigations and problem solving; and they break up the monotony of motorized patrol.

Some methods for engaging in positive interaction include:

- *Routine Call Handling* – officers can take the time to engage in more positive interaction in the course of handling calls, instead of rushing to clear calls in order to return to motorized patrol.
- *Meetings* – officers can take every opportunity to attend neighborhood meetings, block watch meetings, civic club meetings, etc.; these can yield productive non- enforcement interactions with a wide spectrum of the community.
- *School-Based Policing* – officers who take the trouble to go into the schools get many opportunities to interact positively with youth, not to mention teachers and other school staff.
- *Interactive Patrol* – too many officers patrol primarily by watching what goes on in public spaces; officers should stop and talk with more people so that their patrolling relies more on interacting than on watching.

(2) **Partnerships** – Community policing stresses the importance of active *partnerships* between police, other agencies, and citizens, in which all parties really work together to identify and solve problems. Citizens can take a greater role in public safety than has been typical over the past few decades, and other public and private agencies can leverage their own resources and authority toward the solution of public safety problems. Obviously, there are some legal and safety limitations on how extensive a role citizens can play in "co-producing" public safety. Just as obviously, it is a mistake for the police to try to assume the entire burden for controlling crime and disorder.

- *Citizen Patrols* – in many jurisdictions citizens actively patrol their neighborhoods, usually in cooperation with the police and often in radio or cellular phone communication with police dispatch.
- *Citizen Police Academies* – many departments now operate citizen police academies, typically held in the evenings, that inform interested citizens about the police department and often prepare them for roles as volunteers or citizen patrols.
- *Volunteers* – many departments utilize volunteers, auxiliaries, and reserves in a variety of sworn and non-sworn roles.
- *Schools* – many police departments today work much more closely with schools than in the past, not just with DARE programs but also with school resource officers, truancy programs, etc.
- *Code Enforcement* – many of the problem locations that police deal with are susceptible to code enforcement for various building and safety violations.
- *Nuisance Abatement* – some locations have such a multitude and history of criminal and civil law violations that procedures can be followed to close them down, demolish them, and/or forfeit their ownership to the government.
- *Landlords & Tenants* – many police departments work closely with apartment managers, public housing managers, tenant associations, and similar groups in order to improve leasing practices and prevent problems in rental properties.

(3) **Problem Solving** – Community policing urges the adoption of a *problem solving* orientation toward policing, as opposed to the incident-oriented approach that has tended to prevail in conjunction with the professional model. Naturally, emergency calls must still be handled right away, and officers will still spend much of their time handling individual incidents. Whenever possible, however, officers should search for the underlying conditions that give rise to single and multiple incidents. When such conditions are identified, officers should try to affect them as a means of controlling and preventing future incidents. Basically, officers should strive to have more substantive and meaningful impact than occurs from 15-minute treatments of individual calls for service.

Some of the more promising approaches to problem solving include:

- *The SARA Process* – many departments use the SARA model (scanning, analysis, response, assessment) as a guide to the problem solving process for all kinds of crime and noncrime problems.
- *Guardians* – when searching for solutions to problems, it is often helpful to identify so-called guardians, who are people who have an incentive or the opportunity to help rectify the problem (e.g., landlords, school principals, etc.).
- *Beat Meetings* – some departments utilize meetings between neighborhood residents and their beat officers to identify problems, analyze them, and brainstorm possible solutions.
- *Hot Spots* – many departments analyze their calls for service to identify locations that have disproportionate numbers of calls and then do problem solving to try to lower the call volume in those places.
- *Multi-Agency Teams* – some jurisdictions use problem solving teams comprised not just of police, but also of representatives of other agencies (public works, sanitation, parks and recreation, code enforcement, etc.) so that an array of information and resources can be brought to bear once problems are identified.

The Organizational Dimension

It is important to recognize an Organizational Dimension that surrounds community policing and greatly affects its implementation. In order to support and facilitate community policing, police departments often consider a variety of changes in organization, administration, management, and supervision. The elements of the organizational dimension are not really part of community policing per se, but they are frequently crucial to its successful implementation. Three important organizational elements of COP are structure, management, and information.

(1) **Structure** – Community policing looks at various ways of restructuring police agencies in order to facilitate and support implementation of the philosophical, strategic, and tactical elements described above. Any organization's structure should correspond with its mission and the nature of the work performed by its members. Some aspects of traditional police organization structure seem more suited to routine bureaucratic work than to the discretion and creativity required for COP.

The types of restructuring associated with community policing include:

- *Decentralization* – authority and responsibility can sometimes be delegated more widely so that commanders, supervisors, and officers can act more independently and be more responsive.
- *Flattening* – the number of layers of hierarchy in the police organization can sometimes be reduced in order to improve communications and reduce waste, rigidity and bureaucracy.
- *De-specialization* – the number of specialized units and personnel can sometimes be reduced with more resources devoted to the direct delivery of police services (including COP) to the general public.
- *Teams* – efficiency and effectiveness can sometimes be improved by getting employees working together as teams to perform work, solve problems, or look for ways of improving quality.

- *Civilianization* – positions currently held by sworn personnel can sometimes be reclassified or redesigned for non-sworn personnel, allowing both cost savings and better utilization of   sworn personnel.

(2) **Management** – Community policing is often association with styles of leadership, management, and supervision that give more emphasis to organizational culture and values and less emphasis to written rules and formal discipline. The general argument is that when employees are guided by a set of officially sanctioned values they will usually make good decisions and take appropriate actions. Although many formal rules will still probably be necessary, managers will need to resort to them much less often in order to maintain control over subordinates.

Management practices consistent with this emphasis on organizational culture and values include:

Mission – agencies should develop concise statements of their mission and values and use them consistently in making decisions, guiding employees, and training new recruits.

- *Strategic Planning* – agencies should engage in continuous strategic planning aimed at ensuring that resources and energy are focused on mission accomplishment and adherence to core values; otherwise organizations tend to get off track, confused about their mission and about what really matters.
- *Coaching* – supervisors should coach and guide their subordinates more, instead of restricting their roles to review of paperwork and enforcement of rules and regulations.
- *Mentoring* – young employees need mentoring from managers, supervisors, and/or peers – not just to learn how to do their job right but also to learn what constitutes the right job; in other words, to learn about ethics and values and what it means to be a good police officer.
- *Empowerment* – under COP, employees are encouraged to be risk takers who demonstrate imagination and creativity in their work – this kind of empowerment can only succeed, however, when employees are thoroughly familiar with the organization's core values and firmly committed to them.
- *Selective Discipline* – in their disciplinary processes, agencies should make distinctions between intentional and unintentional errors made by employees and between employee actions that violate core values versus those that merely violate technical rules.

(3) **Information** – Doing community policing and managing it effectively require certain types of information that have not traditionally been available in all police departments. In the never-ending quality vs. quantity debate, for example, community policing tends to emphasize quality. This emphasis on quality shows up in many areas; avoidance of traditional bean-counting (arrests, tickets) to measure success, more concern for how well calls are handled than merely for how quickly they are handled, etc. Also, the geographic focus of community policing increases the need for detailed information based on neighborhoods as the unit of analysis. The emphasis on problem solving highlights the need for information systems that aid in identifying and analyzing a variety of community-level problems. And so on.

Several aspects of police administration under COP that have implications for information are:

- *Performance Appraisal* – individual officers can be evaluated on the quality of the their community policing and problem solving activities, and perhaps on results achieved, instead of on traditional performance indicators (tickets, arrests, calls handled, etc.).
- *Program Evaluation* – police programs and strategies can be evaluated more on the basis of their effectiveness (outcomes, results, quality) than just on their efficiency (effort, outputs, quantity).
- *Departmental Assessment* – the police agency's overall performance can be measured and assessed on the basis of a wide variety of indicators (including customer satisfaction, fear levels, problem solving, etc.) instead of a narrow band of traditional indicators (reported crime, response time, etc.).
- *Information Systems* – an agency's information systems need to collect and produce information on the whole range of the police function, not just on enforcement and   call-handling activities, in order to support more quality- oriented appraisal, evaluation and assessment efforts.

- *Crime Analysis* – individual officers need more timely and complete crime analysis information pertaining to their specific geographic areas of responsibility to facilitate problem identification, analysis, fear reduction, etc.
- *Geographic Information Systems (GIS)* – sophisticated and user friendly computerized mapping software available today makes it possible for officers and citizens to obtain customized maps that geographically identify "hot spots" and help them more easily picture the geographic locations and distribution of crime related problems.

COMMUNITY POLICING CHECKLIST

How does your department measure up?

Apply this checklist to your department periodically to gauge your progress in maximizing community policing:

Vision/Values/Mission
- Has the organization written or revised these statements to reflect an organization-wide commitment to the philosophy and principles of community policing?
- Does the process include soliciting input from all levels of the police department, including sworn, non-sworn, and civilian personnel?
- Does the process include soliciting input from outside the police department: the community, business, civic officials, public agencies, community institutions (schools, hospitals, the faith community), non-profit agencies, formal and informal community leaders, and community residents?

Code of Ethics
- Has the organization written or revised a Code of Ethics that reflects the principles of community policing?
- Does producing a new Code of Ethics encourage input from inside and outside the organization?
- Does the Code of Ethics discuss issues such as civility, courtesy, respect for civil rights (including the right to privacy), and sensitivity to diversity?

Leadership & Management Style
- Does the department support and exhibit leadership at all levels in implementing, institutionalizing, and maintaining the momentum of community policing? Does the department empower the community to support and exhibit leadership in this regard?
- Does the implementation plan reflect inverting the power pyramid, shifting power, authority, and responsibility to line-level?
- Do managers serve as facilitators who access resources from inside and outside the department in service of community building and problem solving?
- Do managers act as models for the behavior that they want others to follow? Does this include demonstrating sensitivity to diversity?
- Do managers act as coaches who inspire and instruct?
- Do managers act as mentors who guide and support?
- Does the internal management style exhibit a striving for collaboration and consensus?
- Does the department have a mechanism to prevent, identify, and deal with burnout?

Role of Chief Executives
- How does the chief executive exhibit leadership internally and externally for the commitment to and changes required by implementing community policing?
- Does the CEO understand and accept the depth of change and the time required to implement community policing, as framed by the principles of community policing?
- Does the CEO practice the philosophy of community policing by collaborating with others in the department?

- Has the CEO succeeded in assembling and educating a management team committed to translating the new vision into action?
- Is the CEO a consistent internal and external advocate for community policing? Is he or she ready with the "stump speech" and success stories for any group or occasion?
- How does the CEO express commitment to risk-taking within the organization?
- What kinds of leadership does the CEO provide in support of community building and community-based problem solving?
- How will the CEO deal with the internal resistance/backlash, particularly from middle managers, first-line supervisors, and others who perceive community policing as a rejection of the prevailing police culture?
- How can the CEO cut red tape and remove bureaucratic obstacles that stifle creativity?
- How does the CEO express openness to new ideas from all levels of the organization, including line-level personnel?
- Does the CEO back those who make well-intentioned mistakes?
- Does the CEO jump the chain of command on occasion to reinforce the commitment to community policing within the organization?
- How has the CEO committed the organization to deal with the small percentage of "bad apples" whose actions can undermine the trust of the community?
- How will the CEO deal with marginal employees who are unwilling or unable to translate the community policing practice into the hard and risky work of effecting real change?

Role of Top Command
- How does top command exhibit leadership internally and externally for the commitment to and changes required by implementing community policing?
- How does top command express the philosophy and 10 principles in their work - leading by example?
- How will they translate the vision into practice? How will that planning process model community building and problem solving internally?
- How will top command plan for dealing with the internal resistance?
- Does top command cut red tape and remove bureaucratic obstacles that stifle creativity?
- How does top command create a structure to allow new ideas from all levels of the organization, including line-level personnel, to bubble up to the top?
- Does top command back those who make well-intentioned mistakes?
- Does top command jump the chain of command on occasion to reinforce the commitment to community policing within the organization?
- How has top command operationalized and institutionalized zero-tolerance for abuse of authority and excessive force?
- How does top command deal with marginal employees who are unwilling or unable to translate the community policing practice into the hard and risky work of effecting real change?

Role of Middle Management & First-Line Supervisors
- How do middle management and first-line supervisors exhibit leadership internally and externally for the commitment to and changes required by implementing community policing?
- How do middle management and first-line supervisors express the philosophy and 10 principles in their work -- leading by example?
- Are middle management and first-line supervisors as supporting the organization's transition to community policing?
- How do middle managers and first-line supervisors practice the principles of community policing internally within the organization?

- Are middle managers and first-line supervisors encouraged and supported for cutting red tape and removing barriers that inhibit implementing community policing as outlined in the community policing principles?
- Are middle management and first-line supervisors open to communication, ideas, and decision-making at all levels of the organization?
- Are middle managers and first-line supervisors given the autonomy to innovate?
- How do middle managers and first-line supervisors express their roles as facilitators, models, coaches, and mentors?
- How does the organization support their efforts at innovation, including support if well-intentioned efforts fail?
- How does the organization support middle managers and first-line supervisors who are attempting to redefine success in terms of positive, qualitative change achieved in the community?
- How does the organization address their typical concerns that the transition to community policing threatens to reduce their power and authority? (This may become a reality in organizations that "flatten" during the change to decentralization.)

Role of Line Officers
- How do line officers exhibit leadership internally and externally for the commitment to and changes required by implementing community policing?
- How do line officers express the philosophy and 10 principles in their work?
- Do line-level officers engage in community building and problem solving in their work? Are they given the time, freedom, autonomy, and opportunity to do so?
- Do line-level officers receive support from management in carrying out their commitment to community policing?
- How do ideas from line level move upward within the organization?
- Has the job really changed?

Role of Non-Sworn and Civilian Personnel
- How do non-sworn and civilian personnel exhibit leadership internally and externally for the commitment to and changes required by implementing community policing?
- How do non-sworn and civilian personnel express the philosophy and 10 principles in their work?
- Do non-sworn and civilian personnel engage in community building and problem solving within the scope of their work? Are they given the freedom, autonomy, and opportunity to do so?
- Do non-sworn and civilian personnel receive support from management in carrying out their commitment to community policing?
- How do ideas from line level move upward within the organization?
- Has the job really changed?

Information Management
- Does the organization have systems to collect, analyze, and share relevant information on problems in the community internally (among all levels of the organization, including sworn, non-sworn, and civilian personnel) and externally (with the broader community)?
- Does the organization gather and analyze information on social and physical disorder and quality-of-life concerns in addition to crime data? Is the information analyzed in terms of geographic area?
- Are data and analysis provided in their most useful forms?
- Are there formal and informal opportunities for information gathered at the line level to "bubble up" to the top within the organization? Is there a two-way flow of information?
- Are there formal and informal opportunities for officers assigned permanently in beats to share information with other patrol officers who patrol the same areas? Are such opportunities encouraged at all levels?

- Has the organization developed a means of capturing and documenting (tracking) problems solved in neighborhood areas including solutions that do not involve arrest?
- Does the management style support exhibiting greater sensitivity to issues of diversity within the department?
- Is the department taking full advantage of new technologies, such as the Internet and the World Wide Web, to interact with the community?

Planning/Evaluation
- Has the organization devoted sufficient time and resources to make the most of strategic planning to implement community policing?
- What mechanisms are employed to solicit input from inside and outside the organization to ensure input from line-level police personnel and community residents?
- Does the strategic planning process itself provide opportunities to begin building new partnerships?
- Does the strategic planning process itself provide opportunities to empower line-level personnel?
- As a "reality check," can the participants involved in planning clearly describe what the plan is designed to achieve?
- How does the organization inject objectivity into the process, as a guarantee that the tough questions will be asked?
- Does the monitoring process include capturing qualitative as well as quantitative outcomes?
- Can the planning/program evaluation staff cross organizational lines and coordinate directly with management information system staff?
- Have program assessments changed to reflect the many different kinds of success, such as overall harm reduction?
- Is there a plan to keep modifying and "tweaking" the implementation plan? Is there a strategy to stay abreast of new opportunities and new problems?

Resources/Finances
- Have funding priorities been revised to reflect community policing's priorities?
- Has the department realistically analyzed its resource needs to implement community policing? Has the police agency clearly justified the need for additional resources?
- Are residents of the jurisdiction willing to pay more in taxes to obtain community policing?
- Has the police department fully explored local, state, and federal grants available for community policing?
- Has the police department fully explored private sources of funding (businesses, foundations, etc.)?
- Has the police department restructured and prioritized workload and services to free up patrol time for community policing? Has the department worked with the community on developing alternatives to traditional handling of calls for service?
- Has the police organization considered flattening the management hierarchy as a means of creating more patrol positions for community policing?
- Has the police organization considered despecializing (eliminating, reducing, or restructuring specialized units) as a means of creating more patrol positions for community policing?
- Has the police organization made the best possible use of civilians and volunteers as a means of freeing up patrol officer time for community policing?
- What mode of transportation is the best for officers doing community policing in different areas with different needs (e.g., patrol cars, scooters, bicycles, etc.)?
- Are officers outfitted with appropriate technology (e.g., cellular phones, pagers, answering machines/voice mail, FAX machines, laptop/notebook computers, access to computer network, etc.)?
- Do neighborhood-based officers require office space? Is free space available? What about furniture? What about utilities?

Recruiting

- Has the organization considered expanding its recruiting efforts to reach college students in non-traditional fields, such as education and social work, to educate them about how community policing might provide an appealing alternative?
- Has the organization succeeded in finding ways to attract women and minorities?
- Does recruiting literature explain the new demands required by a community policing approach? Does it also discuss job satisfaction?

Selection & Hiring

- Has the organization conducted a job-task analysis of the new "community policing" entry-level officer position and developed a new job description?
- Do individuals and groups inside and outside the department have opportunities for input in developing criteria for the selection process?
- Do selection criteria emphasize verbal and written communication skills, the ability to work closely with people from all walks of life, and interest in developing skills in conflict resolution and creative problem solving?
- Do civil service requirements reflect the principles of community policing?
- Are candidates directly informed about the expectations of officers involved in community policing?
- Is the screening process designed to weed out those who categorically reject the principles of community policing?

Training

- Do plans include the eventual training of everyone in the department, sworn, non-sworn, and civilian, in the philosophy, practice and principles of community policing?
- Do plans include building community policing into all training opportunities: recruit, field training, in-service, roll call, and management?
- Has the organization recently conducted a comprehensive training skills needs assessment to determine the actual knowledge, skills, and abilities needed to perform community policing as an officer?
- Does the organization provide new and existing line-level personnel sufficient skills training in communication, interpersonal relationships, conflict resolution, problem solving, and sensitivity to diversity?
- Do field training officers "practice" the principles of community policing so that recruits see how they are put into practice?
- Are middle managers and first-line supervisors trained concerning how their role changes in a community policing organization?
- Is there a system in place to capture suggestions and recommendations on training from individuals and groups inside and outside the department?
- Has the organization considered bringing culturally representative residents in to recruit training to work with recruits on "real life" problem-solving exercises?
- Does the department maintain a library of information on a wide range of topics that can broaden experience and understanding? Does the department provide opportunities for further learning through the Internet and the World Wide Web?

Performance Evaluation

- Are performance evaluations based on job descriptions that reflect the principles of community policing and that emphasize taking action to make a positive difference in the community as the yardstick for success?
- Did the process of developing performance evaluations reflect broad input from inside and outside the organization?
- Are performance evaluations written from the "customer's" point of view (the public who are the recipients of police service), rather than to serve the organization's bureaucratic needs?

- Do performance evaluations encourage risk-taking, by avoiding penalties for well-intentioned mistakes and by rewarding creativity?
- Do performance evaluations for managers and supervisors reflect the shift from "controller" to "facilitator", as well as the roles of model, coach, and mentor?
- Do performance evaluations for managers and supervisors reward efforts to delegate not only responsibility but authority?
- Do performance evaluations for managers and supervisors reward them for cutting red tape and removing bureaucratic obstacles that can stifle creativity?
- Do performance evaluations for managers and supervisors reward their efforts to secure resources for community building and community-based problem solving?
- Do performance evaluations for managers and supervisors reward them for developing collaborate partnerships with individuals and groups outside the organization?
- Do performance evaluations for managers and supervisors reward them for efforts to generate internal support for community policing?
- Do performance evaluations for managers and supervisors reward actions taken to reduce internal friction/backlash?
- Do performance evaluations for special units (e.g., detectives, traffic officers) reward members for initiating, participating in, and/or supporting community policing, specifically community building and community-based problem solving?
- Do performance evaluations for non-sworn and civilian personnel reward them for initiating, participating in, and/or supporting community policing, specifically community building and community-based problem solving?
- Do performance evaluations for patrol officers reward them for using their free patrol time to initiate community building and community-based problem solving?
- Do performance evaluations for officers' reward meeting the special needs of specific groups – women, the elderly, minorities, juveniles?
- Do performance evaluations for officers' reward sensitivity to diversity?
- Do performance evaluations for officers' reward developing and strengthening collaborative partnerships?
- Does the performance evaluation process allow the community opportunities for formal and informal input into the assessment?
- Do performance evaluations for officers reward them for initiating and maintaining community building and community-based problem solving initiatives? Creativity? Innovation? Risk-taking? Preventing problems?
- Do performance evaluations for officers gauge success on whether their efforts attempted to improve life in the community?

Promotions
- Did the development of promotional criteria include broad input from inside and outside the organization?
- Do promotional criteria reflect qualitative and well as quantitative measures?
- Do promotional exams, interviews, and oral boards require candidates to express their knowledge of and support for the philosophy and principles of community policing?
- Do civil service requirements reflect the philosophy and principles of community policing?
- Does the process allow one or more representatives from the community to sit on oral board panels?
- Does the promotional process result in managers and supervisors able and eager to make the transition from the "controller" to "facilitator" model? Does it produce managers who act as models, coaches, and facilitators?
- Do officers who work directly in the community receive credit in the promotional process for the skills and expertise acquired by serving in this capacity?

- Does the promotional process recognize that well-intentioned failures or mistakes should not necessarily be a minus? Just as a clean slate is not necessarily a plus if it is indicative of a rote and perfunctory performance?
- Are the right people being promoted?

Honors/Awards
- Does the formal and informal honors and awards process allow those who do an extraordinary job of community-based problem solving to be recognized for their efforts?

Discipline
- Has the organization adopted a determined leadership approach toward those whose behavior has the potential to undermine community policing?
- Does the organization provide formal and informal support for "whistleblowers" on this issue?
- Does the organization reject the excuse that trivial infractions do not warrant the time expended on paperwork required to enforce discipline?
- Is the community a partner in accountability?
- Has the department adopted a zero-tolerance approach to abuse of authority and use of excessive force?

Unions
- Are unions directly and immediately involved as partners in the planning process to implement community policing?
- How does the police organization plan to educate union representatives about the need to change some terms in the contract to implement community policing (e.g., providing officers greater autonomy and flexibility, assigning officers to permanent beats and work hours)?
- Should the union address the issue of whether community policing is implemented as a change for all patrol officers or as a specialized assignment?

Structuring the Delivery of Patrol Services
- The CEO must decide whether to deliver neighborhood level community policing with a generalist or specialist approach?
- Does the police organization prioritize calls to free up patrol time for community building and community-based problem solving by all patrol officers?
- Has the department involved the community in decisions about prioritizing calls for service? Are call takers and dispatchers trained with an acceptable protocol to explain to callers why they may have to wait for a response to a non-emergency call or have their call handled by an alternative? Are communications personnel trained to use discretion in these situations?
- How do various levels of the police organization address the need to educate the public about the rationale for prioritizing calls as a means of enhancing opportunities for community engagement and problem solving?
- Does the police organization have a range of alternatives ready to handle non-emergency calls for service to relieve officers of the responsibility?

Beat Boundaries (where applicable for community policing officers and teams)
- Do beat boundaries correspond to neighborhood boundaries?
- Do other city services recognize the police beat boundaries?
- Considering the severity of the problems in the area, is the size of the beat manageable?
- Are patrol officers/teams assigned to a specific area long enough to make a difference?
- Does the police organization have a policy to reduce or eliminate cross-beat dispatching? Are dispatchers adhering to the policy?
- Are patrol officers assigned to beats assured that they will not be used to substitute whenever temporary or permanent vacancies occur elsewhere in the organization?

- Does the organization avoid pulling these officers for special duty? Parades, special events, etc.?
- Are patrol officers/teams assigned to permanent shifts long enough to make a difference?
- Do work rules permit officers to change their hours of work as needed with a minimum or no red tape?
- Do officers/teams assigned to beats have the same opportunities to receive overtime for appropriate activities, such as attending important evening community meetings, as other patrol counterparts do for activities considered essential to effectiveness in their job?

Assignment Issues
- Has the organization clarified and documented that putting in unpaid overtime hours in the community is appreciated, but that such dedication is not a requirement of the job or is it considered in the performance review and promotional process?
- Does the assignment process ensure that such duty is not used as punishment or as a "dumping ground" for problem officers?
- How has the department addressed the perception that this is "special duty" with special perquisites? What strategies are used to reduce internal dissent?

Integration of Other Systems
- Has the department considered ways of integrating its efforts with other elements of the criminal justice system – prosecutors, courts, corrections, and probation and parole? Has the department explored opportunities to work toward a Community Criminal Justice system?
- Has the department considering ways of integrating its efforts with other agencies that deliver public services – social services, public health, mental health, code enforcement? Has the department explored opportunities to work toward Community Oriented Public Service/Community-Oriented Government?
- Are the police and the community prepared to serve as the catalyst to integrate community criminal justice and community-oriented public service into a total community approach?
- Has the department explored strategies such as the Neighborhood Network Center concept as a means of encouraging a total community approach?
- Is the department planning to take full advantage of new technology, including the Internet and World Wide Web as a means of interacting with the community?

Adapted from **Community Policing: How to get started** – Robert C. Trojanowicz & Bonnie Bucqueroux (Anderson Publishing/Lexis-Nexis)

Selected Comparisons Between Problem-Oriented Policing and Community Policing Principles

Principle	Problem-Oriented Policing	Community-Oriented Policing
Primary emphasis	Substantive social problems within police mandate	Engaging the community in the policing process
When police and community collaborate	Determined on a problem by problem basis	Always or nearly always
Emphasis on problem analysis	Highest priority given to thorough analysis	Encouraged, but less important than community collaboration
Preference for responses	Strong preference that alternatives to criminal law enforcement be explored	Preference for collaborative responses with community
Role for police in organizing and mobilizing community	Advocated only if warranted within the context of the specific problem being addressed	Emphasizes strong role for police
Importance of geographic decentralization of police and continuity of officer assignment to community	Preferred, but not essential	Essential
Degree to which police share decision-making authority with community	Strongly encourages input from community while preserving ultimate decision-making authority to police	Emphasizes sharing decision-making authority with community
Emphasis on officer skills	Emphasizes intellectual and analytical skills	Emphasizes interpersonal skills
View of the role or mandate of police	Encourages broad, but not unlimited role for police, stresses limited capacities of police and guards against creating unrealistic expectations of police	Encourages expansive role for police to achieve ambitious social objectives 21

P.O.P. and C.O.P.

- Historically, many considered these two concepts to be mutually exclusive
- Police leaders and academics tend to agree that these concepts overlap in philosophy and practice
- Bottom Line – It is not one or the other, it is one and the other

COMPSTAT
COMPuter STATistics

- **First implemented at NYPD by William Bratton in 1995.**

- **Led to significant reduction in crime within one year of implementation.**

- **CompStat is a data driven method for managing operations and leads to sound decisions for directing resources.**

- **Data is also be used to monitor and track results and hold upper level management accountable for outcomes.**

CompStat Defined: CompStat is an organizational management tool which reduces crime through systematic data collection, crime analysis, and heightened managerial accountability

CompStat shifts most of the responsibility for reducing crime and strategic decision making from patrol officers and first line supervisors to command staff

CompStat relies heavily on the latest geographic information systems technology and computer crime statistics to facilitate timely and targeted responses to crime

CompStat involves six core principles:

- Mission clarification
- Data driven statistical analysis and timely intelligence reports
- Internal accountability
- Organizational flexibility
- Innovative, rapid problem-solving tactics, rapid deployment
- Relentless follow-up and assessment of problem-solving efforts

Critical Characteristics of Crime Data:

- **Accurate** – databases must contain specific, accurate data that differentiates between crimes and includes modus operandi
- **Complete** – data must include the when, where, and how
- **Available** – data must be in useful format, readily available to staff
- **Timely** – data must be timely!
- **Visible** – pin mapping and other useful visual formats should be used

Leader's role in CompStat:

- Leaders must establish the vision and goals for CompStat program
- Leaders must be intimately familiar with crime data for their area of responsibility
- Leaders must be involved in generating creative strategies for addressing crime trends identified by data
- Leaders must be empowered to direct resources as needed

- Leaders must monitor strategies employed for positive results and change strategies as necessary

The CompStat process can be summarized in one simple statement: "Collect, analyze, and map crime data and other essential police performance measures on a regular basis, and hold police managers accountable for their performance as measured by these data."

This statement reflects the paradigm of modern policing: accountability at all levels of a police agency. Since the CompStat process was introduced by the New York City Police Department in 1994, it has been widely adopted and is partly responsible for contributing to significant improvements in the way many organizations control crime and conduct daily business. The process has recently been described as an "emerging police managerial paradigm" or "a new paradigm revolutionizing law enforcement management and practice" while others have called it "perhaps the single most important organizational/administrative innovation in policing during the latter half of the 20th century."

It is undeniable that the core management theories of CompStat, "directing and controlling," have been demonstrated to be effective means for controlling crime. But the CompStat process also has an inherent opportunity for developing leaders and improving the leadership process. According to D. V. Day, leader development concentrates on developing, maintaining, or enhancing individual attributes like knowledge, skills, and abilities (KSAs). But Day distinguishes between leader development and leadership development, emphasizing that leadership development focuses on the nature of the leader-follower relationship and not just the KSAs of the leader. In this model, the most important leader ability is interpersonal competence in fostering a spirit of cooperation in problem solving and embracing, creating, and implementing change. The leadership aspect of the Comp-Stat process must instill in people a sense of willingness to accomplish the goals of the organization using initiative and innovation. "The chief executive should create a thirst for leadership in an environment in which all officers feel they can attain and exercise leadership capacities, not simply attain hierarchical leadership posts," as an IACP report on leadership put it. "This includes imparting leadership knowledge and understanding of the organizational culture."

In a recent national survey, 58 percent of large agencies (those with 100 or more sworn officers) had either adopted or were planning to implement a CompStat-like program. As the proliferation of CompStat continues, the model is becoming firmly entrenched in modern police curricula and will clearly be embraced by future police leaders. By adding the management concepts outlined in this article to an agency's CompStat model, police executives can create the leaders that law enforcement agencies (and communities) so desire.

Intelligence Led Policing

- ILP does not replace the concepts of P.O.P. and C.O.P.
  - It builds on these concepts to keep pace with changes in society, technology, and criminal behavior
- ILP encourages greater use of criminal intelligence, attends to offenders more than offenses, and offers a more targeted, forward-thinking, multi-jurisdictional and prevention point of view to the business of policing.
- Information collection is part of the culture
- Analysis is indispensable to tactical and strategic planning
- Enforcement tactics are focused and prioritized
- Problem-solving principles, community norms, expectations, and resources are regularly incorporated
- Privacy is preserved and protected

Intelligence-Led Policing

- **History of ILP**

  - **The concept of ILP has evolved over the past two decades in Britain, Canada, and the United States**

  - **There has been growing interest in ILP since the terrorist attacks on 9/11/01**

ILP Defined: ILP encourages greater use of criminal intelligence to identify crime trends, focuses on offenders rather than offenses, and offers a more targeted, forward-thinking, prevention focused approach to the business of policing.

ILP is similar to CompStat in its focus on using timely data, but differs in that it seeks to transform data into Intel, and focuses on offenders rather than crimes.

ILP does not replace Community Oriented Policing, but rather enhances it.

Information collection must be part of the agency's culture

- Analysis of data is indispensable to tactical and strategic planning: INFORMATION + ANALYSIS = INTELLIGENCE
- Enforcement tactics are focused and prioritized
- Problem-solving principles, community priorities, expectations, and resources are regularly incorporated
- Privacy is preserved and protected in collection of intelligence
- AT ITS CORE, ILP helps leaders make informed decisions to address agency priorities

The Analytical Divide

"Crime Analysis" Focus	"Intelligence Analysis" Focus
Crime incident analysis	Associate analysis
911 calls analysis	Financial analysis
Statistical analysis	Communications analysis
Geographic analysis	Commodities analysis
MO analysis	Threat analysis
Local focus	State and federal focus

We need integration and collaboration for improved situational awareness…..

Collaboration is: Joining together to make possible that which cannot be accomplished alone. That is, collaboration allows partners to reach an aspiration that would be impossible to achieve without each member of the team working toward the same end. It requires the partnership and the commitment of all members working toward a common goal to succeed. It requires leadership and vision…

Collaboration is <u>NOT</u> these things:

- **<u>Networking</u>** is best described as exchanging information (i.e., agencies may meet to inform one another of their procedures, processes, restrictions, resources and guidelines);
- **<u>Coordinating</u>** involves making slight alterations to activities to accommodate the needs of another (one agency might change their hours so that they have staff available to receive referrals from another agency)
- **<u>Cooperating</u>** entails the sharing of resources (one agency may provide office space while another provides staff so that services can be co-located)

Intelligence Cycle

Planning

Re-evaluation   Collection

Dissemination   Evaluation

Analysis   Collation
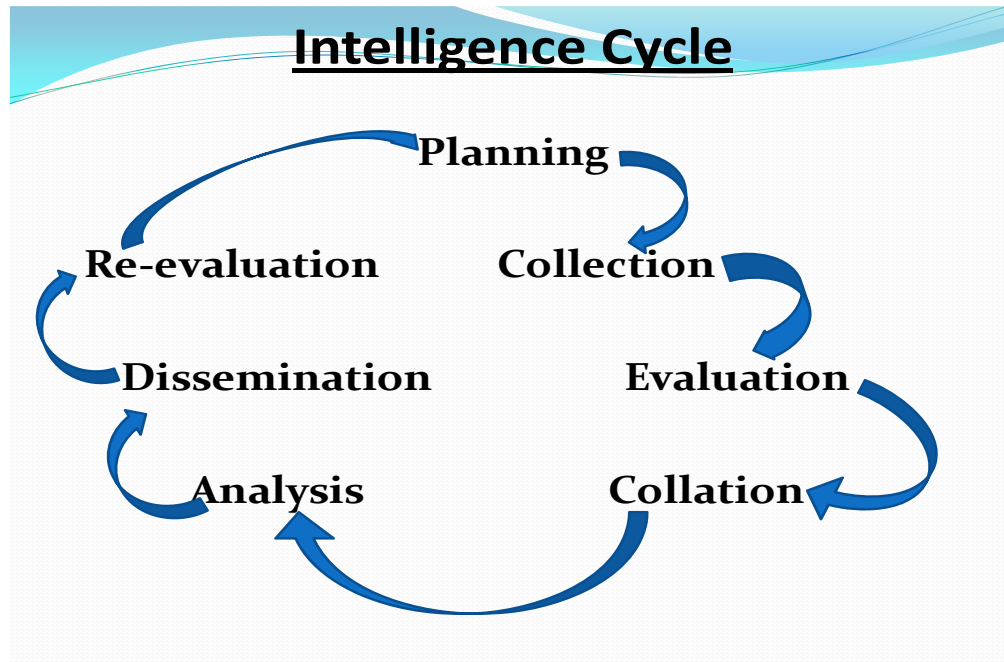
Planning:

- Create Intel/analyst unit
- Planning & direction involves decision-makers setting tactical & strategic goals
- Asking the right REALISTIC questions matters
- Define intelligence requirements
- Planning & direction are not mentioned in the traditional crime analysis cycle

Collection:

- Gather raw data from multiple sources
- Quality & relevancy of information/data collected matters
- Gaps in collection will be uncovered and should be addressed
- Much of the data needed is already collected – but is untapped by analysts

Evaluation:

- Evaluating the information/data collected for reliability, accuracy and relevance is crucial
- Identification of collection gaps occurs here
- Good communication with collectors is needed

Collation:

- Sorting the information/data to answer the right intelligence questions can be time-consuming
- Arrange data so relationships can be detected
- Sometimes, we overlook problems that involve multiple crime types or groups
- Technology helps immensely here – but data accuracy is needed to enhance effectiveness

Analysis:

- Analysis means breaking apart into pieces to study the parts
- Synthesis occurs here as the analyst puts the parts into a new "whole" so that something new and useful is created – relevant analytical product
- Intelligence is produced through effective analysis
- Beware of the "if I have a hammer everything is a nail" syndrome

Dissemination:

- Intelligence that does not get to the right people in a timely manner is useless
- Dissemination requires clear policies regarding who gets what
- Dissemination to other agencies can be very effective in creating goodwill as well as combating crime

Re-evaluation:

- Was our Intel timely, accurate, and relevant?
- Did the analytical product pass the "so-what" test? How can it be improved?
- Did the tactics and strategies to address the problem, employed by the decision-maker as a result of the analysis, work?
- Do we need to modify our actions?
- What else do we need to know?
- Did we find a new problem?

Return to Cycle:

- The cycle usually involves going backwards and forward over and over again
- Analytical products should be updated and tracked
- Tactics and strategies put into place as a result of the analysis should be tracked
- New problems will arise and should be addressed

Two Main ILP Strategies

Targeting the 6%

- How do we **identify** the 6% of criminals who commit 60% of the crime?

- How do we **target** the 6% of criminals who commit 60% of the crime?

Problem Analysis

- Identify "soft targets" – critical infrastructure and high crime areas.

- What works and does not work in addressing chronic crime problems?

- How do we harden targets and deter crime?

Laws of intelligence

#1. "The most reliable indicator of future criminal activity is current criminal activity"

#2. "Intelligence that does not influence a decision-maker is not intelligence." (Ratcliffe 2009)

#3. ILP "supports effective decision-making by providing the right Intel to the right person at the right time"

Tasking and Coordination

- Recognizing that different levels of policing have differing missions
- The local intelligence requirement must address crime and disorder at the local level
- The regional intelligence requirement must address criminal activity that crosses jurisdictions
- The federal intelligence requirement is dependent on the mission of the particular agency
- Task analysis based on appropriate intelligence requirements is mandatory for ILP

Stages of ILP Development
- Reactive
- Relies on Gut Feelings
- Develops the Individual
- Identifies with Institutions
- Learns and Takes Risks
- Combines Logic and Intuition
- Holistic and Adequate
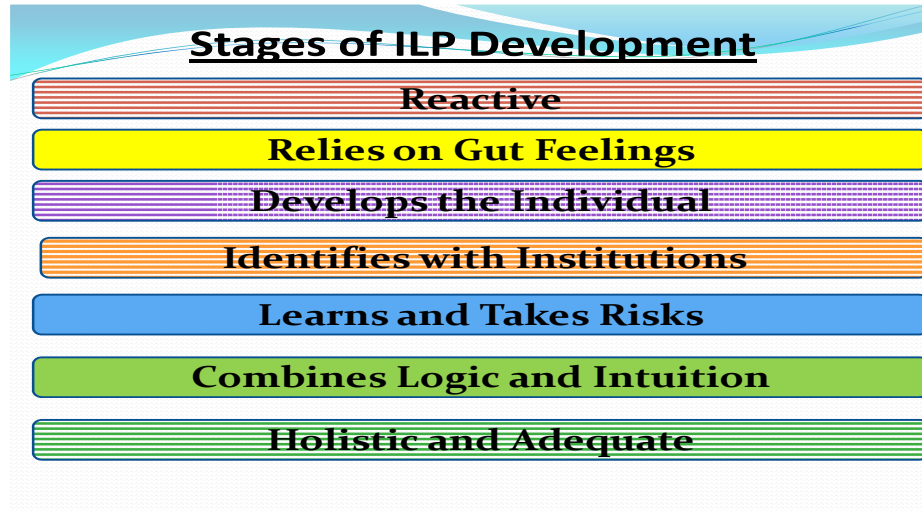
Stage One: Reactive

- Many police agencies are in this stage
- Run to calls, investigate, do your best
- No analytical support
- Little understanding of the value of crime intelligence analysis
- Random impact on the criminal environment

Stage Two: Relies on Gut-Feeling

- Agencies with unsophisticated or inadequate analytical capacities
- Generally rely on traditional policing based on trusting past experiences at the gut feeling level
- Random impact on the criminal environment

Stage Three: Develops the Individual

- Agencies that allow individual officers and analysts the freedom to study problems and develop responses
- Supports creativity in problem-solving and long-term projects by select individuals
- Work is thus more isolated and limited by individual initiative and time/energy constraints
- Some targeted impact on criminal environment – not sustained

Stage Four: Learns and Takes Risks

- Have engaged in some wide-spread problem oriented policing projects/grant-funded initiatives
- Have developed some broad-based analytical capacities and learned from them
- Continue to experiment with innovation on a limited basis, focused on a few problems
- Analysts provide basic analytical products and support as needed
- Impact on the criminal environment in a few areas, not sustained if funding ends/leadership changes

Stage Five: Identifies with Institutions

- Implements COMPSTAT and/or POP
- Meets regularly and analyze current crime problems tactically and/or specifically
- Use of intelligence and crime analysis information embedded in the work, not often strategic
- More focus is on the immediate problems compared to the chronic problems
- Analysis may be diluted by adherence to strictly defined procedures/missions
- Recognized impact on criminal environment but still lack of strategic focus

Stage Six: Combines Logic and Intuition

- Realizes the value of crime intelligence analysis, combining crime analysis with intelligence, quantitative information/qualitative information
- Uses the street knowledge of officers and investigators, incorporates with analytical info
- Analysis is a valued commodity to inform decision-making at the level of the working officer as well as the top decision-makers
- Lasting short-term and long-term impact on the criminal environment

Stage Seven: Holistic & Adaptive

- Develops intelligence with all relevant sources
- Forms and maintains strategic partnerships – shares
- Identifies/addresses chronic problems/worst offenders
- Crime Intel analysis central to decision-making
- Invest in quality & sufficient analytical staff – provide the technology and training needed
- Analysts and decision-makers collaborate
- Significant impact to the criminal environment, short-term and long-term, collaborate in problem-solving with those outside the jurisdiction with shared crime and criminal problem

ILP – A Sample Model

- Crime Analyst analyzes data from crime reports, incident reports, and Intel reports (NTAC, RMIN, EPIC, etc.) for past week and creates a weekly intelligence report and pin map.
- Weekly Intel briefing conducted with investigators, SET, patrol supervisors, commanders, alt. sentencing, etc
- Previous strategies are assessed, new strategies developed and implemented to address trends identified in Intel report.
- Intel reports, pin maps, and identified trends shared with line staff.
- Specialized units identify and track prolific offenders, maintain Intel and most wanted files

Comparisons

	Community	Problem-oriented	CompStat	Intelligence-led
Easily defined?	No	Fairly easy	Yes	Fairly easy, but still evolving
Easily adopted?	Superficially	Difficult	At the technical level, but managerially challenging	Managerially challenging
Orientation?	Neighborhoods	Problems	Police administrative units	Criminal groups, prolific and serious offenders
Hierarchical focus?	Bottom-up	As appropriate for problem	Top down	Top down
Who determines priorities?	Community concerns/demands	Crime analysis, but varies	Police management from crime analysis	Police management from crime intelligence analysis
Criteria for success?	Satisfied community	Reduction of problem	Lower crime rates	Detection, reduction or disruption of criminal activity or problem
Expected benefit?	Increased police legitimacy	Reduced crime and other problems	Reduced crime (sometimes other problems)	Reduced crime and other problems

Policing paradigms

Broad

Community policing

POP   ILP #2

Problem focus

Compstat   ILP #1

Narrow

Crime events   **Offenders**

Operational focus

Prevention *requires* Proactivity *requires* Predictability *requires* Patterns
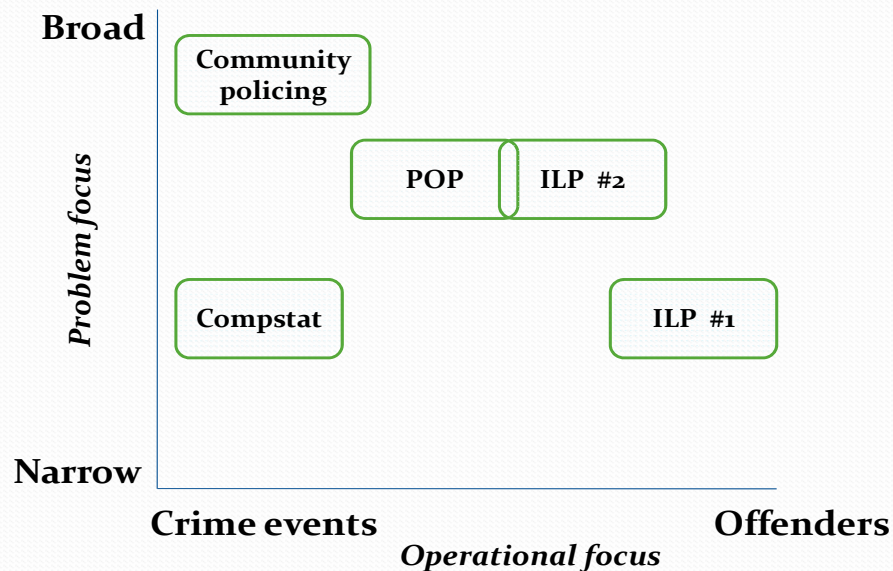
Future of Decision-Making

- Tomorrow's police leaders will understand the potential of technology
- They will not settle for "I don't know"
- They will be more collaborative
- They will be more networked
- They will not be leaders for another 10-20 years
- Until then, the criminals will have the advantage – they are already connected, have hi-tech resources and the power to use them

Ten Simple Steps

1. Recognize your responsibilities and lead by example
2. Establish a mission statement and a policy
3. Connect to your state criminal justice network and participate in info sharing
4. Ensure privacy issues are protected and practiced
5. Access law enforcement web sites
6. Provide agency members with training
7. Become a member of your Regional Information Sharing System (RISS center)
8. Become a member of Law Enforcement Online (LEO)
9. Partner with public and private infrastructure sectors
10. Participate in local, state, and national intelligence organizations

Navigating Your Agency's Path to Intelligence-Led Policing

April 2009

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About Global

The U.S. Department of Justice's Global Justice Information Sharing Initiative (Global) serves as a Federal Advisory Committee to the U.S. Attorney General on critical justice information sharing initiatives. Global promotes standards-based electronic information exchange to provide justice and public safety communities with timely, accurate, complete, and accessible information in a secure and trusted environment. Global is administered by the U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance.

Executive Summary

Navigating Your Agency's Path to Intelligence-Led Policing (ILP) serves as an overview for implementing the ILP framework within a law enforcement agency. The ILP approach is a process for enhancing law enforcement agency effectiveness. It also provides an organizational approach to gather and use many sources of information and intelligence to make timely and targeted strategic, operational, and tactical decisions, thereby enhancing law enforcement effectiveness. This document provides information on how the ILP framework can support existing law enforcement policing strategies.

The key elements of ILP include executive commitment and involvement; collaboration and coordination throughout all levels of the agency; tasking and coordination; collection, planning, and operation; analytic capabilities; awareness, education, and training; end-user feedback; and reassessment of the process. Overarching all of these factors are effective information sharing processes. Understanding each of these elements provides the planning, organizational, and administrative steps necessary to implement ILP.

This document also provides insight regarding the challenges of ILP implementation. The issues outlined can be mitigated through proper planning and preparation.

INTRODUCTION AND OVERVIEW

Intelligence-led policing (ILP) is a business process for systematically collecting, organizing, analyzing, and utilizing intelligence to guide law enforcement operational and tactical decisions. ILP aids law enforcement in identifying, examining, and formulating preventative, protective, and responsive operations to specific targets, threats, and problems. It is important to note that ILP is not a new policing model; rather, it is an integrated enhancement that can contribute to public safety. The ILP process can provide a meaningful contribution by supporting the agency's existing policing strategy, whether it is community-oriented policing, problem-oriented policing, or other methodology.

ILP is a proactive application of analysis, borrowing from the established processes of the intelligence analytic function and using the best practices from existing policing models. The

INFORMATION PLUS ANALYSIS EQUALS INTELLIGENCE

Though often used interchangeably and incorrectly, there is a difference between information and intelligence. Unprocessed information helps raise awareness and understanding. When this information is analyzed and evaluated, it becomes intelligence. Intelligence provides situational understanding that enables better decision making. Information plus analysis equals intelligence.

ability to collect, examine, vet, and compare vast quantities of information enables law enforcement agencies to understand crime patterns and identify individuals, enterprises, and locations that represent the highest threat to the community and concentration of criminal and/or terrorist-related activity. Through this method, law enforcement agencies can prioritize the deployment of resources in a manner that efficiently achieves the greatest crime-reduction and prevention outcomes. Assessment and vetting of criminal information and intelligence over a continuum also enables law enforcement agencies to examine the effectiveness of their responses, monitor shifts in the criminal environment, and make operational adjustments as the environment changes. ILP encourages the development and use of analytical products and tools (assessment reports, statistics, and maps) to aid personnel in defining strategic priorities for the agency (i.e., what the agency needs to do and what resources are needed to do it). ILP encourages the use of both overt and covert information gathering. This approach also maximizes the use of available resources and partnerships, such as those capabilities available through the state and local fusion centers and local/regional intelligence centers.

There are many different definitions of ILP, and each is appropriate for its specific use and purpose. The Bureau of Justice Assistance (BJA) has defined ILP as:

"A collaborative law enforcement approach combining problem-solving policing, information sharing, and police accountability, with enhanced intelligence operations."

For the purposes of this document, the BJA definition has been narrowed to the following:

"ILP is executive implementation of the intelligence cycle to support proactive decision making for resource allocation and crime prevention. In order to

ILP Case Study—Steering Investigations

An investigations branch commander, concerned about the spread of gang violence in his area of responsibility, charged his analytical force to identify the "worst of the worst" in terms of gangs employing violence. The analytical force, after assessing the environment, provided the commander with an intelligence product that identified a street gang with widespread influence throughout the region who were responsible for heightened levels of violence. Utilizing this intelligence, the commander outlined his priorities to his investigative units and obliged them to realign their own priorities in terms of the investigative project. After a nine-month-long "full-frontal" investigation, investigators dismantled the leadership of the identified street gang, arresting close to 100 members.

successfully implement this business process, police executives must have clearly defined priorities as part of their policing strategy."

At its core, ILP helps leaders make informed decisions to address agency priorities. These priorities can include issues such as crime prevention, crime reduction, case management, resource allocation, case clearance, anticipation of future threats, or crime problems. This process provides guidance and support to the agency leader, regardless of the type of priority established.

Agency leaders are not the only members of an agency who make decisions. Every day, personnel at all levels make decisions that affect the outcome of operations and impact the overall performance of the agency; however, the scope of this discussion will focus on the role of the chief executive or command staff. These leaders have the responsibility of implementing the strategic vision for the agency. Using the ILP approach will assist these leaders as they seek to address the identified priorities.

There is no single method for implementing ILP. The size of the agency, complexity of the threat environment, the local political environment, and resource availability within each jurisdiction vary greatly across the country; therefore, how ILP implementation "looks" within each agency will vary accordingly. However, adopting ILP as a philosophy and business framework, to whatever degree is appropriate, can and will improve the effectiveness and efficiency of any policing organization. The end goal of ILP is to enhance proactive policing efforts and further the positive outcomes of law enforcement actions toward reducing crime and protecting the community against a variety of threats.

Fundamentals of Intelligence-Led Policing

The ILP philosophy centers on several key elements: executive commitment and involvement; collaboration and coordination throughout all levels of the agency; tasking and coordination; collection, planning, and operation; analytic capabilities; awareness, education, and training; end-user feedback; and reassessment of the process. These planning, organizational, and administrative steps are vital to ensure that the ILP framework is implemented in the way most appropriate for each agency's needs. ILP is not and should not be confused with CompStat or other statistical management tools; ILP is purely a complementary process to these tools.

Executive Commitment and Involvement

Successful implementation and sustainment of the ILP framework within a law enforcement agency require strong commitment by the agency's leadership. The agency leader should be able to clearly articulate the goals of ILP: how it will address the agency's priorities, how it will affect agency operations, and how the agency will benefit from its use. Executives must lead by example—fully integrating intelligence into their strategic, operational, and tactical decisions—thereby demonstrating their confidence in the ILP approach and providing evidence of how using intelligence leads to better decisions.

Because ILP is an agencywide approach, implementation requires agencywide

NATIONAL CRIMINAL INTELLIGENCE SHARING PLAN
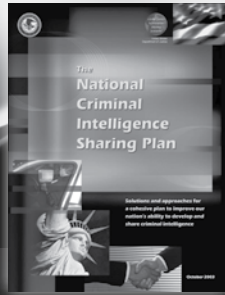
If your agency does not have an intelligence process, you can reference the *National Criminal Intelligence Sharing Plan* (NCISP) at www.it.ojp.gov/documents/NCISP_Plan.pdf. An overview of the *10 Simple Steps to Help Your Agency Become a Part of the National Criminal Intelligence Sharing Plan* can be found at www. it.ojp.gov/documents/Ten_Steps.pdf. These ten simple steps include:

1) **Recognize your responsibilities and lead by example.**

2) **Establish a mission statement and a policy to address developing and sharing information and intelligence data within your agency.**

3) **Connect to your state criminal justice network and regional intelligence databases, and participate in information sharing initiatives.**

4) **Ensure privacy issues are protected in policy and practice.**

5) **Access law enforcement Web sites, subscribe to law enforcement listservs, and use the Internet as an information resource.**

6) **Provide your agency members with appropriate training on the criminal intelligence process.**

7) **Become a member of your in-region Regional Information Sharing Systems® (RISS) Center.**

8) **Become a member of the Federal Bureau of Investigation's (FBI) Law Enforcement Online (LEO) system.**

9) **Partner with public and private infrastructure sectors.**

10) **Participate in local, state, and national intelligence organizations.**

Additionally, it is important to leverage existing resources, such as your state or local fusion centers, as they can provide resources to augment intelligence processes.

understanding and adoption—tantamount to an agencywide cultural shift. Creating cultural change is difficult and requires strong, consistent leadership from the agency's executives. This represents a significant challenge. It requires changing attitudes, values, and beliefs about policing processes and redefining organizational procedures, including how personnel view crime problems, how information is shared, and how to integrate threat prevention with crime prevention.

There are several things executives can do to implement and institutionalize ILP:

★ Develop a vision that is founded upon ILP.

★ Communicate the vision:
   ☆ Communicate the vision to the agency's governing body, e.g., mayor or city council members.
   ☆ Educate and incorporate the command staff so they understand and "buy into" the vision, as they will be instrumental in creating the final implemented process.
   ☆ Communicate to all levels of the agency, and demonstrate how the intelligence provided through the ILP approach works to address the agency's top priorities.

★ Continuously lead by example—show personnel how analysis and intelligence products are used to make strategic, operational, and tactical decisions at the highest level.

★ Ensure that ILP gets sufficient and continued support to achieve full implementation. This includes the assignment of personnel and resources to fulfill the agency's ILP framework.

★ Promote crime and intelligence analysis:

   Quote: "The integration of the intelligence and crime analysis function is essential to uncovering crimes linked to organized groups of criminals (groups of juveniles in a neighborhood, gang-related activity, and so on). By looking

only at crime data without the integration of intelligence on people, locations, and groups, crime analysis will always fall short of the overall picture of crime."
—Mary Garrand, Crime Analyst Supervisor, Alexandria, Virginia, Police Department

★ Articulate how the ILP approach will improve effectiveness and efficiency and will support the overall agency mission.

★ Design the agency-specific ILP framework:
  ☆ Document the agency's threat and criminal activity priorities as specific to the jurisdiction.
  ☆ Develop a strategic plan to address the priorities.
  ☆ Identify intelligence capabilities and leverage existing resources, such as fusion centers, to avoid duplication of efforts.
  ☆ Organize an intelligence apparatus or leverage another's to collect, analyze, and develop intelligence to address the identified priorities.
  ☆ Prepare the agency to implement ILP through training, education, and awareness.
  ☆ Continuously reinforce the ILP approach.
  ☆ Build in evaluation and rewards that recognize the individuals that adopt and utilize the ILP concepts.
  ☆ Strive for timely, accurate, and reconciled data.
  ☆ Reevaluate the agency's priorities on a regular basis.

In addition to the executive ownership of process, agency leaders must construct their agency's framework to explain how ILP works within the law enforcement organization. It is important that leaders describe how ILP coordinates and collaborates with other ongoing state and regional efforts. This process includes the development of policies and procedures that support the implementation of ILP. These documents must not only provide clear direction

on the agency's internal policies but also support external issues, such as the protection of privacy and civil liberties.

In order to provide direction and guidance, it is imperative that each person understand his or her role and responsibility. It is beneficial to outline these roles and responsibilities by job title. For example:

Role of Officers in the Field: For officers in the field, ILP requires becoming both better data collectors and better consumers of intelligence-related products. This means shifting from emphasizing postevent evidence collection to constantly gathering all relevant data and ensuring it is provided for entry into appropriate databases, as well as drawing from the intelligence analysts and relevant databases all the information that is needed to support ongoing operations.

Role of Analysts: For analysts, the key components of the ILP process include the creation of tactical, operational, and strategic intelligence products that support immediate needs, promote situational awareness, and provide the foundation for longer-term planning.[1]

Collaboration and Coordination

In order to implement ILP and make efficient resource allocation decisions, agencies must collaborate and coordinate with other information sharing partners. It is critical that existing resources be leveraged. Partner agencies and other stakeholders are also a main component of ILP implementation. They often have a unique, strategic understanding of the community that will provide additional information and intelligence. Frequent and ongoing communications with all of the agency's ILP stakeholders is vital for success. Receiving a broad base of input from internal and external

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1   *New Jersey State Police Practical Guide to Intelligence-Led Policing*, Center for Policing Terrorism at the Manhattan Institute, September 2006 (http://www.cpt-mi.org/pdf/NJPoliceGuide.pdf).

stakeholders will contribute to the integrity of the design for the ILP function. Interacting with other members of the law enforcement and public safety communities will create valuable conduits for future information and intelligence sharing. Cooperation, partnerships, and effective two-way information sharing are key components of successful ILP. It is important that agencies update or implement a privacy policy that addresses their information sharing processes. This policy should clearly address how the ILP framework is utilized.

There are several different groups whose participation in the ILP process will be instrumental for success:

★ Federal, State, Local, and Tribal Law Enforcement Agencies
  ☆ Build and develop regional relationships.
  ☆ Learn from other agencies.
  ☆ Leverage existing collaboration and tools.

★ Fusion Center Partnership
  ☆ Facilitate the establishment of a trusted partnership among all levels of government.
  ☆ Participate with the primary state or regional fusion center to institutionalize the "culture of information sharing."
  ☆ Fusion centers have the ability to fuse and analyze information from multiple local jurisdictions into a regional or state picture and create intelligence products that support management decisions for the most effective allocation of resources and personnel.

★ Public Sector
  ☆ Educate agency governing authorities (e.g., mayor, city council, or agency leaders) on how they will benefit from ILP in securing necessary resources.
  ☆ Seek input from governing authorities on elements/priorities to incorporate into the agency's ILP design.
  ☆ Liaise and collaborate with other public safety agencies and organizations—such as fire, emergency medical services,

public health, health care, energy, water, transportation, schools, and hospitals.
  ☆ Investigate the agency's ability to access other government resources, including motor vehicle and corrections information.

★ Private Sector
  ☆ Partnering with the private critical infrastructure and key resources sectors has the same positive effect as working with public safety agencies—a wide variety of perspectives on existing and emerging threats and a vast network of new information sources.

★ Community
  ☆ Engaging the community to work with the law enforcement agency produces a greater sense of community trust in the agency's operations and raises community awareness regarding how citizens can positively contribute (e.g., "see something, say something"). This can foster a collaborative process for citizens to provide input to understand

COMMUNITY ORIENTED POLICING

COPS
COMMUNITY ORIENTED POLICING SERVICES
U.S. DEPARTMENT OF JUSTICE

ILP builds upon many of the tenets of the Community Oriented Policing Services (COPS) program. As agencies work to collaborate and coordinate, the information and resources available as part of the COPS program can serve as a valuable resource. For additional information, see

www.cops.usdoj.gov

and solve community crime issues. The reporting of suspicious activity is an example of this collaboration.

☆ Citizen Awareness—Providing transparency during the ILP design and implementation process, seeking community input, and providing education on how ILP will improve public safety will help the agency gain community support for the initiative.

Tasking and Coordination

Fundamentally, it is necessary to view ILP as a core management philosophy of the command and control functions of a law enforcement agency. This allows commanders, supervisors, analysts, and officers in the field to understand, adopt, and value a centralized tasking and coordination function required for advancing ILP. Law enforcement agencies have to balance a myriad of duties and responsibilities in their jurisdictions. This often presents unique challenges for command personnel on where to expend resources and focus operations. A robust tasking and coordination system allows organizations to synchronize these efforts by aligning personnel and resources toward strategic, operational, and tactical goals.

The following four recommendations can be adopted by commanders for building a tasking and coordination function within their organizations:

1) Direct analytical resources to produce a specific threat assessment for the jurisdiction being policed.[2]

2) Use the threat assessment to identify command priorities.

3) Establish a tasking and coordination group to assist command-level staff.

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4) Coordinate a monthly or quarterly tasking and coordination meeting among staff and supervisors to:
   ☆ Identify intelligence and investigative gaps with regard to outreach, patrol, enforcement, and investigative initiatives.
   ☆ Coordinate resource allocation and effort.
   ☆ Task personnel concerning intelligence and investigative initiatives.
   ☆ Ensure that command priorities are being carried out.

Collection, Planning, and Operation

Although ILP should not be considered a "collection strategy," denoting an uncoordinated effort aimed at collecting information for the sake of collecting it, the capacity for an organization to collect pertinent information is vital to an ILP framework. Law enforcement agencies should ensure that they have the ability to collect information from the following sources:[3]

★ Open sources

★ Community outreach

★ Acquisition and analysis of physical evidence

★ Interviews and interrogation

★ Financial investigations

★ Surveillance

★ Informants

★ Electronic surveillance

★ Undercover operations

The daily interaction that officers have with the community in terms of community-policing efforts, motor vehicle stops, and calls for service offers them a unique ability to gather information that may lead to identifying suspicious activity related to criminal or terrorist operations.

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2   Organizations that do not have analytical resources should work with their regional fusion center, Regional Information Sharing Systems (RISS) Center, or High Intensity Drug Trafficking Area (HIDTA) group for assistance in the production of a threat assessment.

3   As with any other police operation, information collection efforts should always consider the ramifications related to privacy and civil rights issues.

However, to ensure that collection activities are focused, they should be guided by:

★ Analytical needs

★ Intelligence requirements

★ Investigative needs

★ Threat identification

Collecting information about the environment in which an agency polices allows for the interpretation of the threats that are occurring within the environment. The tasking and coordination group identified within the previous section can ensure that collection efforts within an organization are focused and conducted in a manner that is legal and ethical and adds value to the ILP effort.

Analytic Capabilities

In order for ILP to be successful, agency leaders must develop some level of analytic capability to support the identified agency priorities. These capabilities support the decision-making process by providing the right information to the right person, at the right time. There are several steps in the development of these capabilities, including:

Collection Plan Development—A collection plan identifies priority information that should be collected/ gathered, outlines the process for gathering relevant information from all law enforcement sources, and describes how that information is developed into an intelligence product. Information collected is analyzed using the intelligence cycle,[4] and the reliable information is developed into intelligence products used to monitor and address the strategic priorities.

Analysis—As dictated by the collection plan, information is transformed into intelligence through analysis. This analysis connects the data through the linking of

incidents, activities, or behaviors. The goal of analysis is to produce intelligence products that help the agency's decision makers identify potential or future threats, respond to relevant threats, understand potential issues, and plan for proactive action. Not every agency will have the ability to complete this phase. Agencies should partner with other organizations who may have the ability (i.e., fusion centers), and they should share their collected/gather information and receive analyzed products back.

Intelligence Products—Providing a mechanism to communicate the results of the analytic process, intelligence products are a key element in the ILP process. Agencies use a variety of intelligence products, including reports,

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4   A full description of the intelligence cycle is available in Appendix B.

briefings, and multimedia presentations. The effectiveness of intelligence reports is directly related to the quality of the information and analysis used. Ensuring the quality of these products should be an agencywide goal.

Operational Responses—The intelligence products better equip agency decision makers to provide operational direction and command. These products may help identify where potential threats currently exist or may occur; it is the decision maker's responsibility to develop an operational mitigation or response strategy. Often untapped for the development of operational responses, analysts can offer a unique perspective of the threat and can provide details to enhance the eventual response.

Review of the Process—Evaluation of the analytical process helps identify any new or emerging information gaps. The agency's ILP efforts will benefit from knowing whether the analytical process is addressing the appropriate issues, at the appropriate time, for the appropriate purpose. Additionally, it is important to gather feedback from the end-user of intelligence to help focus the product and ensure the final product has value.[5]

Agency leaders are constantly required to make agency-impacting decisions. It is important that these decisions be informed decisions based on information gathered and analyzed through the analytical process. ILP provides the tools to make these decisions accurate, based on empirical data, rather than intuitive ideas.

Awareness, Education, and Training

Agency decision makers should, at a minimum, obtain training regarding the intelligence process, indicators and warnings regarding potential criminal or terrorist activity, legal and privacy issues, and information sharing networks and resources. In order to learn more about ILP, leaders should review professional resources on ILP from BJA publications and training,[6] the NCISP,[7] the National Criminal Intelligence Resource Center,[8] the U.S. Department of Homeland Security Lessons Learned Information Sharing System,[9] and the COPS-funded intelligence guide.[10]

As agencies adopt ILP, it is important that they implement a privacy policy, or if they have an existing policy, it should be reviewed and, if necessary, amended to ensure the protection of individuals' privacy, civil rights, and civil liberties so that they correspond with the ILP approach. Additionally, these policies and procedures should be reinforced throughout the agency so that personnel understand the importance and sensitivity of these issues.

Using information from the training activities, decision makers should educate all of the agency personnel regarding information collection and sharing tenets as well as appropriate measures to safeguard and handle information. Depending on their responsibilities, agency personnel should also have in-depth training on how to collect information, how to analyze the information, how to develop intelligence products, and how to evaluate their work.

ILP training goes beyond the classroom. Training agency personnel requires a coordinated, agencywide approach that involves daily awareness and education regarding the goals and objectives of ILP.

5   Carter, David L., Ph.D. (2009). *Law Enforcement Intelligence: A Guide for State, Local, and Tribal Law Enforcement Agencies*, 2d. ed., Washington, DC: Office of Community Oriented Policing Services, U.S. Department of Justice, Chapter 6: "The Implementation of Intelligence-Led Policing."

6   See http://www.ojp.usdoj.gov/bja, as well as the National Criminal Justice Reference Service at http://www.ncjrs.org./.
7   See http://www.it.ojp.gov/ncisp.
8   See http://www.ncirc.gov/.
9   See https://www.llis.dhs.gov/.
10   The guide may be downloaded from https://intellprogram.msu.edu/resources/publications.php.

End-User Feedback

One method of evaluating the success of the ILP implementation is to review end-user feedback concerning the process. End users come in a variety of forms, including the analyst who receives the raw data from the field, the commander who reviews the analytical product, the agency head who reviews intelligence products, and the officer in the field who receives orders based on the conclusions drawn from the intelligence. Each user has a unique perspective to provide. Incorporating this feedback into the evaluation process will help agencies improve their ILP process by continuously providing new information on which processes and products can advance, and users can see ILP implementation from the collection of information to the products resulting from this information. If intelligence products cannot be translated into operational and tactical strategies, then the products need to be redesigned.

Reassessment of the Process

Agency leaders must use an evaluation process to assess whether activities are being performed in a manner consistent with the identified strategic priorities. Using performance measures will provide a consistent method of evaluating program development progress. This evaluation will determine whether the agency's implementation of ILP is successful or whether adjustments to the ILP strategy need to made. Leaders must constantly evaluate the ILP outcomes to determine whether the implementation has allowed the agency to address its priorities. If so, the existing priorities must be adjusted to accommodate this accomplishment. If not, the ILP strategy should be attuned. This includes the identification of gaps throughout the process and a method to address and solve the identified issues. Additionally, leaders must also evaluate the effectiveness of the procedures and processes to ensure that they are performing efficiently. Ultimately, the goal of this evaluation process will be a stronger analytic capacity, better intelligence products, and better operational responses to identified issues.

Challenges of Intelligence-Led Policing Implementation

There are many challenges associated with implementing ILP. As stated earlier, there is no one type of ILP implementation. Although this makes the framework flexible for use in all types of agencies, it also provides some potential impediments, including:

★ **Sequence of implementation**—Deciding the order of ILP implementation can be a daunting task. Small agencies or agencies with limited existing analytical functions may see this approach as overwhelming. It is important to remember that not all agencies will implement every piece of the ILP process. This approach allows agencies to choose those ILP steps that support their policing philosophy.

★ **Perception of a complicated analytical function**—ILP does have a significant analytical component; however, not all agencies will employ all of the available analytical capabilities. Agencies can adopt analytical tactics that are relevant and necessary to meet their specific needs or leverage resources from other agencies and entities, such as fusion centers. Intelligence products do not have to be elaborate; they can be as simple as a daily briefing.

★ **Human resources**—Rather than requiring additional manpower, ILP supports the existing staff by providing better intelligence to make more informed decisions. Just as in the case of CompStat's approach to crime control, ILP allows the agencies' manpower to be utilized in a coordinated fashion based on empirical knowledge that supports the organization's priorities in order to effectively manage threats.

- ★ **Timeliness of data, data accuracy, and data review**—It is important that the data received be provided to the appropriate stakeholders in a timely fashion. It is also equally important to have a data accuracy evaluation and review process. ILP will not be effective with outdated and/or inaccurate data.

- ★ **Institutionalizing the process**—It is essential that the tenets of ILP be consistently communicated throughout the agency. Without institutionalizing the process, personnel will not fully understand the benefits of this approach. Agency leaders should show personnel relevant results from using ILP.

- ★ **Agency business process**—The agency executive should outline the existing agency business process and how ILP will be integrated into the process.

- ★ **Measuring performance**—It is important to measure the effectiveness of any new initiative. To gauge the effectiveness of the ILP implementation, both the process and impact evaluations must be considered. The process evaluation focuses on how the initiative was executed and the activities, efforts, and workflow associated with the response. Process evaluations ask whether the response occurred as planned and whether all components worked as intended. Impact evaluations focus on the output of the initiative (products and services) and the outcome (results, accomplishment, impact). Once the evaluations are complete, the results should be used to improve the agency's ILP process.

Conclusion

In today's complex environment—including constrained budgets, threats from criminals and terrorists, and concerns about privacy and civil liberties—it is important for law enforcement agencies to do more with less.

ILP enables law enforcement agencies to access and share comprehensive intelligence, and it helps to ensure that succinct and timely information is available to all decision makers. It provides agencies with the capability to draw meaningful conclusions from analyzed information and make strategic, operational, and tactical decisions for effective crime reduction and threat mitigation.

The ILP framework requires a systematic implementation approach that is organized to avoid some of the common challenges and issues. Throughout the implementation of ILP, it is important to remember that ILP does not change the mission of the law enforcement agency; it changes how the law enforcement agency executes its mission.

Appendix A: Additional ILP Case Studies

Force Allocation

A regional fusion center's analytical element provided "hot spot" analysis and criminal intelligence to a police executive responsible for policing a township burdened by violent crime, street gangs, and drug distribution. The executive applied the customized intelligence products to her crime control plan by allocating patrol and surveillance resources based on the temporal and spatial analytical assessments. The reliance on intelligence products to drive operational planning proved to be a more efficient and effective use of the agency's finite resources.
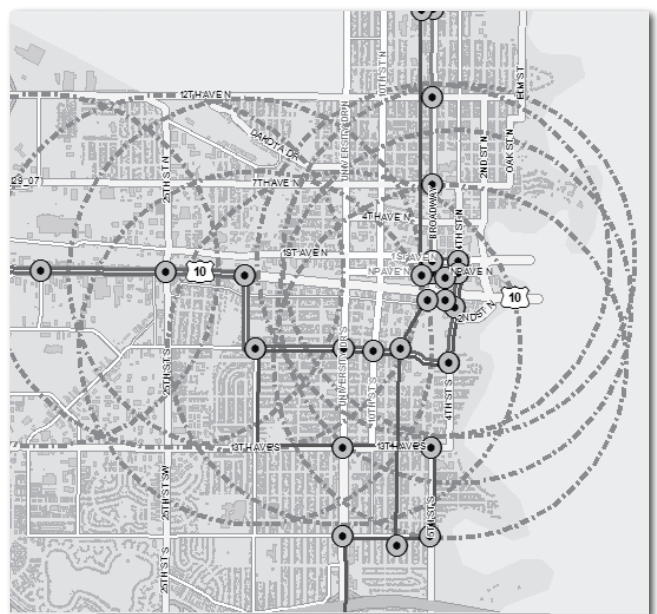
Policy Planning

A senior-level law enforcement policymaker responsible for grant management, strategy, and funding sought the assistance of an intelligence unit to assess neighborhood violence across a region. The intelligence unit developed an information sharing process by which participating jurisdictions could record and exchange shooting information on victims who were struck by a projectile. The theory behind the project stemmed from the notion that shootings are the best indicator of violence as opposed to relying on murder data or assault data. Analysts viewing the exchanged information could now develop intelligence products identifying patterns in the modus operandi of shootings across a region and the demographics of each of the identified shooters and victims. The information proved to be instrumental in developing crime prevention and community outreach programs.

Knowledge Transfer

A local police commander returning to an investigative assignment after years of administrative work opted to rely upon her intelligence bureau to assist with her decision making. In her new assignment, she found herself faced with an investigative dilemma that required her to focus on crime guns entering her jurisdiction. When the commander was a field detective, crime guns entering her state had come from the southeast region of the country.

By relying on the research and analysis of her intelligence bureau, she quickly learned that the trends present in this domain reflected crime guns entering her region from a neighboring state. The knowledge transfer provided by her intelligence bureau focused her investigative efforts and saved time and resources.

Tactical Assistance

Analysts from a regional fusion center, answering a Standing Information Need outlined by executive management and approved by their Governance Committee, collected and analyzed information related to recidivist offenders and street gang members. Their purpose was to reveal criminal relationships among street gang members and recidivist offenders responsible for violence in a specific area. The intelligence products published by these analysts were stored in a federal guidelines-compliant database and made available to uniform officers and investigators to query in support of tactical operations. On numerous occasions, queries from the field resulted in the development of lead information to develop criminal cases while aiding in officer safety efforts.

Crisis Planning

Law enforcement planners concerned that a Category 3 or higher hurricane hitting their coastline would overwhelm their capability to police a specific jurisdiction requested their analytical unit to assess the condition from a law enforcement perspective as opposed to an emergency management position. Analysts provided an intelligence product outlining significant challenges to police, which included displaced criminal groups in neighborhoods not capable of handling the influx, suppressing opportunities to loot and burglarize, and planning for the debilitating effect of the storm on present law enforcement logistics. The executive decision maker of the organization used the analytical product to exercise his force through a tabletop exercise that extended outside traditional emergency management exercises.
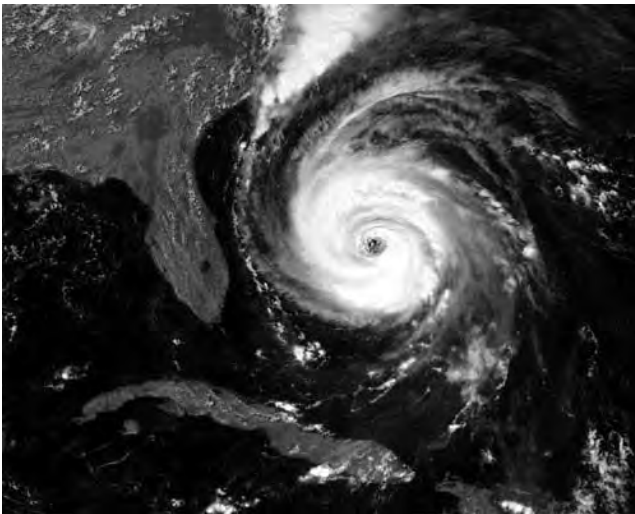
An ILP Success Story

A large metropolitan area with a county police force and more than 30 local law enforcement jurisdictions was experiencing an array of armed robberies. Over the course of three months, the number of robberies escalated, and at a countywide meeting, it was learned that several jurisdictions, primarily the county, had more than 40 similar robberies. The robberies involved numerous subjects in multiple vehicles. In the early morning hours, the armed subjects would approach businesses that were preparing to open—primarily fast-food restaurants and grocery stores—and as the employee would unlock the door, subjects would throw a block through the front glass as a diversion, force the employee(s) in, and rob them. All the robberies had occurred in one specific geographical area of the county.

Detectives from five agencies were working the robberies independent of each other and had no physical evidence from which to make an identity. The agencies began conducting surveillances at other locations in their jurisdiction, but there was no clear direction or methodology, other than hoping the subjects would be encountered.

Through the use of sources and tactical intelligence analysis, a pattern was discerned and information developed that demonstrated the possibility of subjects coming from another distinct area within the county. The analysis also showed a clear and concise connection between all the cases. Analytical and intelligence personnel were able to provide pattern analysis within one week and assist investigative personnel in developing an operational plan that would culminate in surveillances in an area several miles away from the surveillances of the businesses that could be potentially targeted. Initial reactions from investigative personnel and commanders were met with skepticism as to why the intelligence would lead to personnel not being near any of the potential targets, since it was clear that all the robberies were confined to a specific geographical area. Furthermore, the surveillances that were derived from the intelligence led the operations to be conducted on the midnight shift and holiday weekends—all of which did not appear possible in the initial investigative findings of any of the agencies.

Based on the intelligence, commanders implemented the surveillance as suggested, and within two days, two additional robberies occurred in an area of the county which had not been targeted and which was, in fact, in the completely opposite direction. However, since the intelligence-led surveillance directed personnel to an area of potential "suspect" activity, the surveillance teams were able to identify vehicles that were seen fleeing the robberies as they entered the area of the surveillance. Within moments, investigators were able to apprehend six subjects and recover weapons and currency, as well as clear or close more than 40 armed robberies that had taken place in a period of over three months.

Appendix B: Intelligence Cycle

The Intelligence Cycle

Reevaluation 6
Planning and Direction 1
Collection 2
Processing/Collation 3
Analysis 4
Dissemination 5

The production of criminal intelligence is accomplished by following the six steps of the intelligence cycle—planning and direction, collection, processing/collation, analysis, dissemination, and reevaluation. The intelligence cycle used by the intelligence community is the foundation of the ILP framework; therefore, it is imperative to understand and follow each step in the cycle in order to develop and sustain an effective and efficient intelligence function.

Step 1: Planning and Direction—Define intelligence requirements and develop an intelligence unit mission statement to guide intelligence efforts.

Step 2: Collection—Gather raw data from multiple sources, including field reports, open

source records, the Internet, citizen accounts, informants, covert operations, and the media.

Step 3: Processing/Collation—Evaluate the validity and reliability of the information; sort, combine, categorize, and arrange the data so relationships can be detected.

Step 4: Analysis—Connect information in a logical and meaningful way to produce intelligence reports that contain valid judgments based on analyzed information.

Step 5: Dissemination—Share timely, credible intelligence with other law enforcement, public safety, and private sector individuals/entities that have a right and need to know.

Step 6: Reevaluation—Evaluate the process performed and the products produced to assess effectiveness, efficiency, relevancy, and weaknesses.

Appendix C: Resources

There are many ILP resources available, and it is important that these existing resources be reviewed and leveraged.

Intelligence-Led Policing

★ *Criminal Intelligence Sharing: A National Plan for Intelligence-Led Policing at the Local, State and Federal Levels* www.cops.usdoj.gov/files/ric/CDROMs/LEIntelGuide/pubs/IACP_Intel_Summit_Reco.pdf

★ *New Jersey State Police Practical Guide to Intelligence-Led Policing* www.state.nj.us/njsp/divorg/invest/pdf/njsp_ilpguide_010907.pdf

★ *Law Enforcement Intelligence: A Guide for State, Local, and Tribal Law Enforcement Agencies* www.cops.usdoj.gov/Default.asp?Item=1404

★ *Intelligence-Led Policing: The New Intelligence Architecture* www.ncjrs.gov/pdffiles1/bja/210681.pdf

★ "What Is Intelligence-Led Policing?" http://jratcliffe.net/research/ilp.htm

★ *Intelligence-Led Policing* http://jratcliffe.net/papers/Ratcliffe%20intelligence-led%20policing%20draft.pdf

★ *Intelligence-Led Policing: The Integration of Community Policing and Law Enforcement Intelligence* www.cops.usdoj.gov/pdf/e09042536_Chapter_04.pdf

- ★ "Intelligence-Led Policing" http://www.ojp.usdoj.gov/BJA/topics/ilp.html

- ★ "The Need for Intelligence-Led Policing" www.manhattan-institute.org/pdf/DomPrepArticle_The_Need_For_Intel_Led_Policing.pdf

- ★ *Intelligence-Led Policing* www.jratcliffe.net/papers/Ratcliffe%20(2003)%20Intelligence%20led%20policing.pdf

- ★ *Intelligence-Led Policing: Getting Started* www.ialeia.org/files/other/Intelligence%20Led%20Policing-Getting%20Started.pdf

- ★ *Intelligence-Led Policing: The Cornerstone of an Effective Policing Strategy* www.policeforum.org

Training Resources

- ★ State and Local Anti-Terrorism Training (SLATT®) www.slatt.org

- ★ Intelligence Toolbox Training Program intellprogram.msu.edu

- ★ International Association of Law Enforcement Intelligence Analysts www.ialeia.org/

- ★ Law Enforcement Intelligence Unit (LEIU) www.leiu-homepage.org

- ★ National White Collar Crime Center (NW3C) www.nw3c.org

- ★ Federal Law Enforcement Training Center (FLETC) http://www.fletc.gov/training/programs/advanced_programs

Web Links

- ★ National Criminal Intelligence Resource Center (NCIRC) www.ncirc.gov

- ★ Global Justice Information Sharing Initiative (Global) www.it.ojp.gov/global

- ★ The Program Manager, Information Sharing Environment www.ise.gov

- ★ Criminal Intelligence Training Master Calendar mastercalendar.ncirc.gov

- ★ Information Sharing Systems http://sharingsystems.ncirc.gov/

- ★ Lessons Learned Information Sharing (LLIS) System www.llis.dhs.gov

Intelligence Management Issues

- ★ *Analyst Toolbox* www.it.ojp.gov/documents/analyst_toolbox.pdf

- ★ *Applying Security Practices to Justice Information Sharing* CD www.it.ojp.gov/documents/asp/default.htm

- ★ "Baseline Intelligence Information Needs" www.fas.org/irp/agency/doj/lei/chap10.pdf

- ★ *National Criminal Intelligence Sharing Plan* www.it.ojp.gov/documents/NCISP_Plan.pdf

- ★ *National Criminal Intelligence Sharing Plan, Executive Summary* www.it.ojp.gov/documents/NCISP_executive_summary.pdf

- ★ *10 Simple Steps to Help Your Agency Become a Part of the National Criminal Intelligence Sharing Plan* www.it.ojp.gov/documents/Ten_Steps.pdf

- ★ *Information Quality: The Foundation for Justice Decision Making* http://www.it.ojp.gov/documents/IQ_Fact_Sheet_Final.pdf

- ★ *Privacy, Civil Liberties, and Information Quality Policy Development for the Justice Decision Maker* www.it.ojp.gov/privacy206/privacy_for_justice.pdf

Recommendations for Law Enforcement Engagement With Fusion Centers

★ *What Is a Fusion Center? The Value-Added Coordinating Interface for State and Local Law Enforcement* www.policeforum.org, www.llis.gov/index.do, and www.ncirc.gov/

★ *10 Ways to Engage and Support Your Fusion Center* www.policeforum.org, www.llis.dhs .gov/index.do, and www.ncirc.gov/

BJA

Bureau of Justice Assistance
U.S. Department of Justice

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United States Department of Justice

Fiscal Management

POST Management Program

Instructional Goal: To provide managers/manager trainees with an overview of fiscal management.

Performance Objectives:

- Discuss fiscal management and budgeting
- Discuss the purpose of fiscal management
- Discuss wants vs. needs
- Discuss justifications
- In a group setting, discuss impact of economic downturn

Fiscal Management

Financial Management means **planning, organizing, directing and controlling** the financial activities.

Managers direct the talent and resources within an organization to advance strategic goals.

Budgeting is......

- an annual process
- a continuous process
- probably the most important thing you do for the success of your agency
- a written commitment once approved

So what is so hard about fiscal management?

_____

_____

_____

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_____

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Different Priorities

Community
•Input
•Expectations
•Relations

Line Staff
•Needs
•Wants
•Input & Ownership

Management
•Input
•Expectations
•Relations
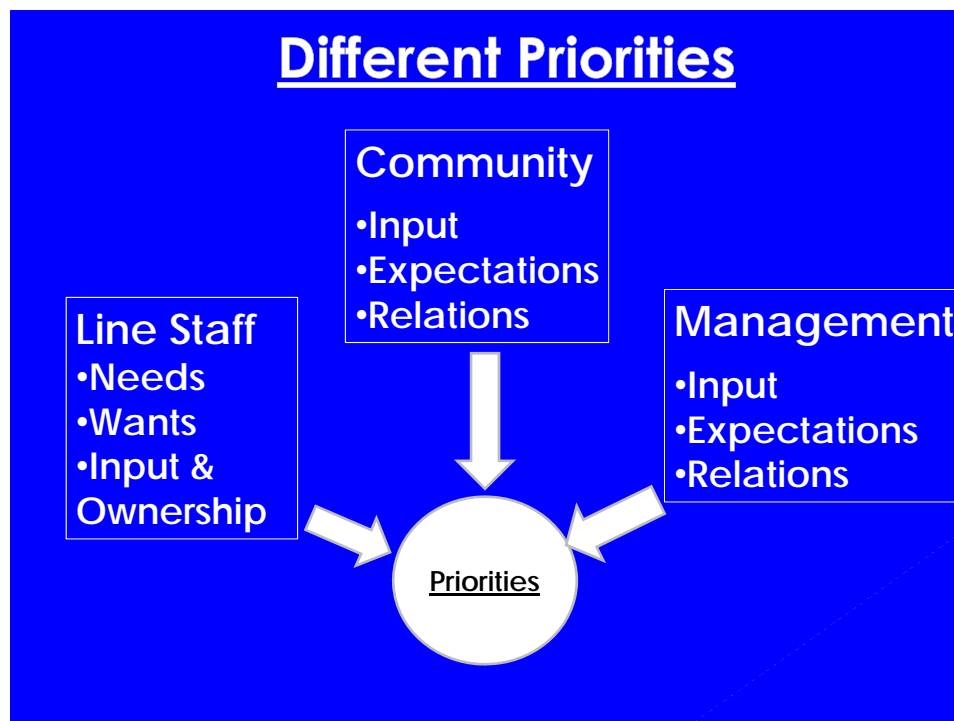
Priorities

Does all the stakeholders' priorities align?

Wants vs. Needs

- Need – something you have to have

- Want – something you would like to have

- Remember: You need justification to request and justification to spend

- Think Balance

How has the economic downturn affected your agency?

_____
_____
_____
_____
_____
_____
_____
_____

The Impact of the Economic Downturn on American Police Agencies

The economic downturn of the past several years has devastated local economies and their local law enforcement agencies. Sworn to protect and serve the public, law enforcement faces a bleak outlook. The nation's law enforcement agencies are confronting severe budget cuts and unmanageable layoffs, and they are fundamentally changing how they keep the public safe. COPS compiled data from a number of current surveys and data sets, which show the impact that the current economic climate has had on law enforcement agencies nationwide.**

Layoffs, furloughs, and unfilled jobs mean less public safety

- By the end of the year, it's expected that nearly 12,000 police officers and sheriff's deputies will have been laid off.
- An estimated 28,000 officers and deputies have faced week-long furloughs in 2010.
- An estimated 53 percent of counties are working with fewer staff today than just one year ago.
- 2011 could produce the first national decline in law enforcement officer positions in at least the last 25 years.

Budget cuts have a heavy impact

- Over one-third of the agencies that applied for 2011 COPS officer hiring funding reported an operating budget drop of greater than 5 percent between 2009 & 2011.
- Nearly a quarter of American cities surveyed have made cuts to public safety budgets.

The delivery of law enforcement services will fundamentally change as a result of today's economic climate

- Some agencies have stopped responding to all motor vehicle thefts, burglar alarms, and non-injury motor vehicle accidents.
- Agencies have also reported decreases in investigations of property crimes, fugitive tracking, a variety of white collar crimes, and even low-level narcotics cases.
- Many agencies have greatly reduced training opportunities for their officers.
- Investments in technology and communications systems are being slashed in many agencies facing budget reductions.

Number of full-time law enforcement officers in the United States from 2004 to 2012
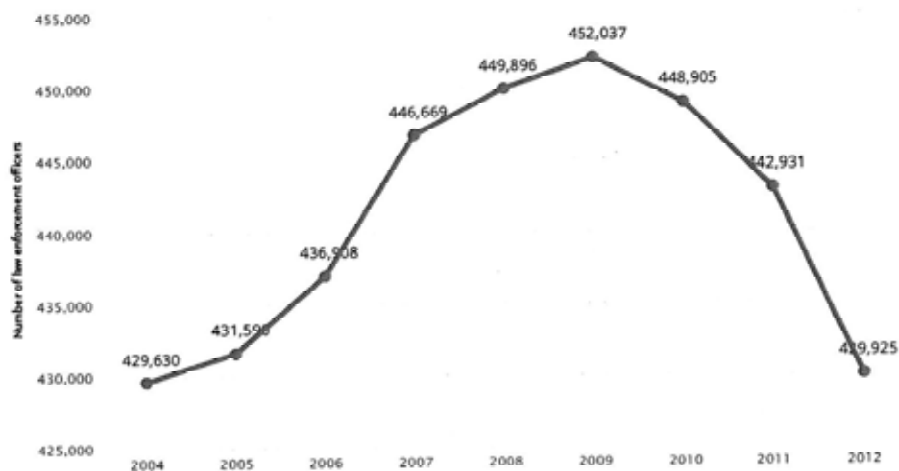
Sink or Swim; Scarcity of Resources Create Opportunities for Change

Bob Dylan sang in "The times are a changing" that "Is worth savin', then you better start swimmin', Or you'll sink like a stone, For the times they are a-changin'. Does that sound like your term as chief of police? My fellow chiefs, I'm here to tell you that if you haven't already begun the freestyle or butterfly, you may be up to your eyes in the flood of resource scarcity.

Two things I've learned are that the recruitment brochure for chief of police never mentions fiscal depravation nor diminishing resources. Doing more with less is an admirable quality and a courteous way of saying, the city is going broke. As good soldiers we accept it, look forward, and drive back to our office in the fleet of refurbished Crown Vics.

Unfortunately, these are the times facing today's chiefs, and in the spirit of Stalin's command of "not one step back", we move onward with promises of reductions in social harms while continuing to deliver a full menu of services. We are the chief of police, and be darn if our legacy is going to be recorded as one of mediocrity.

The water is rising, so what are we going to do? First, don't panic; unless your office has been relocated to a cardboard box under an overpass. Otherwise, stop, think and create. Create opportunity and explore options outside the traditional framework of policing. Take a deep breath and dive into exactly what it is your agency is doing to ensure optimum efficiency of operations. What are officers responding to day after day. How is their time spent on shift, and is there a better, truly more effective alternative to deliver policing services?

Do you know what your top calls for service are? Looking back over the five years prior to my administration, we learned that false alarms, general information calls and unlocking cars occupied three of the top five requests for service. We asked ourselves how could this be, and how long have we wasted resources responding to these calls? Did we ignore the calls for service? Of course not, but we did identify fiscally efficient solutions.

We immediately stopped sending law enforcement officers as priority to these "lock jobs" and trained civilian staff such as Animal Control Officers to provide this courtesy. We identified frequent false alarms offenders and asked them to obtain vendor service upgrades. We also make them aware of the fine schedule for habitual offenses. To address the third category monopolizing our resources, we opted to route requests for general information to a supervisor's cell phone instead of asking an officer to meet them. Often times callers had questions concerned basic themes such as what time does city court open, and what to do if someone is bothering you. We are still delivering quality of life services, but minimizing wasteful expenditures of policing energies.

On the issue of threats to staffing allocations, there are various formulas used to determine how many officers a jurisdiction requires. The IACP even avoids locking an agency into an arbitrary figure based on the popular but misdirected formula of 1 officer per 1,000 population. It is a very subjective guesstimate for determining the proper staffing levels, and has too many jurisdictionally specific characteristics to rely on a simple equation.

Often staffing levels are determined by a city's budget tolerance. Ask your city's administration or council how the current number of officers was determined. The common response will be without scientific calculations or formulas, but that it was what they could afford. We chiefs assume that prior to our arrival, some ingenious consideration of geography, census population, density, operational population, historical demands for service and potential responses to extenuating circumstances synthesized to deliver an optimum staffing decision. Nope.

Just the expense of personnel costs alone consumes the overwhelming majority of an agency's budget. Poorly performing or managed pension plans are costing agencies extremely high contribution percentages. Insurance rates, unemployment, earned leave and the overtime needed to cover those absences take a heavy toll on departmental budgets.

Solution? After articulating to the city's administration your best argument based on quantitative information is shot down, accept it for what it is. You can either quit, or rise up to show why you were selected as the chief executive officer. Prioritizing resource allocations based on statistical analysis is critical. You will learn when officers are most and least needed. This is similar to the capitalist model of on-demand production. Does it make sense to inventory snow boots in June?

How do some businesses thrive in this economy while others fail? The successful businesses seek quality-based operations, while eliminating waste accumulated through tradition. We must either work to eradicate the phrase, "That's the way we always did it", or learn the saying, "Brother can you spare a dime?"

Consider the concept of "lean" pioneered by the Toyota Production System, and imagine it's application for addressing your lack of resources. Lean focuses on only those expenditures of resources bringing value to the customer. Any other effort is considered a waste of energy or expense, and is eliminated from the production model, i.e... cops unlocking cars. Success is built into the process up front; not hoped for after production begins. It is about delivering value to our consumers by using less effort. It is about working smarter than hard!

Ronald Reagan said it is hard to drain the swamp when you are up to your armpits in alligators. The political, public and professional demands can be overwhelming, and data is the best known alligator repellant. It is also the only way to effectively operate in today's climate of scarce resources.

Talking about diminishing assets, what happened to federal grant money?   Gone are the days of recurring grants and entitlement funds. Even congressionally earmarked monies are limited for law enforcement agencies. The post-911 windfall is a memory and the term "competitive grant" has never been a more accurate description.

Agencies should consider combining multiple jurisdictions for projects meriting the awarding of limited grant funding. Academic partnerships are now required in many funding opportunities to ensure autonomous and credible reporting of program deliverables. Create opportunities for new partnerships by working with non-profits, academics and private businesses to help prepare the documents necessary and fresh perspectives sought out for competing with other agencies over the dwindling pool of monies.

Partnerships are a difficult concept, but consolidation is a curse word chiefs refuse to utter. We are proprietary by nature. We define ourselves by the number of people we command. We keep our resources close so they are available when we want them. We do not surrender resources, we accumulate them. We must drop the proprietary posture and open ourselves to the possibilities of consolidation. Maybe using the term "force multipliers" will make it less painful and politically acceptable.

The continuing militarization of American policing through the creation of SWAT units is not justified by the steady decreases in their activations and increasing costs of equipping and training. I'm not talking about the LAPDs or NYPDs, but the agencies where 6 of the 7 officers are SWAT. Because you put on black TDU pants and a tight black UA shirt while strapping on a thigh holster does not make you an operator. Consolidation of emergency response capabilities has become the model for local agencies, and provides a multiplier of resources in the rare times of need without draining an otherwise exhausted agency budget.

Look for other consolidation options such as communications operations. Private businesses outsource call taking to foreign countries, is it such a stretch to assign city dispatchers to the county call center? How about fleet management and maintenance? Won't the same wrench used on a public works truck work on a police cruiser? Seems like every agency has their own "regional" training academy. Here's an idea. Agree upon a centrally located complex and provide officers the best trainers in the business by developing a cadre of dynamic instructors regardless what patch is on their shoulder.

Information technology is another budgetary black hole. I've instructed agencies around the country that have numerous neighboring agencies using the same CAD and RMS but on proprietary platforms that do not share data. The annual maintenance fees alone make purchasing the best software cost prohibitive, but seamlessly integrating your data and expenses through contractual cost sharing makes previously unattainable system purchases a reality.

Law enforcement is not and should not be a revenue generating profession. We are bound by the budgets and powers that be. Dehydrating people do not refuse water because it isn't iced tea. You use what it takes to get the mission accomplished. Meanwhile be on the lookout for opportunity. Hint; you'll never see opportunity

with your head buried in your hands. It's out there, and it's up to the individual earning the honor of serving at the tip of the organization's spear to lead the way.

Progressively seek advice, actively listen to those who have retooled operations and achieved success, and purposefully avoid those who chose to sink beneath the tide because of their refusal to release the weight of tradition or egotistical resistance to change.

Is help on the way? Maybe and maybe that help is a pair of lead-filled floaties. Don't risk it. Instead take the creative initiative by learning to swim, tread or surf in the change that is here. Create opportunities for success by peering outside the fraternal policing bubble. Inspire others to multiply forces along the way to accomplishing multiple goals specific to maximizing energies expended serving the public.

I'm not going to ask you to keep your head above the water, I'm extolling you to have faith and walk on top of it.

Scott Silverii, Ph.D. was appointed Chief of Police for the Thibodaux Police Department, Louisiana in January 2011, after serving 21 years for the nationally accredited Lafourche Parish Sheriff's Office. Chief Silverii began his law enforcement career in 1990 by serving in a variety of investigative and command assignments including twelve years undercover and sixteen years in SWAT. A subject matter expert in data-driven approaches to crime and traffic safety, he was appointed to the IACP's prestigious Research Advisory Committee.

Chief Silverii earned a Master of Public Administration and a Doctorate in Urban Studies from the University of New Orleans, focusing his research on anthropological aspects of culture and organizations. Chief Silverii can be contacted at scottsilverii@gmail.com, @ThibodauxChief, LinkedIn, or Law Enforcement Today. His agency website and Facebook can be accessed at ci.thibodaux.la.us/departments/police/index.asp

Summary:

- Fiscal management is necessary
- Remember, it is a competition- all the other agencies want a piece of the pie
- Everyone thinks that their issue is important
- When requesting present credible information – NEED
- Provide assurances as to what result the investment will bring
- Explain the consequences of not funding the request
- Be able to explain the outcome

Want to Succeed?   If you have these three, you are a winner:

1. A reputation for honesty and credibility
2. A reputation for delivering results from prior investments
3. A willingness to reduce waste (especially personnel) and increase efficiency

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Grant Writing

POST Management Program

Instructional Goal: To provide managers/manager trainees with the information needed to write effective grants.

Performance Objectives:

- Identify essential components of an effective grant
- List common reasons why grants are declined
- Identify common mistakes that can hurt you and your agency
- Identify essential components to effective grant management

What Keeps Us from Doing Grants?

- ➢ Fear of rejection
  - • Reality – only one proposal in 5 is turned down because the idea was not good enough.
  - • Reality – a rejected proposal is worth about $10,000 of free advice
  - • Reality – the success rate is higher for proposals turned in a second time
  - • Reality – the success rate on a third submission is almost 1:1
- ➢ Not enough time
  - • Writing is like an Olympic event
  - • Needs constant practice
  - • Dedicate writing and creating your grant every day at a regular time in the same place for at least 20 minutes
  - • If you do not sit there every day, the due date will come and you will not be ready
- ➢ Don't understand the process (That is why you are here today)

Take the plunge and JUST DO IT!
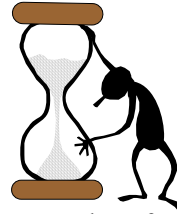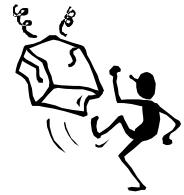
Keys to Success

Innovation and Creativity is important

- • Looking for new solutions to old problems
- • How do you create creativity?
- • Calling the Program Officer is the most important element
  - ▪ 85% of all successful grant seekers have had contact with the program officer

The Grant Process is Never Wasted

Can't get a grant unless you write one

Professionally fulfilling

Requires you to focus your thoughts

Armed with reviewer's comments the second proposal is always stronger

What is a Grant

A Grant is a conditional gift or a conveyance of funds with strings attached.

The funding source identifies the problem they want addressed, but no outcome is known.

The idea originates with the grantee.

Who Gives Money and Why?

- **Federal**
  - They get to tell you what to do
  - Tighter controls
  - fewer $ might mean fewer submissions ∴ success rate increases
  - slow review process

- **State**
  - little $ for basic research
  - often good for projects w/students
  - outsource work when budgets decrease
  - Often a pass through from the Feds

Private Giving

- **Private Foundations**
  - give out of goodness of their heart
  - advance a particular cause
  - $10 billion annually
  - only $1 billion to universities
  - often fund geographically

- **Corporations**
  - give for enlightened self-interest
  - quality of life
  - employment pool
  - improve image

Types of Grants

Direct – you receive the funding directly from the grantor

Pass through – the grantor awards the funding to a fiscal agent and they pass it to you

➢ You will report to the fiscal agent not the grantor

What Do I Need to Get Started?

DUNS # (Data Universal Numbering System).

CCR Registration (Central Contractor Registration) – www.bpn.gov/ccr

Information on how to write and manage a grant

Grant resource information

Your department's permission

Other things needed:

- Department's strategic plan,
- Department's mission statement,
- Department's organizational chart,
- Statistical data
- Population counts
- Other grants your department has
- Employment Opportunity Plan (EEOP)

What is a CFDA

Catalog of Federal Domestic Assistance (All grants have a CFDA #)

Debarred Vendor List – required if cost is $25k or more (https://www.sam.gov)

Supplanting – the "S" word for grants

Supplanting is using grant funds to pay for something that is already being paid for with general funds.

This will get you in *big* trouble and may cause your agency to have to pay back the grant.

Other grant pitfalls…

- ◼ Travel: watch GSA limits.
  - Travel costs must be reasonable and the cheapest route.
  - YOUR agency absorbs any costs over GSA.
  - Check GSA at www.gsa.gov
- ◼ Co-mingling of funds
  - You must be able to track grant funds apart from general funds.
  - Track your grant money with a separate account number

Grant Announcements:

Check to see if you qualify first.

- ✓ Do you have time to put together an application? What are the deadlines?
- ✓ Can you department abide by the requirements in the grant
- ✓ Does your department want to associate with that grantor?
- ✓ Are other departments within your agency also submitting?

The Process

- A good idea
- A good fit for your agency and the grantor
- Assemble a winning team
- Read the Guidelines
- Read them again
- Contact the sponsor
- Plan in detail
- Develop the budget from the detailed plan
- Read the guideline again with narrative in mind
- Be persistent - revise and resubmit

Is it the Right Grant?

- Federal
  - Are you eligible?
  - Can you meet match?
  - How many funded?
  - How much money?
  - Change to meet guidelines?
- Private
  - Institutional Advancement
  - Geographic
  - Who do they fund?
  - Range?
  - Type of project?
  - Interest, but no grants
  - Change to meet priorities?
  - Do they have staff?

More Questions to Ask

- Does the funding agency share your goals?
- Is the funding agency interested in the same populations?
- Has the funding agency funded projects similar to yours?
- Have they made awards to agencies similar to yours?
- Does the agency require matching?

- When will the award be made?

Writing a grant is like playing a game; you have to play by the rules

✓ You must follow the guidelines **exactly**.
✓ Respond to all sections.
✓ Adhere to any format restrictions.
✓ Topics must be covered in order presented in guidelines.
✓ Use headings that correspond to the guidelines.

The Next Step after Reading the Guidelines

Call the Program Officer

The major variable in getting proposals funded is contact with the program officer prior to submission of a proposal

Appropriate Writing Style

Write to the funding source

Write in the correct language of the field – but not jargon

NEVER write in 1st person

Clarity

5 W's (Who, What, Where, When, Why)

Write to inform - do not use language that is biased

Write to persuade (data from reputable source, current data, establish credibility, no   unsubstantiated opinions

Proposal Basics

FOLLOW INSTRUCTIONS

■ Be sure to review the RFP carefully looking for the key criteria that your application will be scored on.
  • Check eligibility for funding to be sure they will accept your application
■ *Keep word choice simple & to the point* (avoid using terminology that is confusing and specific to your discipline if it cannot be readily explained)

Elements of the Basic Proposal

1. Title
2. Cover Letter
3. Summary/Abstract
4. Problem Statement
5. Goals / Objectives
6. Methodology / Approach
7. Evaluation Plan
8. Organizational Capacity
9. Executive Summary
10. Budget

1. **Title** - The title is important
   - It should convey what the project is about
   - It is often used to assign review groups
2. **Cover Letter** - Tells about your agency
3. **Summary/Abstract**
   - Should be able to stand alone (it may be all the reviewer's read)
   - Publishable quality
   - Clear, concise. Usually limited to one page
   - Avoid 1st person
   - Cover all key elements in order
   - It is an overview of your proposal
4. **Problem Statement Should:**
   - Show that you understand the problem
   - Demonstrate that this is an important problem to solve
   - Clearly describe the aspects of the problem that your project will address
   - Describe the conceptual basis for your project
   - Demonstrate that your approach is create
   - Describe how the project fits into the already existing goals of the agency

   Dissecting the problem statement:
   - The first sentence describes the problem
   - Then clarify the problem by defining both the behavior and what is normal
   - States that this is a pressing need (which is hopefully a need the funder is addressing)

Problem Statement **provides reasons and causes**
   - Demonstrate through local and national statistics and information that there is a problem.
     - *Current Research*
     - *Local Research*
     - *Anecdotal information*
   - Who's involved
   - Which reasons addressed

Identify **Consequences**
   - Death or serious injury
   - Loss of property
   - Joblessness
   - Commit new crimes
   - Nothing

Personalize the Problem and make it interesting
- ✓ *Why should the funder care?*
- ✓ *Within their area of interest*
- ✓ *Response to solicitation*
- ✓ *Have made similar grants*
- ✓ *Current issue with national or regional attention*

Make it very clear!

- • *"The problem to be addressed in this proposal is..."*
  - • *Lack of juvenile sex offender programming in my community*
  - • *Lack of mental health services for mentally retarded youth in the juvenile justice system*
  - • *Lack of housing for women who are victims of domestic violence*

Problem Statement

- ■ Characteristics of Weak Problems
  - ● Focus on your organization – not the problem
  - ● Does not communicate what is in it for the funder.
    - ■ *How does the project relate to their area of interest*
  - ● Focus on hiring staff or purchasing equipment – not solving the problem.
  - ● Not responsive to the RFP
  - ● Language not compelling
    - ✓ *We desperately need…*
    - ✓ *We do not have …*
    - ✓ *We lack …*

Words that Paint a Picture

- ■ "There is still not a single traffic light the length and breadth of Pend Oreille County."
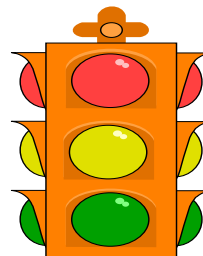
What was used to prove need?

- **Statistics**
- **Charts**
- **References**
- **Documentation** (current literature, 6-10 key references, key informants, case studies, statistics, surveys, focus groups, relevant graphs and charts)

Good resource for statistics is American Fact Finder (factfinder2.census.gov) and American Community Survey (www.census.gov/acs/www/)

Ending our Problem Statement

- Emphasize the significance of the project
  - what will be the result
  - what impact will it have
  - will the impact continue
- You might present you project as a model
- Always address the priorities of the funding agency
- Forecast the usefulness and importance of the results
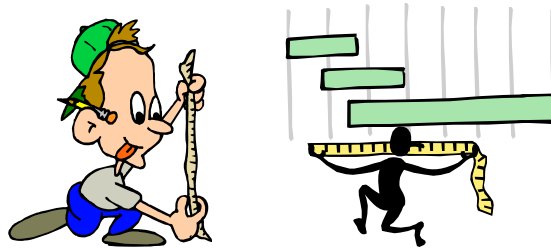
5. **Goals and Objectives**

GOAL – general statement of what the program hopes to accomplish. Should reflect the long term desired impact of the program on the target population and any target goals required by the funding source

OBJECTIVES – The specific, measurable, obtainable way you are going to achieve the goals of your project

Outcome Objectives

- Indicate a positive or negative change
- Clearly indicate the impact of the project
- Show what the condition of the problem will be in the future
- Statement which defines a measurable result the project expects to accomplish

Process Objectives

- Measure of what the project will do
- Measure of activities
- Means to the ends
- Statements of primary methods written in a time-limited way
- Develop process objectives only if requested by funder

Objectives:

- ❑ Show what you want to achieve – **what impact your program will have.**
- ❑ Must be measurable
- ❑ Must be achievable

- ❑ Must relate to the problem
- ❑ Must be time- limited
- ❑ The key is specificity

6. **Methodology/Approach**
   - Usually, this is the area allotted the most points.
   - Often poorly written or missing altogether.
   - 2:5 proposals are turned down because the methodology is unsound.
   - Often the most detailed and lengthy section.
   - What specific activities will allow you to meet your objectives?
   - Task oriented, specific, detailed
   - Essential that you demonstrate all the steps necessary to complete project with each flowing logically from the previous to the next.

Questions for Methodology

- Walk the reader through your project
- Describe the activities as they relate to the objectives
- Develop a time line and/or and organizational chart
- How will the activities be conducted?
- When?
- How long?
- Who?
- Where?
- What facilities?

Approaches/Project Description
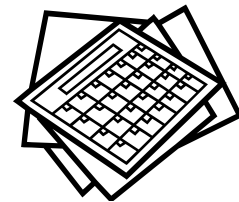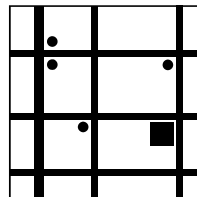
- *Who?*
  - *Who is being served?*
  - *Who is performing the activity?*
  - *Who is participating?*
- *What?*
  - *Assume reviewer knows little or nothing about your field*
  - *What is going to occur?*
  - *Very detailed*
  - *Very specific*
- *Where?*
  - *Where exactly will each activity occur?*
  - *Describe each site if more than one.*
  - *Create a mental picture of the setting.*
- *When?*
  - *Year*
  - *Month*
  - *Week*

- *Time of Day*
- *Show timeline*

7. **Evaluation**
   - Benefits and Reason for doing evaluation
     - Provides feedback about what worked and what failed for the program
     - Gain insight into effective strategies on how to improve
     - Measures impact the program is making
     - Required by funder
   - Need not be
     - Expensive
     - Complicated
     - Time consuming
   - Some evaluation is better than none
   - External evaluator is sometimes seen as more objective than internal
   - Evaluator should be qualified
   - Evaluation plan should be meaningful, related to goals and objectives, and be an honest examination of program
   - Planning *(involves examining the developmental issues prior to setup)*
   - Process or Formative *(involves monitoring the "process," ensuring activities are completed on time and on target, while the program is ongoing)*
     - Tells you if you're on track
     - Points to improvement
   - Outcome or Summative *(involves assessing the outcome at the conclusion of the program and measures how change that has occurred as a result of the program)*
     - Shows what impact you have had on problem
     - Helps justify program
   - Cost Benefit

Evaluation Flowchart

GOAL

STATED OBJECTIVE

Activity

Outcome

Performance Indicator
(either quantitative or qualitative)

8. **Organizational Capacity**
   - Some grant applications may combine this with the Cover Letter
   - Mission & History
     - Capacity to administer
     - Similar Experience
   - Accomplishments
   - Role in community
   - Who is served
   - How served
   - Outside endorsements
     - Letters of Support
     - Memorandums of Understanding/ Agreement
   - Awards
   - Fiscal Accountability
   - Staff Credibility
   - Boards, other volunteers
   - Funding sources
   - Licenses
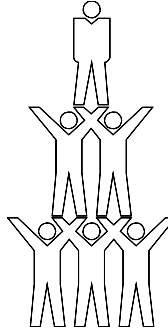
9. **Executive Summary**
   - Section by itself that summarizes the proposal
     - ✓ Length depends on grantor requirements
     - ✓ Identifies applicant and helps establish credibility
     - ✓ Identifies the Problem to be addressed
       - ✓ *The problem to be addressed is ….*
     - ✓ Identifies the Goals/Objectives to be achieved
     - ✓ Identifies the Approach to help achieve success
     - ✓ Identifies how the program will be evaluated
       - ✓ *Evaluation of this grant will be addressed in the major objectives of the program that are identifiable, measurable, quantifiable, and time-phased*
       - ✓ *Evaluation results will be used to improve program for next year*
     - ✓ Identifies the resources needed to achieve success (Budget)
       - ✓ *Total cost of project is …, we expect other funds in the amount of … and are requesting …for …*

10. **Budget**
    - Identifies cost of response to problem
    - Tied to project description and approach to justify the need for each budget item
    - Clearly shows how costs are calculated and contains only essential expenses
    - Shows what you are contributing
      - In-kind
      - Volunteer
      - Cash-match
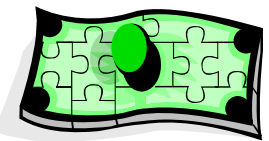
How do we determine if a cost is allowable?

   - Only required for federal, but most institutions apply to all sponsored projects.
   - REASONABLE: A prudent business person would have purchased this item and paid this price
   - ALLOCABLE: Assigned to the activity on a reasonable basis
   - CONSISTENTLY TREATED: like costs must be treated or costed the same in like circumstances

Categories of a Budget

- Salaries
- Fringe Benefits
- Travel
- Materials & Supplies
- Equipment
- Contractual
- Other

To calculate total project cost:

- Total Direct Costs
- + Indirect Cost Rate (i.e.: 35% of Salaries)
- =Total Federal Share
- + Cost Sharing (match)
- Total Project Cost

Other things to know:

- Indirect costs
- Davis-Bacon act – requires you pay prevailing wage for construction or renovation projects.
- Buy American Act – requires you buy from American companies and American made products.
- Match funds
  - Can you afford it?
  - How do you calculate it?

REVIEW

- Application Guidelines contain review criteria
- Peer Reviewed
- Panel Review
- Staff Review
- Board Review
- If points are assigned to sections, one weak section may limit the chances of an otherwise strong proposal.

A Reviewer Friendly Grant

A Readable Style

- Scan ability
- Make sure that all pages are not just solid text
- Use bulleted items
- Use graphics in methodology and needs sections
- Use headings and subheadings, bold and underline, no italics
- Look at each introductory sentence of a paragraph, it is the most important part, it is all they may read
- Use typefaces with serifs, like Times, they are easier to read
- Do not justify

Editing

- The fine balance between wordiness and brevity that equals clarity
- After you have finished your draft:
  - set it aside for a day

- o revise
  - Have someone else read it without taking notes
  - Have them tell you what your project is about
  - Edit for clarity and conciseness
  - No jargon
  - No first person

Writing in Plain English

- Grant Writing is a form of technical writing
- Put sentences in logical sequence
- Use action verbs
- Never write in first person
- Use lists when you have several items
- Use the active voice
  - avoid "to be"
  - subject first
- Use parallel construction
- Avoid noun strings
- Go on a "which" hunt
- Avoid openers with There is, There are, and It is – try "ing"

Formatting and Typing Checklist

- Use margins, type size and spacing as requested
- White paper
- Adhere to page limits
- Address all sections of guidelines and review criteria
- Address review criteria
- Make sure the budget balances
- Standard bibliography format
- Complete all forms
- Proofread/spell check
- Check duplication process

Page Limits

- Can you go beyond the limit   **NO!!!**

The Final Document

- Readable, neat, easy to handle
- Avoid fancy covers or a slick appearance
- Be sure sections are easily identifiable and table of contents is accurate
- Required number of copies
- Necessary signatures in blue ink

Submitting your Grant

The last minute

- Due Date: "received by" or "postmarked"
- You can't FedEx to a P. O. Box.
- Make sure you have the correct address

13 Reasons Why Proposals Fail

1. Deadline not met
2. Guidelines not followed
3. Nothing intriguing
4. Did not meet priorities
5. Not complete
6. Poor literature review
7. Poorly written
8. Appeared beyond capacity of agency
9. Methodology weak
10. Unrealistic budget
11. Cost greater than benefit
12. Highly partisan
13. Mechanical defects

Grant Writing Pearls of Wisdom

- Some factors are beyond applicants' control
- Control the factors you can
- Make the application as strong as possible
- Eliminate all possible weaknesses
- Be positive

Common Mistakes

Sloppy writing: work to improve your writing

- Take a writing or grammar course
- Purchase a style book like Stunk & White's Elements of Style
- Have a strong writer critique your proposal

Irritating Reviewers

- Not following directions
- Flowery language that means nothing
- Appending "filler" material
- Providing too much information
- Gearing only to money

Not following directions

- Wrong number of copies
- Stapling copies
- Missing deadlines
- Wrong signatures
- Using outdated forms
- Sending unwanted attachments
- Deviating from format
- Missing signatures

Waiting until last minute

- Proposal not logical
- Forget crucial elements
- Inadequate planning

- Problems with collaboration

Waiving Red Flags

- Padding the budget
- Computers and related equipment
- Unjustified travel
- "Miscellaneous" budget category (many won't allow this)
- Exceptionally high consultant costs (many grants have limits)
- 10% of all existing staff

Elements of a Strong Proposals

- Compelling problem
- Innovative approach
- Thorough research
- Clearly written
- Well organized, complete
- Credible organization
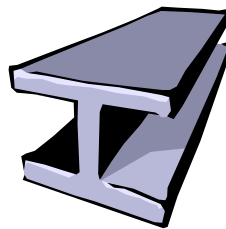
Recycle your Rejected Proposal

- Success means having one in three grants funded
- A rejected proposal does not always mean the idea was rejected
- Obtain reviewer comments
- Call the program officer
- Rewrite, revise, resubmit
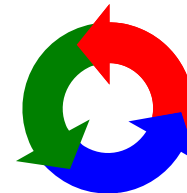
The Biggest Mistake of All

- Is to not write a proposal.
- It is absolutely fatal.
- So – Go ahead – What do you have to loose!
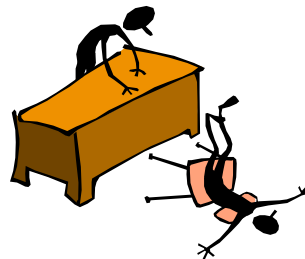
Find out what is available

- Internet Websites
- The Grantsmanship Center – www.tgci.com
- The Foundation Center – www.fdncenter.org
- GuideStar.org – www.guidestar.org
- GrantsNet – www.os.dhhs.gov/grants/index.shtml
- Grants.gov – grants.gov/Index
- Dept of Justice – www.justice.gov/10grants

Final Notes

- If you are funded, administer it responsibly
- Your grant history will follow you
- If you don't get the grant, ask for reviewers' comments – written or over the phone
- Use the information to strengthen future applications

Grant Management

- Fiscal Accounts

- Project Income
- Purchase and Disposition of Property
- Budget Revisions
- Reporting Requirements-specific to each grant.
- Closeout Procedures

Mismanagement

- Can result in suspension of funding:
  - Failure to comply with regulations
  - Failure to comply with terms and conditions of grant award
  - Failure to comply with state, federal, or local requirements
  - Misuse of funds

Grant Management

- Know the grant reporting requirements
- Read the guidelines
- Read the assurances. Carefully.
- Maintain the file a minimum of 3-5 years after close.
- Follow your department's purchasing rules.

Keeping your Files

- Have a filing system:
  - Binder with sections for:
    - Announcement and guidelines
    - Application (all versions)
    - County or City required documents
    - Fiscal claims with all back up documents (invoices, receipts)
    - Progress reports
    - Supporting documentation
    - Change requests
- This is the official record

Budget Oversight

- Watch the budget carefully:
  - Individual line items may have to be exact, or may have a +/- 10%. Check with the grantor.
  - Watch reoccurring costs such as cell phone service. These will sneak up on you!
  - Is it reasonable, allowable, and **provable**?

Change of Request and Equipment

- What if you need to change your budget or the scope of your project? GET IT IN WRITING!
- What to do with grant funded equipment you don't need anymore? Ask the grantor and GET IT IN WRITING!

Disposition of Property

- Equipment purchased under a grant has specific requirements
- You may need to check with the grantor before disposing of it, donating it, or giving it away

Audits

- You will be audited – it's just a fact of life.
- Think like an auditor: prove everything.
- If this was YOUR money that someone you didn't know was using for a program you were unfamiliar with – what kind of back up documentation would you want?

Closing Out a Grant

- Prior to end date (60-90 days), notify the Program Manager of remaining balances
- Check requirements for the final fiscal and programmatic reports

Non-profit guides

(Grant-writing tools for non-profit organizations)

Successful grant-writing involves solid advance planning and preparation. It takes time to coordinate your planning and research, organize, write and package your proposal, submit your proposal to the funder, and follow-up.

Preparation (planning and research) is vital to the grant-writing process. Solid preliminary work will simplify the writing stage. A well-written proposal follows the basic steps outlined below.

Organize your proposal, pay attention to detail and specifications, use concise, persuasive writing, and request reasonable funding. Make sure the grant maker's goals and objectives match your grant seeking purposes.

Clearly understand the grant maker's guidelines before you write your proposal. Always follow the exact specifications of the grant makers in their applications, Request for Proposals (RFPs) and guidelines.

Use these basic steps to guide you:

1. Prove that you have a significant need or problem in your proposal.
2. Deliver an answer to the need, or solution to the problem based on experience, ability, logic, and imagination throughout your proposal.
3. Reflect planning, research and vision throughout your proposal.
4. Research grant makers, including funding purposes and priorities, and applicant eligibility.
5. Determine whether the grant maker's goals and objectives math your purposes.
6. Target your proposal to grant makers appropriate to your field and project, but do not limit your funding request to one source.
7. Contact the grant makers, before you write your proposal, to be sure you clearly understand the grant maker's guide lines.
8. Present your proposal in the appropriate and complete format, and include all required attachments.
9. State clearly and concisely your organization's needs and objectives. Write well; use proper grammar and correct spelling. Prepare an interesting and unique proposal.
10. Always cover the following important criteria: project purpose, feasibility, community need, funds needed, applicant accountability and competence.
11. Answer these questions:
    - ➤ Who are you?
    - ➤ How do you qualify?
    - ➤ What do you want?
    - ➤ What problem will you address and how?
    - ➤ Who will benefit and how?
    - ➤ What specific objectives will you accomplish and how?
    - ➤ How will you measure your results?
    - ➤ How does your funding request comply with the grant maker's purpose, goals and objectives?

12. Demonstrate project logic and outcomes, impact of funds, and community support.
13. Always follow the exact specifications of the grant makers in their applications, Request for Proposals (RFP) and guidelines.
14. Contact the grant maker about the status, evaluation, and outcome of your proposal after it is submitted. Request feedback about your proposal's strengths and weaknesses.

Non-Profit Guidelines

Full Proposal

There are different forms and formats for full funding proposals. Every funder has different guidelines and priorities, deadlines and timetables. Some funders accept a Common Application Form (CAF), a single proposal accepted by a number of grant makers to help grant seekers save time and streamline the grant application process.

- Always follow the exact specifications of the grant makers in their grant applications, Request for proposals (RFPs) and guidelines. Full Proposals are generally a maximum of 15 pages (single-spaced) and include a Cover Letter, Cover Sheet, Narrative, Budget, Qualifications, Conclusion and Appendices, as follows:
- Cover Sheet – a case statement and proposal summary;
- Needs Assessment – a concise demonstration of the specific situation, opportunity, problem, issue, need, and the community your proposal addresses;
- Program Goals and Objectives – a succinct description of the proposed project/program's outcome and accomplishments in measurable terms, and how it matches the funder's interests;
- Methodology – a rational, direct, chronological description of the proposed project and the process used to achieve the outcome and accomplishments;
- Evaluation – the plan for meeting performance and producing the program/project;
- Budget/Funding Requirements – a realistic budget with a detailed explanation of the funding request, committed matching funds, evidence of sound fiscal management, and long term funding plan;
- Qualifications – your organizations background, its funding history, board involvement and staff qualifications, and its capacity to carry out your proposal;
- Conclusion – a brief, concise summary of your proposal;
- Appendices – additional attachments required by the funder, such as proof of tax-exempt status, organizational and financial documents, staff/board lists, support/commitment letters.

Present your full proposal neatly, professionally, and in an organized package. Type and single-space all proposals. Write, organize and present your proposal in the order listed in the application and guidelines. Only include the information and materials specifically requested by the grant maker. The proposal is judged on content and presentation, not weight.

Unless required, do not include an index or table of contest, or bind the proposal, and be sure to sign it and submit the number of copies requested by the grant maker.

Sample Grant Proposal

Over the years the Ohio Office of Criminal Justice Services (OCJS) has received requests from grant applicants for copies of successful grants, to tailor future proposals off these "model" grants. OCJS has been reluctant to fulfill these requests simply because copying another organization's proposal style or idea is no guarantee of funding.

As a new customer service to constituents, OCJS has created the following Sample Grant Proposal, complete with fictitious names and sources. While not all the components of this Sample Proposal are required from OCJS grants, it is a good example of a universal—and sound---funding proposal.

Sample Grant Proposal

City of Summerville
Department of Public Safety

February 12, 2014

Mr. Fred Brown
MacAllister Foundation
1295 Corporate Way
Summerville, OH 44123

Dear Mr. Brown:

In response to your request of last Tuesday, I am submitting this proposal to increase the public safety of the City of Summerville by improving the overall physical fitness of the officers of the Summerville Police Department.

The Summerville Department of Public Safety hopes that your Foundation will respond favorable to this effort to better serve the citizens of Summerville.

Sincerely,

Darrell R. Jones
Director

SUMMARY

The Summerville Police Department, having served the City of Summerville for 147 years, is experiencing a high incidence of cardiovascular and musculo-skeletal problems among its sworn officer, resulting in fewer officers on the street. This problem has reached a point where public safety may be in jeopardy. Research shows that regular exercise will help keep law enforcement officer fit for duty. Project objectives include reducing by 20 percent the use of sick leave due to these problems.

It is proposed that a fitness center be developed where Summerville officers can regularly exercise.

This project involves the renovation of the basement of the Police Department as a workout room, the purchase of exercise equipment, and training of all participants. The proposed program will be conducted under the close supervision of medical and exercise professionals, with requested funds totaling $33,696.00. Future maintenance of the project will be possible through appropriations from the Summerville City Council and volunteer fund-raising efforts carried out by the friends of the Summerville Police Department.

INTRODUCTION

The Summerville Police Department began serving the City of Summerville in 1865. It was in that year that Zeke Foster, on returning from military service in the War Between the States, was sworn in as the first chief of Police. Chief Foster was the only police officer until 1882, when the City Council appropriated monies to hire three additional officers to help keep order in the expanding community.

Since the late 1880's, both Summerville and it Police Department have continued to grow. The 2010 U.S. Bureau of Census figures indicate that Summerville has a population of 22,481. This represents a population increase of 15 percent over the 2000 census. New businesses and industries, attracted by the ample labor force resulting from bankrupt farming, have provided an unexpected source of economic growth.

To serve this community, the Summerville Police Department now has 45 full-time sworn officers. The current police force is 65 percent male, 35 percent female. Exactly half are between the ages of 35 and 45. Of the remaining 50 percent, half are younger than 35 and half are older than 45. The average tenure for officers is 18 years.

All sworn personnel have completed the required basic law enforcement training. Eighty percent of these officers have at least 120 hours of advanced training in such subjects as homicide investigation, accident investigation, SWAT techniques, baton and other non-lethal force, crime prevention and missing children investigation.

The Summerville Police Department was one of only two Ohio law enforcement agencies that successfully underwent certification by the National Council of Law Enforcement Excellence. This designation denotes that the Department has achieved exceptionally high standards of performance in all six bureaus. In addition, fifteen officers have been awarded the Mayor's Medal of Merit for risking their lives to save others.

PROBLEM STATEMENT

One of the consequences of an experienced police force is that a number of officers have become statistically more likely to suffer from health problems, most notably musculo-skeletal and cardio-vascular problems. A recent examination of employee absentee records revealed that 33 percent of all sworn personnel have missed at least 15 days in previous calendar year. On closer, examination of the records, it was discovered that the sick leave was used for heart attacks, arteriosclerosis, back problems, torn ligaments and tendons, pulled muscles and other fitness-related conditions.

Contact with Morgan Feinberg, N.D. revealed that the officers he treated suffered from health problems including all the above conditions. Similar contact with other Summerville area physicians confirmed this pattern.

In a recent presentation to the Summerville Police Department executive staff, Dr. Farron Updike of the Department of Exercise Physiology at the University of Summerville stated that the majority of work-related musculo-skeletal problems are preventable through a regular regimen of weight training. Citing the works of Baker (2010) and Oldfield (2011), Dr. Updike indicated that exercise to stretch and tone body musculature at least three times per week will reduce these problems by a statistically significant margin. He also stated that the same is true of cardio-vascular disease: aerobic exercise at least three times a week will significantly reduce the incidence of heart and other circulatory disorders in any non-smoking adult population.

Research on job-related health problems among law enforcement officers mirrors what occurs in general population. In a task analysis of police officers, Lewis (2011) documented the regular necessity to run, jump and lift. All these activities contribute to the need for exceptional fitness. Conversely, where such fitness is absent among police officers, the likelihood of cardio-vascular and musculo-skeletal problems increases. Draught (2010) discovered that police officers that exercise regularly, whether on their own or as part of a department fitness program, experienced significantly less cardio-vascular and musculo-skeletal problems than officers who did not regularly work out.

When law enforcement officers are off work, whether for health problems or other reasons, the community they serve is at greater risk of criminal victimization. One Study (Fisk, 2011) shows that the response time for police-related 911 calls is significantly longer when shifts are staffed at below recommended strength. A closely related problem is the added stress suffered by officers who must try to serve the community short-handed.

Another line of research on the consequences of under-staffed forces explored the ability of officers to engage in proactive policing. Traditionally, when officers are not responding to assigned calls, they patrol designated areas in an attempt to proactively enforce laws. However, when a substantial number of officers are off work due to health problems, the remaining officers are barely able to handle assigned calls. The most important consequence of having a substantial number of disable officers off work, then, is a community whose safety needs are not being met. In the most extreme cases such as those detailed by Farber (2010), the issue becomes one of life and death.

OBJECTIVES

Given the importance of making steady, incremental progress toward employee health, it is unlikely that demonstrable results will be possible in the first year. During the first year, emphasis will be placed on setting up the project, evaluating the pre-program health of the participants and training various participants.

To assess the extent to which the proposed project remedies the problems noted above, it will be necessary to quantify the results to measure the project's effectiveness. The following are the project objectives:

A. To reduce the use of employee sick leave for cardio-vascular problems by 20% during the second full year of the project.

> On the basis of organizational health studies by Grafmiller et.al. (2010), there is reason to believe that a regular exercise program such as that proposed in this project will result in a 20-25% decrease in the amount of requested sick leave due to cardio-vascular illness.

B. To reduce the use of employee sick leave for musculo-skeletal problems by 40% during the second full year of the project.

> Research undertaken at University of Stockholm's Institute for Adult Health Studies (Lindstrom et al, 2012) revealed that the effects of regular weight training are dramatic or even adults who have not been involved in any type of fitness regime. As compared to the control subjects, who were identical to the experimental subjects in all respects? Lindstrom's subjects cut in half the amount of time off work due to illness and injury.

<div style="text-align: right">O B J E C T I V E S</div>

C. To lower the average resting pulse of unfit employees by five beats per minute.

Studies by Moritz, Delker, and Storer (2011) and Pratt (2012) suggest that eight months of regular fitness training, on average, lowers the pre-program resting pulse rate by 20%, or 16 beats per minute for the individual whose original resting pulse was 80. The subjects in this study, however, consisted of adult males between the ages of 18 and 35. Given the fact that the Summerville officers are older than Pratt's subjects, a more conservative objective has been chosen.

PROJECT DESCRIPTION

The proposed project is comprised of several different, but related activities:

A. Physical Evaluation of the Officers

The first component of this project is the physical examination of all Summerville P.D. sworn employees. Of special interest for purposes of the project are resting pulse rate, target pulse rate, blood pressure and percentage of body fat of the program participants. Dr. Feinberg will perform the physical examinations of all participating officers. The measurement of body fat will be conducted at the University of Summerville's Health Center under the direction of Dr. Farron Updike.

B. Renovation of Basement

Another phase of this project involves the renovation of the basement of police headquarters. The space is currently being used for storing Christmas decorations for City Hall.
The main storage room will be converted into a gym. This room will accommodate the Universe weight machine, the stationery bike, the treadmill and the rowing machine. Renovation will consist of first transferring all the Christmas decorations to the basement of the new City Hall. Once that is accomplished, it will be necessary to paint the walls, install indoor/outdoor carpeting and set up the equipment.
A second, smaller room will be converted into a locker room. Renovation will include painting the floors and the installation of lockers and benches.
To complete the fitness center, a third basement room will be equipped as a shower room. A local plumber will tap into existing plumbing to install several showerheads.

C. Purchase of Fitness Equipment

The Department of Public Safety has identified five vendors of exercise equipment in the greater Summerville area. Each of these vendors' submitted bids for the following equipment:
- Universe Weight Machine
- Atlas Stationary Bike
- Yale Rowing Machine
- Speedster Treadmill

D. Training of Officers

Participating officers must be trained in the safe, responsible use of the exercise equipment. Dr. Updike of the University of Summerville will hold periodic training sessions at the department's facility.

EVALUATION

To determine whether project objectives are being met, Dr. N. Cruncher of the Department of Statistics at the University of Summerville will formally evaluate the project. The evaluation Dr. Cruncher has proposed consists of two strategies for assessing project success:

A. Process Evaluation

It is necessary to determine the extent to which the officers have been adequately evaluated prior to beginning the fitness program. It will also be necessary to ensure that participating officers are working out

the required three times per week. If the evaluator determines that any of these conditions are not being met, he will advise the project director who will correct the problem.

B. Outcome Evaluation

Of primary interest is whether the proposed fitness regimen actually improves the fitness   of officers and reduces their time off from work. To determine the extent to which the project is responsible for the improved fitness to the officers, Dr. Cruncher will collect extensive data on the pre-project health statistics of the participants. Variables will include resting pulse, target pulse, blood pressure, percentage of body fat, and the maximum amount of weight the participants can safely and comfortable bench press.

At six-week intervals throughout the project period, Dr. Cruncher will collect the same data on all participants. The pre- and post-project data will be compared using t-tests and analysis of variance.

FUTURE FUNDING

Despite the fact that most of the costs involve one-time purchases, it will be necessary to plan for future funding of certain aspects of the project. These costs include maintenance of the fitness equipment, periodic training of new officers in the proper uses of equipment, and supplies such as towels and soap.

The Summerville City Council has indicated that if the project is funded, it will appropriate maintenance. A similar commitment from the Friends of the Summerville Police Department will ensure that the Department can sustain the project in the future.

BUDGET/NARRATIVE

Personnel

 Salaries and Wages

  Project Director: Lieutenant Stone

$44,990 X 20% X 2 years	$17,996.00

  Fringe Benefits

$17,996.00 X 26%	$4,679.00

Equipment

Universe Weight Center	$2,070.00
Atlas Stationary Bike	$999.00
Yale Rowing Machine	$1,020.00
Speedster Treadmill	$2,299.00

Supplies

Towels, bath soap, disinfectant	$450.00

Consultants

 Consulting Physiologist: Dr. Farron Updike

20 hours of consultation @$30.00/hr.	$600.00

 Evaluation Consultant: Dr. N. Cruncher

14 days of consultation @ $250.00/day	$3,500.00
PROJECT TOTAL	$33,613.00

Personnel

Lt. Stone will devote 20% of his time serving as Project Director for the two years of the project. The standard rate for the City of Summerville employee benefits is 26%.

Equipment

The listed cost of the fitness equipment was determined through a competitive bidding process. Of the five vendors that responded to the bid, Miller's Sports Mall submitted the lowest bid.

Supplies

The costs of the supplies was based on 40 towels at $8.00 per towel, 120 bars of soap at $.50 per bar, and four 2-gallon bottles of disinfectant at $17.50 per bottle.

Consultants

The hourly and daily rates requested by Dr. Updike and Dr. Cruncher are their usual and customary rates, and are supported by their education and experience.

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Fisk, A.P.   "9-1-1 Calls and Department Strength: A Lagged, Time Series Analysis."
                        American Police Studies Review 14 (3): 111-139.

Grafmiller, H.L.   "An Evaluation of Organizational Fitness Programs."
                        Harvard Corporate Review 71 (9): 49-61.

Lewis, N.S.   "Routine Physical Tasks in Patrol Work."
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Lindstrom, B.J.   "Free Weights and Fitness: Results of a Controlled Experiment."
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Oldfield, G. R.   "Muscle Toning Subsequent Likelihood of Injury."
                        Musculo-Skeletal Symptomatology 33 (2): 56-72

Pratt, B.T.   "Pulse Rate and Workouts: A Correlation Analysis."
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Friends of the Summerville Police Department

January 7, 2013

Mr. Fred Brown
MacAllister Foundation
1295 Corporate Way
Summerville, OH 44123

Dear Mr. Brown:

It has come to my attention that the Summerville Police Department intends to approach your foundation for the funding of its fitness program. I offer the following comments in support of the program.

Our board has had a number of discussions with the Chief of Police and the Director of the Department of Public Safety. We informed them that while we wholeheartedly support their idea, our organization cannot fund a project of this magnitude. We are, however, in a position to fund the maintenance of the project once the major objectives have been accomplished.

We therefore support the Summerville Police Department Fitness Project and hope you will act favorably on their requests.

Sincerely,

Ida Mae Tucker
Chairperson

A Nonprofit Service Organization

Grants 101 with Sarah Wilson - 'Tis the Season... Lessons Learned

Add PoliceGrantsHelp on Facebook and visit our blog so we can help you get what you need

The team at PoliceGrantsHelp is pretty lucky.

What I mean to say is we have the privilege of talking to officers every day about their department needs, what's going on in their communities, and ultimately their grant projects. Taking into account all the conversations we have had over the past year, there are a number of trends we see for departments who are successful when it comes to following through with a grant project.

As we embark on a new grant year – here are some lessons learned from the team at PGH for your department to plan for as you start navigating grants for 2013.

Lesson Learned #1: A Top Priority for the Department?
Have you asked permission? What I mean to say is before you start looking into grants to fund a project, do the "powers that be" (Chief, Mayor, etc.) know you are looking into this project? Grants are a legal, binding contract between the grant maker and your department. Grants require a partnership on behalf of the department that includes some kind of match (cash or in kind services) and reporting requirements.

Let's say you believe that drugs are the biggest problem impacting your community and you think your department needs thermal imaging equipment to counter this issue. Coincidentally, your department also identified a drug problem through the most recent strategic planning session. Knowing this, they have elected/delegated/volunteered you to research and put together a grant proposal to apply for thermal-imaging cameras. This is of course an ideal scenario and I recognize it doesn't always happen this way. At least you know that all of your efforts to look into and secure funding won't be wasted when you find out that there are about 5 other projects ahead of yours that the department has elected to focus on.

Some things to think about: When was the last time your department did any planning or strategic thinking? Is the identified problem and solution included as part of this plan? Do you have permission to apply for grants on behalf of the department?

Lesson Learned #2: Identify the Problem
You know that your department has a need for equipment, training, programs etc. – but what grant makers (or any funding sources) want to know is what problem this grant request will solve in your community. The first question we ask every department is: What will happen in your community if you do not get this equipment, training, etc.? What will be the impact if you receive this funding? What will happen if you do not? Cause and effect.

For example - say your department needs a thermal imaging camera. You have this need because there is a problem with drugs in your community. You have done your homework and gathered data that proves there is an increase or "hotspots" for drugs in your community. Therefore, the problem is drugs and its impact on the community. One solution is to patrol the rural areas with thermal imaging cameras where drugs are being distributed. Thermal imaging cameras will enable your officers to identify and apprehend drug suspects, thus decreasing the distribution of drugs in your community.

The equipment you wish to purchase or the programs you seek to fund are considered the "solution" to a problem. To determine the appropriate funding source, your department must first define the problem to justify the need.

Lessons Learned #3: Data Support

You know you have a problem; you see it every day in your community. The thing is, the funding source for the grant most likely doesn't live or work or patrol in your community. You need to demonstrate that there is in fact a problem not just by identifying it (reference Lessons Learned 1 and 2) but by supporting the claims.

Using our example from Lessons Learned 1 and 2, let's say that drug arrests were the largest percentage of Part I Crimes, patrol/criminal arrests made in the past 3 years for your department. You would reference this data to support the claim that drugs are in fact a problem in your community. Another data source is to contact community partners such as the local hospital to see how many drug related emergencies have occurred over the same timeline. Is there a trend of increasing drug overdoses corresponding with drug arrests? If yes, then you have 2 data resources justifying your claim.

When you identify a problem to justify a need think to yourself: "Where can I find data to support this claim?" Make sure your data reinforces your identified problem. We have created a data reference guide to direct you with some ideas: www.policegrantshelp.com/grant-data-collection/

Lesson Learned #4: Find the Right Grant

Ok – so you've identified the problem, you've found the solution, you have data to support this claim, you have sign off from top brass, phew - now what? NOW you can look for funding. The reason we suggest going this route is to make sure you have everything you will need to match your department with the right grant.

Quite honestly reading the RFP (request for proposal) also known as the Solicitation is the best way to determine what grant will work for your department. You will want to focus on whether or not your department is eligible to apply, when the grant is due, how much you can apply for, as well as the application requirements. If the grant is currently not open for applications, request a copy of the previous year RFP. Contact a person listed on the past RFP to inquire if that grant program will be re-issued. This will help you plan ahead as you start gathering information for when the grant does open.

Building upon what we learned from Lessons 1-3 above, let's say we are in a community with an identified and data supported drug problem. Our solution to this problem is to supply thermal-imaging cameras to apprehend suspects and counteract drug sales and distribution. A good grant for this is going to be something like the Edward Byrne Memorial JAG program or a local Community Development Grant that supports Crime Reduction.

So where can you find these targeted grant opportunities? Some of the places you can find them are www.policegrantshelp.com/, grants.gov/, and foundationcenter.org/ (access at your local library for free).

Next Steps

Let's be honest – grants are tedious and time consuming. The flip side is they are incredibly rewarding. The team here is ready to support you through your project and provide as many resources as possible in the coming year.

We try to post as many grant opportunities as possible on PoliceGrantsHelp. You can also ask questions on our policesafetygrants.blogspot.com/, our Facebook page or receive new grant alerts announcements by signing up to be a member of PGH. If you are interested in talking to us in person or getting training – here is a list of where we will be in 2013.

Gathering the right data to write a grant with Sarah Wilson

According to Denise Schlegel, Supervisory Instructor at NCTC and Grants Consultant with Allutiq, grants are defined as "a negotiation through analysis, skill in problem solving, professionalism through project design and lots of good, old fashioned effort." Most of the effort Denise refers to happens in the preparation for the grant. Defining your organization by taking basic data about your department, the community you serve and trends in call statistics can build the basis for a successful grant application.

The first thing you will need to do before writing your proposal is gather the documentation or data to support your proposal request. If you are part of a small department with no staff, a knowledgeable chief, city leader or board member are the logical resource for this information. If you are in a larger agency, there should be administrative, operational and financial support staff that can help you.

Below is a step-by-step breakdown of data you should collect prior to beginning your grant project. This information is useful for all organizations in the data collection process and can be the starting point for all future grant applications.

Mission Statement/Vision Statement
It is important that you have a good sense of how the grant project fits with the mission and vision of your agency. A mission statement should clearly define your organizations purpose whereas a vision statement describes a realistic desired outcome of your organization. Collecting background data on your organization and on the needs to be addressed will help document your arguments for funding. Funders want to know that a project they might fund reinforces the overall direction of your public safety organization.

Strategic Plan
Individual public safety agencies may not have their own strategic plan, but the community, county, or city you service should have one. Most chambers of commerce have a strategic plan as do offices of emergency services. Make sure you get a copy of the plan to find out where your service fits and more importantly if you are set up to respond accordingly. A lot of organizations you work with have already done the strategic planning — so tap into that work.

Demographics
The demographics of your response area are going to be a substantial data resource within your grant application. You have more than likely drawn conclusions about why your area has seen an increase in call volume — demographic trends will help support these conclusions. To research and describe the demographics of the community you serve — population, economy, geography, and community issues — you can find from factfinder2.census.gov.

Decision Makers and Financing
In order to get anywhere with grants you need to know who to know in order to get support for your project. The decisions in your department could be made by your chief, a commission, a board of directors or even city leaders. Try to find out who makes the decisions for programs and equipment and how that selection is made. These decisions should be based on the community needs, department needs or ideally both. The final decision maker should be the person who signs your grant — make sure you have access to them.

Many of the private foundations will request copies of an organizational chart, biographies and current job descriptions. At a minimum you should include the decision-makers and their direct reports. Generally human resources or administrative personnel can assist you with obtaining this information.

All grant applications will ask for a project budget. You will need to show why you do not have budget for this grant project. Before you do that, do some due diligence on how your department is financially supported. How

is your operating budget financed? Is it through taxes, bonds, donations? Make sure you get a copy of your most recent annual budget from your chief, accounting department or city manager.

Community Services and Grant History

Your department is providing a number of services to your community. These could include K9, Narcotics, SROs, First response, Disaster Response, etc. Make a list of all the services your organization currently provides or is expected to provide.

Find out if any programs have been the result of grants funding and if any community organizations were included as part of this project. This will help you figure out your organizations grant history and if you have ever been funded before. You should have an idea at this point as to what other funders have given your organization money — private donations, corporate donations or other state or federal funds.

Equipment

Think about the equipment and new programs that are of interest to your organization. Prioritize them in a list. Now, what equipment in this list will you need to make your grant project successful? Equipment included as part of a grant application should directly assist in solving the problem in your community you are addressing.

Sustainability

Last and most importantly, think about how your organization will sustain/fund the new equipment or program after the grant. Talk to the person who manages the department budget. You want to make sure your department considers the budget beyond the grant funding timeframe and build in funding for things like replacements, insurance costs, training, upgrades or repairs.

Conclusion

While tedious and a bit time consuming, this data-gathering process makes the actual grant writing much easier. Involving other vested interest parties in the process helps key people within your agency seriously consider the project's value to the organization.

If you are interested in a worksheet to help you gather this information email me your request: sarah.wilson@policegrantshelp.com

About the author

Sarah Wilson is responsible for the day to day management of the Grants program on PoliceGrantsHelp, FireGrantsHelp and EMSGrantsHelp. She has been working with non-profits professionally and personally for over 8 years and has assisted over 2000 public safety agencies with grant research and grant assistance. She most recently completed her Grant Writing certification from the NCTC training facility.

Grants - Frequently Asked Questions

Michael Paddock, Chief Executive Officer of Grants Office, a national grant development services firm, answers your 15 Frequently Asked Questions about Law Enforcement Grant Funding. Take advantage of Mr. Paddock's wealth of grants knowledge and experience so that your department is well prepared for the grant seeking and application process, giving you the best chance for a successful grant submission.

Where does grant funding come from?

Public safety funding comes from two primary sources, the Department of Homeland Security and the Department of Justice. Although additional funding for various elements of public safety may come from other agencies, these two provide the bulk of funding to police departments across the country.

The funding actually comes through grant programs administered by each of these agencies. Most grant programs are focused on a particular issue, topic, or agency type, such as the Methamphetamine Enforcement Grants or COPS Technology Grants, but other grants may be more general, as the Homeland Security Grants Program and Justice Assistance Grants demonstrate.

Who can receive funding?

While all types of organizations are eligible to receive funding, eligibility to apply for and receive funding through a grant program is usually established by the authorizing statute that defines that program. The Small Business Innovation Research grants are set aside for small businesses, for example, while the Public Safety Interoperable Communications grants could go to nearly any agency engaged in a public safety function.

How can I apply for a grant?

Any agency engaged in public safety can apply for a grant. The important first step is to identify the best program to apply under. Several elements will determine whether a particular program is a good fit for your project, including:

- Total funding available – gives you an idea how broad the program will be and how competitive
- Application burden – some programs require 100 page narrative, while others may look for 10 pages or less.
- Matching requirements – some programs require a dollar for dollar match, while others may require a 5% match or no cost sharing at all.
- Scale – your customer probably won't want to write 100 $5,000 requests to get a $500,000 project funded.
- Collaboration/partnering requirements – some grants applications require an organization to work in collaboration with others, which complicates the application process.
- Lead time – more lead time generally means more time to develop the project – six weeks is good, and three weeks is almost essential.
- Track record with the funder – generally more important for local funders than federal sources, but a consideration nonetheless.

Once you've decided upon a program that fits with your project objectives, you'll need to prepare an application to the program. Be sure to follow all the application requirements provided by the agency, since a failure to do so may result in your proposal being returned without review.

4. What happened to the Public Safety Interoperability Communications (PSIC) Program?

The PSIC program was only ever intended to be a one-time opportunity to share in $1 billion in funding. However, the Interoperable Emergency Communications program (authorized in the Recommendations of the 911 Commission Act of 2007) mirrors the PSIC program and could provide up to $400 million each year through 2012.

5. How can I find out what was funded?

The federal government provides information on funding at www.usaspending.gov.

6. How long does it take from the time I submit a grant until I get funded?

Although there is no statutory decision timeframe for most grants (an exception would be the Homeland Security Grants Program), agencies generally announce awards 4-6 months after the application deadline.

7. How soon can I begin spending the money after I receive the award notification?

After you receive an award notification, but before you can begin spending money, you will need to enter into a contract with the funder that defines the payment and deliverables schedule for the grant period (based largely on your application). Once the contract has been executed by both parties, you can begin to spend money, subject to the terms of the contract.

8. How can I get reviewers' comments for an unfunded proposal?

Reviewers' comments provide a valuable insight into the strengths and weaknesses of your proposal, as determined by individuals using the actual scoring criteria for the program. If you have any inkling of applying again in the future, it's worth requesting the reviewers' comments on your proposal.

Generally you can obtain these comments by simply calling the program officer listed on the application guidance. If they are unresponsive, you can send a letter to the program officer requesting the reviewers' comments. Be sure to include the CFDA number and title for the program, your agency's DUNS number, and the title of the project you proposed. If you copy your Congressional representative on the letter as well, the Congressional staff can help you follow up.

9. How can I tell how competitive a grant program is going to be?

Although you can divide the previous year's number of awards by the number of applications (if those numbers are publicly available) to get a funding percentage, you can generally determine how competitive a grant will be just by looking at how much total funding is available. Programs with less than $10 million available nationwide will be more competitive than one with $500 million to give away.

10. How do I figure out a whole matching requirement?

Matching requirements can be tricky, because they are usually calculated as a function of the total program budget (the matching funds you provide PLUS the grant award), using the following formula:
Grant award + Matching funds = Total project
Since your matching requirement is based on the total project cost (NOT on the amount you're requesting from the funder), the formula for your matching requirement based on your award will be as follows:
Award amount ÷ (1-required matching % as a decimal) x required matching % as a decimal.

11. Where do I find information on grant sources and programs?

In addition to the information on policegrantshelp.com, the federal government provides grants information through the Federal Electronic Grants Clearinghouse at www.grants.gov. Grants Office LLC also provides

federal, state, and foundation information along with a variety of tools to manage and enhance your grantseeking activities on its Upstream® Online Knowledge Base at www.grantsoffice.com.

Who can I contact about a particular program?

Each program is assigned a program manager, identified in the application guidance, who can answer most questions about the mechanics of a particular program. For strategy questions, contact the Cisco Grants Support Program through your Cisco account manager (if the project is technology-oriented) or the Grants Office helpdesk at 585-473-1430.

Do I need to hire a professional grant writer?

There is no requirement in any grant program that you have to hire a professional grant writer in order to obtain funding. When considering whether to hire a professional grant writer to provide assistance in applying for a grant, consider:

- Your available time to dedicate to reviewing the application requirements and preparing all the required documentation
- Your ability to articulate the project vs. explaining it to someone else who will then articulate it
- Your agency's access to a grantwriter and ability to pay a fee for the writing.

Reputable grant writers will require an upfront fee for writing a grant proposal. Be wary of any writers who try to take a percentage of your award as payment.

What is required to administer a grant once I get funded?

Administration requirements vary by program, but most include the following activities:

- Contract negotiation
- Project work plan development
- Training for those participating in grant-funded activities
- Financial, activity, and outcome reporting to the funder at regular intervals.

Police Grants Help 101

STRATEGIC POSITIONING

Look at your budget: Departments can sabotage themselves because of how line items are listed in their budget. There is a clause attached to most Federal and State grants that state you cannot supplant funds. This means that if your budget has a line item for a new vehicle and you get a grant, which gives you that vehicle, you will still have to buy that vehicle. You cannot transfer the money intended for that vehicle to another line item and use the money budgeted for something else.

Set aside funding for matching dollars: While it may surprise you, countless fire and EMS agencies choose not to pursue grant funding for department projects. Whether your department needs NFPA compliant PPE, new fire apparatus, advanced life support equipment or funding to hire additional staff, grants can help bridge the gap between a budget shortfall and successfully funding your project. Most grant programs have specific eligibility requirements and are often intended to provide funding for a particular operational area of your department. Careful grant research will ensure that your department's project meets any program requirements.

Record and Report: Something very critical to grants is statistical data and record keeping. Keep a record of everything that your department does and keep it updated regularly. In addition, maintain reporting to state and federal agencies is necessary component in the grants process. This is especially true in law enforcement where how much you are legible to receive is based on a formula used by computing your Uniform Crime Index numbers vs. your population.

Use generic terms like "equipment" in budget line items. This way if you get the grant you will still be able to use the money towards another piece of equipment and would not be violating the supplanting rule.

FORMING A GRANTS TEAM

Pick the internal right skillsets: Look for interested motivated members of your organization. A good team will consist of someone from each the following areas: accounting, operations, training, and management.

Think about the external impact: Who and what are the organizations and individuals that will be impacted if your department is awarded a grant. Individuals and organizations who have had a chance to participate in planning are much more likely to cooperate with efforts to run a grant program and a lot less likely to file a complaint with the city council or media.

Try to identify those who will benefit from the proposed project and leverage these organizations for input

DUNS NUMBER

Duns Universal Numbering System: Since 2003, the Federal Government has required all applicants and recipients of Federal funding to obtain a DUNS number. The Duns Universal Numbering System allows the government to track where federal money is being distributed and how it's being utilized.

It can take 24 – 48 hours to get a DUNS number. If you need one call 866-705-5711 or apply online at *fedgov.dnb.com/webform*

NIMS COMPLIANCE

National Incident Management System Compliance: NIMS is a comprehensive, national approach to incident management that is applicable to all jurisdictional levels across all functional disciplines. Departments must participate in NIMS in order to qualify for DHS grants after October 1, 2006.

The intent of NIMS has two parts. 1) Be applicable across a full spectrum of potential incidents and hazard scenarios, regardless of size or complexity and 2) improve coordination and corporation between public and private entities in a variety of domestic incident management activities. It is highly recommended that departments follow current and future instructions issued by the NIMS Integration Center. You should be full prepared in any grant application to discuss and relate your agency's compliance with NIMS.

National Incident Management System, An Introduction – IS 700 is offered free of charge through the *Emergency Management Institute*

FINDING FUNDING

Grant Resources: There are many grants available to law enforcement agencies throughout the year. These grants are from the Federal, State, and Local governments as well as Corporations and Foundations.

Once your grant strategy has been set up and identified, it's time to search for available grant opportunities. Use the PoliceGrantsHelp.com search engine to locate available grants. You can perform a search by category (Federal, State or Corporate) or by selecting your state on our interactive grant map to show all available opportunities. Search results will provide a brief synopsis of the grant, as well as: application period dates, contact information, links to the grant homepage, and more. We are constantly looking for new and exciting grant opportunities to provide you with the most up to date grant information available. If you know of any grants that aren't currently appearing in our database, please submit them to us.

Secrets to Getting Police Grants with Denise Schlegel

It's never too early to prepare for a grant

The US Department of Justice recently published the President's budget request for FY 2012 for all justice grant programs. You may find a pdf version of the proposed budget here. This document includes proposed expenditures for all expansions, reductions and new initiatives for 2012. It is recommended that every police department considering grant applications in 2013 review this document and then monitor the progress of the 2012 FY Federal budget outcomes. The six proposed appropriation accounts are as follows:

Salaries and Expenses of the administrative function of the Office of Justice Programs

- Justice Assistance responsibility
- State and Local Law Enforcement Assistance
- Juvenile Justice Programs
- Public Safety Officer's Benefits
- Crime Victim's Fund

Please keep in mind this draft budget may go through a lot of changes prior to final approval by Congress but now is a good time to take a look at the proposed programs for law enforcement and related fields. The budget must be reviewed by both the US House and Senate and then return to the President's Office for signature. Once the budget and the proposed grant funding have been authorized, it may then be posted as a grant announcement. You may find the US Department of Justice grant announcements by visiting www.ojp.gov or for a more complete federal listing of all grants at www.grants.gov.

Please review the document referenced above for complete details about the proposed grant funding amounts within the 2012 Proposed Document. According to the draft budget plan, OJP proposes to continue to address the following key areas for increasing public safety and improving fair administration of justice across America.

1) **Violence, Gangs, and Drugs**

While the nation as a whole is making modest progress in reducing violent crime rates, many communities and areas are struggling with violent crime issues, especially when commingled with the problems of gangs and drugs. Targeting "high impact players" is an effective strategy for preventing and reducing future crimes. Community-based strategies that bring together law enforcement with other community groups and institutions to coordinate activities to halt the spread of violence also produce safer communities. OJP will promote multi-jurisdictional, multidivisional, and multi-disciplinary programs and partnerships that increase the capacity of communities to prevent and control these serious crime problems.

2) **Law Enforcement and Information Sharing**

Law enforcement in the United States, unlike in most other industrialized countries, has several levels and is comprised of thousands of federal, state, local, and tribal agencies. Ensuring that all elements of the justice community share information, adopt the best practices, and respond to emerging issues with the same level of effectiveness and timeliness is a daunting task. OJP is providing national leadership and serving as a resource for the justice community through the Global Justice Information Sharing Initiative, among others, that focuses on defining core justice information sharing requirements and identifying challenges and solutions.

3) **Tribal Justice**

Violent crime rates in Indian Country are unusually high, yet tribal law enforcement resources are typically scarce, a problem exacerbated by the geographic isolation and/or vast size of many reservations. OJP targets

these conditions with training and resources for problem-solving courts and coordinated law enforcement information sharing and data collection. OJP will continue to coordinate with the Department of Interior's Bureau of Indian Affairs and other agencies to bring better focus to these issues.

4) Forensics, DNA, Missing Persons, and Cold Cases

From crime scene to courtroom, forensics plays a vital role in the criminal justice system. OJP develops forensic tools and technologies that will save time and money, initiates evaluations to better understanding the impact of forensic science, provides technology assistance and training, and enhances laboratory capabilities and capacity. OJP funds these activities in order to bolster the investigative power of forensics, thereby supporting the successful and informed use of DNA and other forensic evidence in court and improving the administration of justice.

5) Offender Reentry

Repeat offenders who cycle in and out of the justice system commit a significant portion of all crime and drive up the cost of operating justice agencies. These offenders often have risk factors such as mental health problems and substance abuse, limited education and literacy, inadequate job skills, and a lack of positive support systems that, if addressed, reduce the likelihood of re-offending. OJP can address these issues with three strategies: 1) community-based options for less serious offenders, such as problem-solving courts; 2) intensive, multiphase reentry programs for those who are incarcerated; and 3) research to determine effective strategies for prisoner reentry programs.

6) Juvenile Delinquency, Prevention, and Intervention

Our nation faces many challenges related to juvenile delinquency, including youth gangs and high juvenile recidivism rates. OJP strives to strengthen the capability and capacity of our juvenile-justice system to confront these challenges through prevention and intervention. OJP is working to prevent and reduce youth involvement in gangs by addressing specific risk and protective factors associated with the likelihood of delinquent behavior and the needs and desires that underlie the decision to join a gang.

7) Internet Crimes Against Children (ICAC)

Every day, thousands of children and teens go online to research homework assignments, play games, and chat with friends. And, everyday, sexual predators roam the Internet, posting and/or looking for child pornography and soliciting minors to engage in sexual activity. Not only are these sex-related crimes intolerable, they pose formidable challenges for law enforcement, which must adapt its investigative techniques to a constantly evolving array of technology. One way OJP addresses the proliferation of internet crimes against children is through its ICAC Task Forces, which help state and local law enforcement agencies develop an effective response to cyber enticement and child pornography cases.

8) The American Recovery and Reinvestment Act of 2009 (Recovery Act)

The Recovery Act was signed into law by President Obama on February 17, 2009. It is an unprecedented effort to jumpstart our economy, create or save millions of jobs, and put a down payment on addressing long-neglected challenges so our country can thrive in the 21st century. The Act is an extraordinary response to a crisis unlike any since the Great Depression, and includes measures to modernize our nation's infrastructure, enhance energy independence, expand educational opportunities, preserve and improve affordable health care, provide tax relief, and protect those in greatest need. The Recovery Act injected $787 billion into the economy, providing jobs and much needed resources for states and local communities. Among these resources was more than $4 billion for state and local law enforcement and other criminal and juvenile justice activities, including $2.76 billion for OJP programs.

In FY 2009, OJP awarded over 3,800 additional grants to carry out the terms of the Recovery Act, which is more than the total number of awards made in FY 2008. However, making awards is only one part of administering a grants program. These additional awards will also drive a significant increase in workload throughout the lifetime of the grants. Each grant will require programmatic and financial monitoring, training and technical assistance, outreach, auditing, etc. The Recovery Act grants will generally have periods of

performance of three or four years, with the programmatic and financial closure of the grant occurring in the following year. This means the additional workload and resulting resource challenges associated with the Recovery Act will last approximately five years for OJP, at least through FY 2013. In addition to the workload increase resulting from the number of additional grant awards, OJP provided over 1,700 awards to localities that had never received a Justice Assistance Grant award. These new recipients will require a significantly higher level of support (outreach, training and technical assistance, monitoring, etc.) than experienced recipients would need.

9) Environmental Accountability

OJP has implemented several initiatives to ensure a safe and healthy work environment for its building occupants and to protect the environment by conserving energy. We have collaborated with building owners to develop opportunities to conserve both energy and water through the installation of light sensors and automatic faucets and toilets. Through our contractual efforts, priority is given to purchasing energy-efficient appliances and information technology equipment.

Highlights from this proposed budget include both increases, decreases elimination and new initiative programs:

Increases

- National Institute of Justice research, evaluation and demonstration program $70,800 (FY 2010 $48,000)
- Bureau of Justice Statistics Criminal Justice Statistics Programs $62,500 (FY 2010 $60,000)

Decreases

- Regional Information Sharing System $9,000 (FY 2010 $45,000)
- Byrne Competitive Grants $30,000 ($40,000 FY 2010) Flat lined
- Byrne Justice Assistance Grants $519,000 (same as FY 2010)
- Bullet Proof Vest Partnership $30,000 (same as FY 2010) Zero Funding
- Byrne Discretionary Grants eliminated ($186,268 on FY 2010)
- Drug Court Program eliminated ($45,000 FY 2010)
- In FY 2011, funding for this program will be redirected to the new Drug, Mental Health, and Problem Solving Courts initiative, which consolidates the funding stream with the Mentally Ill Offender Program, providing OJP with the flexibility to continue these efforts
- Indian Country Assistance Initiative eliminated ($90,000 FY 2010)
  Although no specific funding is requested for these programs in FY 2011, OJP is requesting a seven percent set-aside for a new flexible tribal criminal justice assistance program. This set-aside will provide $139.5 million.
- Weed and Seed Program (CCDO) eliminated
  Although no funding is requested for this program in FY 2011, OJP is requesting $40.0 million for a new Byrne Criminal Justice Innovation Program designed to replace and build on concepts employed in the Weed and Seed Program.

These are just a few of the highlights from the proposed budget. If you want to review the document in greater detail please download a copy for your desktop at www.justice.gov. This is the time to review and research the new proposed programs, what is most likely not to be funded and what changes may be coming

Begin now to evaluate your needs for your Fiscal Year 2011 budget. Gather your data and determine your crime and community demographics to determine if your needs align with the proposed funding. It may also help to inform your local, state and federal elected officials of the FY 2011 proposed budget details which may directly impact your department. If they are aware of the impact they can more effectively work to advocate for you in the budgetary process.

Back to basics: The art of gathering grant data

Once you have researched and gathered the basics, the data required by the grant will seem much easier to approach

For most people, data collection conjures up images of clicking through the endless sources of information late into the night. We all know that getting the right data from the right sources can be daunting, so where should you start?

How about the data related to the reason you are applying for a grant?

Every grant requires data to validate the assumptions made by the grant writer to prove that what they state in the application is valid. You must paint a really good picture.

First, get yourself organized
After reading the funding announcement you must decide which facts or statistics are needed to support your grant project. Your data must be specific and offer a clear picture. You will need data to describe the problem, the target population, your police department and your community. You need to provide a balance between the data and the scope of the project.

Second, demonstrate what is working
You must give the reader hope that there are organizational services working on some aspect of the community problems. You want to avoid painting a grim and hopeless image of your community. Avoid overstatement and overly emotional appeals. Seek data that clearly defines the problem. For example: Youth drug and alcohol abuse is served by schools, civic organizations, faith-based organizations, and court systems as well as police departments. Outside of your police department, what other organizations are active in serving youth who have drug and alcohol abuse issues? A good place to start locating community data is your local Chamber of Commerce or your local community coalitions to get some of the data you need. They have already done the work for their own needs. Effective begging works faster and easier for data collection than clicking!!

Third, evaluate your approach
Review other community projects dealing with the same problem as you are planning and decide if your approach to the problem addresses the need differently or better than other projects within your community. Take a look at what other police departments in other communities are doing with the same problem within the same population. Make sure you select an approach that is approved or supported by the Federal Government if you are applying for a Federal grant. Much research and development has gone into the projects which offer grant funding. For these grants you will not be able to be completely creative. Best practices and promising programs are the most secure way to get funding.

Forth, avoid circular reasoning
When putting your data together you want to avoid presenting the absence of something as the actual problem. Avoid statements like all of your prisons are full so we need a new prison building. Define why the jails are full and then determine through a feasibility study if a new building is the needed or is there another more pro-active approach to the problem. Sometimes you will be surprised at the findings!

Fifth, identify the data
Once you have determined the scope and depth of the problem identify what types of clearly defined data you need to present a strong image of who is impacted. Compile a list of the data you need to gather. Determine what sources of data are reliable and valid for your use. Grant funders prefer data which is less than three years old. Use only enough data to define the actual problem. Overdosing the reader of your grant with too much data can cause them to lose sight of the reason the grant is being submitted

Data Resources
Start first with your local community contacts. Start with your county or city offices of health and human services, local chamber of commerce, drug free community coalitions, HIDA, gang task forces, drug taskforces have all gather and aggregated date which may be related to you department's grant. Start there when looking for local community data. It is always better to check first, it will save you a lot of time. State resources vary within each state but the rule of thumb is that most of the state agencies mirror the Federal government. For example, if you are looking for justice statistics you would search your State Department of Justice

Federal Data Resources

The Federal Government has many libraries of data. Here are some easy to use databases and websites you should know about.

Census Bureau Population Estimates Codebooks and Datasets
Crime and Justice Electronic Data Abstract spreadsheets
These are aggregated data from a wide variety of published sources and are intended for analytic use. Files are in .csv format which can be easily read by most spreadsheet and statistical programs, and many word processors.

Crime trends from the FBI's Uniform Crime Reports
This provides custom data tables by State including U.S. totals (since 1960), and by reporting local agency (since 1985)

Data Online
This is a dynamic interface that allows users to construct custom data tables on: a) Crime trends from the FBI's Uniform Crime Reports by State including U.S. totals (since 1960), and by reporting local agency (since 1985) b) Justice expenditures and employment for multiple activities (police, judicial, corrections), types of employment (full-time, part-time) and types of expenditures (direct, capital outlay, intergovernmental), since 1982.

Easy Access
Office of Juvenile Justice and Delinquency Prevention (OJJDP) data analysis tools
Easy Access is a family of web-based data analysis tools on juvenile crime and the juvenile justice system provided by the Office of Juvenile Justice and Delinquency Prevention (OJJDP. The applications provide information on national, state, and county population counts, as well as information on homicide victims and offenders, juvenile court case processing, and juvenile offenders in residential placement facilities.

Federal Criminal Case Processing Statistics - FCCPS
This compiles comprehensive information provided by selected federal criminal justice agencies ranging from arrest to reentry. The Federal Criminal Case Processing Statistics (FCCPS) tool permits on–line analysis of suspects and defendants processed across stages of the Federal criminal justice system from 1994.

Homicide trends and characteristics
Provides statistics on the total number of homicides reported annually in UCR and characteristics of those homicides from SHR including: Age of victim (in age groups), Race of victim (White, Black, Other), Gender of victim (Male, Female), Race and gender of victim (White Male, Black Male, etc.) and Weapon used (Gun, Knife, Other weapon). The characteristics are presented as percentages of the total since not all homicides are reported in the SHR.

Justice Expenditures and Employment data query tool
Using this tool, customized justice expenditures and employment data tables can be generated for multiple activities (police, judicial, corrections), types of employment (full-time, part-time) and types of expenditures (direct, capital outlay, intergovernmental). Data is available since 1982.

[Law Enforcement Management and Administrative Statistics](#) **(LEMAS)**
Provides statistics on Primary State law enforcement agencies (49 State police or highway patrol's) and Local police and Sheriffs' agencies with 100 or more sworn officers and 50 or more uniformed officers assigned to respond to calls for service.

[Prosecutors' Offices Statistics](#)
Provides statistics on prosecutors' offices organized by districts (e.g. judicial districts) that cover one or more counties.

Finally, prepare early

Before you have a grant funding announcement, gather the basic data you need for almost all grant applications. Here is a suggested list of information you will need:

- History of your Police Department
- Types of services provided: community policing, gang taskforce, bicycle safety, etc.
- Basic Community demographics: population, educational levels, business and industry, etc.
- Crime Data: Part 1 and Part 2
- Internal Police Department Crime Data
- Grant History: types and names of grants, successes, amount, funder source

It takes time to gather the basic data. However, once you have researched and gathered the basics, the data required by the grant will seem easier to do. If you have any questions about grant data please contact me at Denise.Schlegel@policegrantshelp.com.   Best wishes with your funding endeavors.

Back to the basics: Developing a federal grant budget

Everything we do costs money. Just sitting at a desk in an office requires a long list of things which relate to the department's budget. The phone, electricity, heat, air conditioning, paper, pens, laptop, ink for the printer, insurance, stickies, stapler and the list goes on. When developing a grant, you must determine the cost of the project or equipment and present it to the funder. It is all about the details. Read the request for proposal fully and carefully to assure that the grant you are considering will actually pay for the project and its supporting needs.

Once you have developed your grant project, you must apply a cost to everything that project requires full implementation. For example, if you are going to purchase a piece of equipment for the department with the grant funding, you must think through all of the related costs for the acquisition, use and sustainability of that equipment. The cost of the entire project may not be fully paid for by the funding source but it is your responsibility as the grant writer to calculate the actual total cost of the project. This will allow you and your chief to understand the department's financial commitment to the project.

Below is a list of sample of all the budget categories to consider when purchasing equipment:

- Personnel time: manage/implement/order/process/install/test/report
- Personnel Benefits
- Actual equipment cost
- Equipment peripherals/cables/other supplies
- Officer's time for training on use of equipment
- Additional officer's time to replace the one in training
- Trainer fees/travel/per diem/other
- Indirect costs rate
- Training supplies
- Any Increase in insurance coverage

- Future maintenance costs/licenses/parts/upgrades
- Leases
- Evaluation systems
- Accounting systems
- Phase-down costs

Although the degree of detail each funder requires differs greatly, as well as well as the types of allowable costs which can be paid for by each grant, the total project cost is critical for the police department to be able to understand and calculate the department's full financial commitment to the project. Your detailed list will assure that you have covered all of the things needed to complete the equipment purchase and implementation. Your application may only pay for the cost of the equipment but the total budget is significantly higher when you look at total project cost.

The more grants your department has received, the higher the cost to the department's budget for those things which have been designated as an in-kind contribution or as a required financial match given under the in-kind category. Many departments offer personnel time as in-kind. That time not paid for by the grant can be a considerable dollar amount. If personnel time is included as in-kind or a match for the multiple grants the total departmental financial commitment could be substantial!

A well prepared grant budget should be reasonable and demonstrate that the funds will be used wisely. Your application must also determine the need for the equipment. It must be concrete with sound as well as accurate using budgeting principles. It should be clear and understandable. It should be formatted properly using excel spreadsheets or the form provided by the funder.

All salaries must be comparable to those within the department. You cannot hire a new person or shift an existing person into a grant funded position which pays a much higher rate than if you would have hired them under you existing budget. If it is a new hire, you must demonstrate that you have existing space and equipment for that person or include it in the budget either as your contribution to the project or if allowable, must be attributed to the funder's costs for the project.

All federal grant projects require the designation of an indirect cost rate. Indirect costs are costs that are not readily assignable to a particular project, but are necessary to the operation of the organization and the performance of the project (like the cost of operating and maintaining facilities, depreciation, and administrative salaries).

Sometimes the federal funder makes budget adjustments after the grant award. This is a lengthy process and can be avoided by researching the financial guidelines while developing your grant project. You must assure a complete budget by considering all of the costs upfront. In order to assure your budget meets all of the federal financial requirements, you should download the Bureau of Justice Federal Financial Guide.

The Office of Justice has a new tool for law enforcement agencies to use as a guide for grant writing titled: Grants 101. If you are planning to apply for a grant from the Department of Justice you may want to take some time to review the tips and tricks shared at this new website. Budgetary details are defined and explained in this tool kit.

Using the Financial Guide, the OJP budget detail worksheet and the instructions provided to you in the request for proposal will guide you through the development and completion of a grant budget. If you are new to budgeting, work with your financial director to assure you have the correct details for all costs especially personnel.

Creating a grant budget takes time and effort. You must research each cost center listed on your total project budget. This will assure that your numbers are real and not "a best guess effort'. The funders who review the

budget section of your grant are well aware of the costs of doing business whether you live in Chicago, Illinois or Hegins, Pennsylvania. So make sure you use sound resources for developing your budget.

A well-researched and fully developed budget will go a long way to getting your grant application awarded. Best wishes with your next budget.

Tips and tricks for finding private funding for police

The private world of philanthropy is filled with resources for funding just about everything related to community, people, our world and its sustainability. Sorting through the more than 88,000 foundations in the United States, to find the right match for your project may seem daunting. The task of searching for a fit is not as hard as you might think. Developing a relationship with a private grantmaker can prove to be a rewarding and fulfilling adventure. Law enforcement organizations need to be creative in their approach in garnering this important funding resource.

According to the "Highlights of Foundation Giving Trends 2008" published by the Foundation Center, the largest U.S. private and community foundations increased their funding for all major subject areas in 2006. Overall, grant dollars rose 16.4% to $19.1 billion dollars in 2006. That funding breaks down into the following categories: 11% Public Affairs/Society benefits, 23% to Health, 23% to Education, and 14% to Human Services, Social Sciences 1%, Science and Technology 3%, Religion 2%, International Affairs 5%, Environment and Animals 6%, Arts and Culture 12%. A total of 71% of the $19.1 billion dollars were awarded to help people live better lives in related LEO categories. Law Enforcement and its partnering organizations are included in those totals. Partnering with related community organizations with similar target population, offers LEOs a way to access this large pool of private funding.

Completing a proper and full search for a private grant maker is your primary task in identifying the right prospect for the purpose your law enforcement organization has in mind. Foundations may not be able to fulfill all of your organizational needs but can play a major role as a partner in helping your organization accomplish its goals. Never make the mistake of limiting your search for the "perfect" funder. But approach your search with the basic criteria which meet your needs and an open mind for selecting several candidates for consideration. Match your mission with the grantmaker's mission. You must also consider what type of support you are seeking.

Foundation grantmakers typically fund nonprofits. For law enforcement entities, this is a good opportunity to develop traditional and non-traditional partnerships within your community. You might consider schools, drug demand reduction service providers, domestic abuse service providers, other justice system partners, private employers, etc. Within this type of partnership, law enforcement organizations can provide required support and obtain valuable and needed equipment, tools and other resources within the scope of the project. This partnership will "lend" you the nonprofit 501 (c) 3 status needed to obtain the funding desired. Grantmakers are looking for potential grantees that demonstrate a strong relationship with their community and for that reason encourage partnering.

The Foundation Center is the premier site for beginning your research on foundations. The Center has the largest collection of training materials, research resources, publications and the Foundation Center Directory. The Directory is the one-stop-shop for obtaining critical information about how to approach the foundation and for what purposes they provide grant funding. Anyone seeking foundation support needs to spend time at this website learning about foundations, how to approach them and how to find them. There are cooperating collections of the Foundation Directory found at libraries across all 50 states. The listing for these locations may be found at the website under '"Cooperating Collections". The Directory provides the most complete profiles available of all 88,000 foundations. At the local libraries a computer is available for your free research. All potential foundation profiles may be saved to a thumb drive for your use at home.

Once you have selected some potential funders, you will then need to dig in deeper to determine which of these potential candidates is the best foundation for meeting your needs. Always do your HOMEWORK, RESEARCH

and GROUNDWORK BEFORE you ever contact a potential grantmaker! It is best to send appropriate applications to the right grantmakers. Never try than to apply the catch-as-catch-can" approach by sending the same concept proposal to many potential grantmakers. Each private foundation has its own mission, vision, and priorities for funding. The latter can have rather tragic results as the foundation staff can usually see through this type of campaign. And they all know when you have not done your homework.

There are **three basic research strategies** that you can use to define and identify a funder. You can divide your search into subject matter, geographic approach and type of support. The Foundation Directory allows the grant seeker to search by any of these categories. The cooperating libraries will also have dozens of other directories and guides for finding funding available at their grant research center. You might want to try the following categories for your search: law enforcement, law enforcement equipment, substance abuse, domestic abuse, juvenile justice, gangs, etc. The Directory provides a list of all searchable topics.

In addition to the Foundation Directory profiles, you need to complete the research on a funder by looking for other sources of information to round out the prospective grantmaker's profile. These resources are websites, annual reports, 990-PF tax returns (available at the IRS or the Foundation Center website; the foundation's own guidelines and request for proposal document, newsletters, and press releases and grant lists. The Foundation Center website will provide information on how to obtain many of the documents you need to complete your research. Please keep in mind that less than 4000 foundations have community websites. The rest of the research is completed the 'old fashioned way": hard copy!

Once you have identified the right prospect, completed your research and understand how the funder wishes to be contacted the first time, you need to **prepare a concept paper in the form of a letter of inquiry.** This letter will contain a summary of your project, identification of the target population, partner, cost, goals, expected outcomes and the benefit of the funding partnership to the community. It is a "mini presentation" of the project you wish them to fund. The grantmaker will review this letter and then contact you to either invite you to apply or to turn you down. Yes, we all get turned down at some point! Just don't let this stop you from pursuing other potential candidates.

Creative thinking is required to find money for LEOs within the private foundation world. Let's brainstorm for a moment. For canines, search the corporate foundations who make dog food, for traffic tools and equipment search the corporate insurance foundations, for drug demand reduction search pharmaceutical corporate foundations and foundations with priority funding for youth, schools, drug demand reduction service providers, for law enforcement health and fitness search the corporate foundations who produce sports equipment, power bars, sneakers etc. Hopefully this is developing some additional ideas for you. Step out of your normal thinking and into the creative brainstorming process of imagining who might have money related to your needs.

The relationship which develops with the "right funder" brings many rewards to your organization and your community. There are many funders out there who would like to meet you and support the work you are doing.

For more resources, training and information please spend some well invested time with the Foundation Center website. www.foundationcenter.org. And if you every have the opportunity to visit one of the Foundation Centers Offices or one of their cooperating collections, you will find a lot more information and world-class support from their staff.

Successful grant writing for chiefs and administrators

It just recently dawned on me how grant writing and law enforcement are alike in many ways. Each grant application is like presenting a case to the judge. The grant writer/investigator has to gather all of the facts, data, history, information, and a clear description of the problem and its outcome. Each grant proposal is a presentation of a case statement.

It differs due to the fact that each case statement for the grant application also requires proof of your departmental capacity to make the case, offer proof that the problem is real and gather data to demonstrate the scope of the problem. Grant writing also requires the oversight of the chief. To be successful in obtaining essential funding for technology and equipment, someone needs to be the range master and assist the entire department in keeping the eye on the front sight.

Grant funders require a strong, demonstrated capacity within each police department to acquire, manage and implement the grant. They are looking for police departments which have learned to strategically develop their case statements for funding and included with the case statement is data which demonstrates that the problem is real.

When preparing for the money, the chief and other management need to achieve the following:

Create a departmental targeted approach for the funding.

1. **Develop a strategic plan with goals and objectives for your department.** Gather the crime data and analyze trends within your community. Your grants should focus on the tools, projects and technology to meet those trends. Identify and prioritize your key operational needs. Create a task assignment sheet for each objective and assign someone to complete the task. Monitor and measure annual progress and outcomes of your plan. Create an annual progress report for the funders, politicians and your community
2. **Develop a written plan for strategic acquisition and disposition of technology and equipment.** Use life cycle planning for equipment and technology and attach a fund development plan and cost benefit analysis to the life cycle. All equipment and technology grows old and needs to be replaced at certain, planned intervals. Create in Microsoft Excel a digital inventory management process for all equipment and technology to help you keep your eye on the target.
3. **Develop a written plan for personnel training and staff expansion based on the crime data and other needs based information.** Plan for personnel sustainability, training and professional development. Keep yourself and your department up-to-date with current trends and best practices in the law enforcement industry. Use your crime data to demonstrate the need for expanded hiring in high crime areas.

Eliminate the "Wants Syndrome"

Create a departmental grant writing culture of a "department of demonstrated need". So many officers come into my grant writing class with a list of things they WANT to buy with grant funding. Today, there are more and more police tools, technologies and fun "gadgets" which make many people see grant funding more like making a selection in the toy shop than a business contract. Officers in charge of writing grants need to be trained to develop a case statement for new ideas and for demonstrating the actual need and cost benefit of acquiring the tool or technology through a grant. Grant money is not free, nor is it without strings. A significant financial commitment by the police department is required with every grant. In-kind contributions (personnel time, office space, vehicles, etc.), may seem innocuous, but come at a huge cost to the annual budget. Close monitoring is required to manage that commitment, to assure that the department is not stretching itself too thin by accepting the "free' money from the funder. A cost benefit analysis helps in understanding the depth of the commitment

<u>Gather data and more data</u>

Develop a baseline database of crime statistics and community issues indicators. Partner with the community organizations who have a connection to the same target population your department serves. Use the baseline data and indicators to compare your community with sister communities. You can also use the baseline data in your grants to serve as a comparison to your outcomes data at the end of a grant project. Develop a resource and asset list within your community. Target those community organizations who can serve as partners with you in acquiring grant funding such as schools, county service programs, other law enforcement agencies, etc.

<u>Eliminate any barriers to funding</u>

1. **Prepare your organization for funding by identifying any barriers to easily completing grant applications in a short period of time.** For example, take a hard look at your internal policies for acquisition of equipment and technology. If it takes a long time to get approval for a purchase the grant application deadline will be long closed before a decision is made. Grant funders usually offer only a few short weeks from the publication of the request for proposal to the closing date for application. Find ways to address the Municipal Purchasing Ordinances and other municipal policies which inhibit your ability to apply for grants. By planning and presenting a strong case statement you can justify your needs more clearly to the people who hold your purse strings

2. **Keep a close eye on civil liberties, legal issues, standards and differing policy barriers to acquiring equipment and technology.** Personal privacy, civil rights and "right-to-know" may get in the way of effective tools for crime mapping technology

3. **Develop strategies to overcome community barriers.** After writing grants for over 30 years, and teaching grant writing for over 11 of those years to law enforcement, the biggest community barrier I see is the hesitation of both community organizations and police departments to approach each other. Through their class evaluations, my class participants which include both law enforcement and community organizations, they unanimously agree that they did not even know they had so much in common and could work together in a way that provides the funding they both need. Many funders now require those types of partnerships as they have realized the same thing. Develop horizontal and vertical partnerships to maximize your eligibility for grants. Horizontal partnerships with fellow law enforcement agencies can enhance your ability to access funding for regionally shared technology and equipment. Vertical community partnerships will enhance your chances of partnering for grant funding which only a non-profit can access, expanding your grant options.

4. To lessen the burden of preparing for grant writing, you might want to **consider hiring a retired officer to help with grant writing.** Recruit interns from colleges and universities to do the research and data gathering. Locate a retired senior professional who wants to give back the community to help with strategic planning.

5. **Consider developing internal skills within your staff to address the many facets of creating a "grant ready" department.** Hire a "high tech savvy" staff person who also understands law enforcement. Take time to educate your community, elected officials, corporations and non-profit organizations about law enforcement needs. Sometimes we only have to ask for help and save the time of writing a grant!

6. Lastly, **send a staff member who is good at expressive writing, analytical thinking, and up-to-date on the state-of-the-art police strategies, tools and technologies.** It takes special skills to be a grant writer and not everyone fits that profile.

Keeping your eye on your organizational front sight will enable you to develop competitive grant applications and take accurate aim at those critical tools and technologies you are seeking. Careful planning and execution of new approaches to funding will reward both your department and your community.

Get a head start: Prepare for grant writing

Your Chief has handed you a funding announcement for a grant and you see that it is due in three weeks. Congratulations, you have been selected to write the grant and "get the money"! As you sit there fingering through the request for proposal, you wonder how much time this is going to take. You are also wondering how you are going to get this done with all of your other duties you have as an officer. You may even be thinking that you haven't a clue how to get started.

A grant is a formal written request for money submitted to a funder for a specific purpose. The process is highly competitive. A strong competitive proposal is a clear, data driven, strategically developed project proposal which fits into your department's goals and objectives. Given these facts, there are many things your department must do to prepare for successful grant writing before the Chief puts a current announcement on your desk.

Your entire police department needs to be prepared and committed to compete for grant funding. The funders award grants to police departments which have taken the time to plan and prepare to compete for the money. That means that considerable thought has been given to strategically preparing for department needs (not wants), data to demonstrate that need is real, community partners willing to assure their commitment to the process and the internal capacity to manage and implement the funding project.

This may sound like an impossible mountain to climb, but it is not if you take the time to gather the essential information prior to any funding announcement landing on your desk. As the grant writer for your organization, there is a lot of front end work you can do bit-by-bit to prepare for a successful grant application.

First, you need to **develop a file or drawer or designated thumb drive dedicated solely for grant funding materials and information.** The type of storage is not as important as what goes into that storage space. By gathering the appropriate information needed, keeping it updated and close at hand, you begin the preparation process for successfully obtaining grant funding. Once you have decided how best to store your information you can move on to the details.

Locate your department mission statement: Do you know your police department mission statement? Locate it and keep an electronic version of it in the grant funding file. A mission statement is not meant to be a paragraph or a one page dissertation. It is meant to be a sound bite like: "To protect and serve the town of Hegins". Anything longer and you could lose the attention of the funder and that is a very bad idea. You will need it for most grant applications and for any planning document your department develops.

Locate a copy of your department strategic plan: Has your department developed a written plan for the purchase of equipment, officer training requirements and essential law enforcement tools from point of purchase to depreciation? Does your department project what staffing and programs will be needed in the upcoming three years? Is this plan based on the critical community demographics, crime statistics and department experience? The funder is seeking well oiled, well organized departments which have completed a needs assessment process, and as a result of that process determined their current and future budgetary requirements for operation. As we are all aware, resources and money have become scarce over the past couple of years and grant funders are looking harder at the departments they fund. They want to be assured that your department has worked to determine needs and how those needs will be built into a soundly prepared plan.

Find out how financial decisions are made: Funders will ask you to demonstrate your departmental capacity to meet your needs for your daily operations. They also want to know that your leadership is determining how those needs will be supported. Strong organized leadership is a key trait the funder is seeking. Does your department manage "by the seat of your pants" or does your department stay focused and purposeful in its approach to law enforcement services for your community?

Gather the grant history of your department: Locate past and current grant applications as well as all financial and programmatic grant reports submitted to each of the funders. Many funders will ask you to list both past and/or current funding received by your department. They are interested in seeing the financial support

you have garnered from other funders. Research and develop a case statement concerning any grant projects where money had been returned to the funder or did not pass an audit. Being able to explain these situations to a new funder will help get you past their concerns about funding you in the future. Many times there are sound reasons why the grant was not completed or expended appropriately. Staff turnover, community crisis, or other such issues can prevent a grantee from completing a grant project. Be ready to explain any past problems!

Gather job descriptions, resumes and biographies of essential staff: You will be asked to provide information for the people involved in any grant project funded. Prior to any grant writing, gather the job descriptions of the various positions within your police department. Collect one page resumes from management personnel. Have all management personnel create short one paragraph biographies and add them to your files. This will save you much frustration if you are on a short deadline and the person you need to locate is on vacation or out sick.

Create a report on successful law enforcement services and programs: Create a report listing all the successful law enforcement programs initiated by your department. This list should include the name of the program, type of program, equipment purchased and community impact. Internal department improvement grants including officer training should be list as well. List programs such as Weed and Seed, COPS, Project Safe Neighborhoods, Save Our Schools, G.R.E.A.T, etc. Include all activities outside of grant funding such as community policing, bicycle safety, car seat safety and any other community service or education program implemented. This report can be used to copy and paste any history of programs requested by the funders. These programs demonstrate your community involvement, in addition to your normal law enforcement activities.

Create a list of equipment purchases over the past three to five years: This list would be best developed in a data base format such as Excel. Include the name of the equipment, serial numbers, style numbers, cost, funding source, projected depreciation schedule, rotation date for taking that equipment out of service and anticipated replacement date. In addition to specific law enforcement equipment, also include any computers and software. All equipment has a shelf life and must be worked into your budget planning process for replacement. Funders support equipment purchases if you can demonstrate the need for the equipment along with the appropriate management process.

Develop a sustainability case statement: All funders require applicants to address sustainability of programs, new staffing and equipment purchases made with the grant funding. All grantees must develop a sound, plausible plan for "keeping the program going". Develop a statement about past history of assuring the continued financial support for the new staff and equipment once the grant funding has been expended. Create a description of how your department has assured in the past that the vehicles purchased will be maintained and utilized beyond the grant funding. By completing this strategic thinking prior to having an open funding announcement on your desk, you can save a great deal of time and effort with preparing a last minute funding opportunity.

Identify community partners: All funders expect you to have partners within your community. These partners may be horizontal, such as other law enforcement departments, task forces, initiatives and programs in which your department is involved. Partners may also be vertical. Vertical partners are those community organizational involvements related to special initiatives and programs. Victims' advocacy groups, schools, neighborhood watch groups, local mental health services, drug and alcohol programs are good examples of vertical partners. After listing the partners, create a description of the relationship and successes or positive outcomes these partnerships have created. Include the names of the people involved, their job titles, and the dates of the programs. Many grants require formal partnerships and will require evidence that the partnership is real. Meeting minutes and sign in sheets should be created for all meetings. By establishing this practice you can leverage funding sooner rather than later.

Gather your community demographics and crime statistics: You must begin to gather your community crime statistics. If your department has a strategic plan, the data must be available somewhere in your office. Locate the plan and determine what additional data is needed. Many community organizations have the data you

will need to acquire. Don't reinvent the wheel if someone else has done the work for you. Community statistics may be found at the state departments of labor, health, education and welfare, your local chamber of commerce, school district, community and economic development office, drug and alcohol commission, to name a few. Using the internet, you can locate Part I and Part II crimes, geographic boundaries of your community and census tract information. Make sure you track the source of your data. Also make sure you are using a legitimate source of data and never rely on Wikipedia. Funders know this is a "self-reported" unreliable data source. All grants will require data to support your funding request. This task is a good community service project for a college student.

1. **Organizational and community history:**
Develop a one page organizational history, briefly describing your department's size and scope and how many sworn officers are on the force. Describe your geographic location, basic population statistics, the industry make-up, as well as the natural and community resources. Locate any community needs assessments already completed by hospital systems, your county administrators, United Way or other community program to complete this profile.

2. **Crime statistics**
Develop a database of crime statistics in an Excel spreadsheet. Collect part I and Part II crime data, such as robberies, murder, rape, attempted murder, traffic violations. When asking for program funding or law enforcement equipment, data must be used to demonstrate the need for the funding. The crime statistics may be available through your own arrest rates, city or county commissioner's office, state department of justice, state police, department of probation and parole. Collect the following data: educational levels, truancy levels, gang activity, substance abuse levels, protection from abuse orders, domestic violence calls, homeless statistics, correction data, etc. This data will defend need for the funding. Update this data annually.

3. **Community supports and social problems data**
This data will help you provide the funder with an understanding of the types of programs already in existence. Collect data about programs such as job training, remedial education, drug treatment facilities, drug prevention programs, youth-oriented programs, etc. With help of your community partners begin to identify gaps in services and duplication of efforts. By doing this data assessment you will be able to provide the funder with a stronger justification for the funding request than just saying your want it!

Many departments have retired officers assist with the grant writing process. They know the business and want to continue to serve in a valuable role. Many retired officers have attended my law enforcement grant writing course as a representative of their former department and returned home to help locate and obtain valuable and needed resources.

Preparing yourself and your organization for grant funding allows you to be better prepared for a successful bid. Grant proposals must be clear, well focused and well written. If you gather the right data, develop a strategic approach to the management of programs and equipment and present a strong case for funding, the money will be delivered to your door.

If you have questions or would like free worksheets for completing this process, please feel free to contact me at Denise.Schlegel@policegrantshelp.com. I look forward to hearing from you.

Guide to NHTSA's grants

To prepare for these funding opportunities, your department must assess your traffic safety needs now

Motor vehicle crashes are the leading cause of death for people of every age from 4 to 34 years old.

David Strickland, administer of the National Highway Safety Administration (NHTSA) says traffic fatalities account for more than 90% of transportation related fatalities and drain more that $230 billion from the economy each year.

NHTSA recently published its proposed budget for funding the needs of it department. Proposed grant programs are included in the document.

According to this document, the National Highway Traffic Safety Administration remains dedicated to its mission to save lives, prevent injuries, and reduce economic costs due to road traffic crashes. In FY 2011, the agency is requesting $877.6 million, an increase of $4.8 million above the $872.8 million FY 2010 enacted funding level, to conduct vehicle research and rulemaking, as well as to develop and implement data-driven, workable, and self-sustaining local highway safety programs that reduce highway injuries and fatalities. To accomplish these objectives, NHTSA provides grants to states and local communities, supports research, demonstrations and countermeasure programs designed to prevent motor vehicle crashes and reduce their associated economic costs. NHDTA has requested $620,697, 000 (71% of the budget request) for highway safety grants. These grants are provided to law enforcement to enable the development of local highway safety programs.

The budget's priority funding areas are research for advanced vehicle technologies, distracted driving, children, teen driver safety, older driver, pedestrian safety, fuel economy and environmental benefits. Page 146 of the document provides a detailed spread sheet of the Highway Safety Grants which are requested for 2011.

NHTSA provides grants to states and local communities, supports research grants, demonstration grants and counter measure program grants designed to prevent motor vehicle crashes and therefore reduce the associated economic costs. Examples of some of the proposed grant programs are as follows:

State and Community Grant Program
This program is to identify and refine consensus performance measures in state highway safety plans; continued focus on seat belt use, continued focus on correct child restraint use; combating impaired driving, promote use of ignition interlock technologies to address recidivism; collect and analyze crash data to identify priority safety problems.

Occupant Protection Incentive Grants
This program will fund occupant protection countermeasures and programs including improved seat belt and child safety laws, increased enforcement and correct child seat usage education programs.

Distracted Driving Prevention Grant
This grant is for the development and placement of broadcast and print media to support enforcement of distracted driving, also for any safety activity including police officers enforcement activity, collecting and analyzing relevant data and developing and conduction education programs.

Child Safety and Booster Seat Safety Incentive Grants
States will continue to purchase and distribute safety seats and restraints to low-income families, work with law enforcement to enforce child restraint laws, train child passenger safety professionals, educators and parents concerned with child safety seats and child restraints.

State Traffic Safety Information Systems Improvement Grants

States will use these grants to improve traffic safety information systems data that allow state and local government to correctly identify traffic safety problems, determine crash trends, and determine which traffic safety program activities are the most effective in reducing crash trends.

To prepare for these funding opportunities, your department must begin NOW to assess your traffic safety needs, crash data, trends, scope of problem, hot spots, etc. Research your data and map your numbers into a GIS to be able to visually see your traffic safety needs. You must have at a minimum the following data and information to apply for a NHTSA federal or state grant Highway Traffic Safety:

- Three to five years' worth of current statistics
- National, regional and local or similar states statistics
- Make sure they're related to your target audience: child, distracted driver, impaired driver, older drivers etc.
- List data source and year

The NHTSA also requires that every applicant for Highway Safety Grants comply with the "Traffic Safety Performance Measures" whether the funding comes from a federal grant or the state related grants.

"The National Highway Traffic Safety Administration (NHTSA) and the Governors Highway Safety Association (GHSA) have agreed on a minimum set of performance measures to be used by States and federal agencies in the development and implementation of behavioral highway safety plans and programs. An expert panel from NHTSA, State Highway Safety Offices, academic and research organizations, and other key groups assisted in developing the measures. The initial minimum set contains 14 measures: ten core outcome measures, one core behavior measure, and three activity measures. The measures cover the major areas common to State highway safety plans and use existing data systems. States will set goals for and report progress on each of the 11 core outcomes and behavior measures annually beginning with their 2010 Highway Safety Plans and Annual Reports. States will report the activity measures annually beginning with their 2010 Highway Safety Plans and Annual Reports. States should define and use additional performance measures for their other high-priority highway safety areas as appropriate. NHTSA will use the core measures as an integral part of its reporting to the Congress, the public, and others."

This means that any grant application from a local or state police department must be fully aware of these 14 measures, ten core measurements and their own state plan and then must build these measures into any grant program they develop. This document defines the measures and indicates where you would get the supporting data such as FARS.

Another key document to review carefully before applying for a Highway Traffic Safety grant is the "Partnering with State Highway Safety Offices/tips and tactics for success." This document defines the process for developing fundable traffic safety projects at both the state and federal levels.

Most state traffic safety grants mirror the federal grant. By following the advice from the Traffic Safety Performance Measures for States and Federal Agencies and the Partnering with State Highway Safety Offices" you will be on the right path for developing a solid highway safety program as well as a sound grant application. Each state will have its own Highway Traffic Safety Plan. Locate that plan and build your grant application in alignment with your state plan and your local data and needs.

You may also go to your own state website and search for Highway Safety Grant program to locate your state grant funding.

About the author

Denise is the Supervisory Instructor for Alutiiq LLC, where she provides grant writing training, facilitation services, strategic planning, and curriculum development. She has more than 30 years of executive management

experience in community service and nonprofit management. Denise has served as the law enforcement grant writing instructor for the Northeast Counter Drug Training center for the past 11 years. She is the author of *"Grant Writing - Show Me the Money©"*, the only CALEA certified grant writing course in the country.

<u>Grants for Law Enforcement</u> with Samantha Dorm

Guide to NHTSA's grants

Applications that are consistent with state and federal plans will move quickly to the top of the list when funding decisions are being made

The Federal Accountability and Transparency Act, although somewhat cumbersome for many departments to comply with, has resulted in an abundance of information being made available on the internet about previously funded programs and plans for future funding. The National Highway Traffic Safety Administration (NHTSA) funding priorities for each state are generally located in their <u>Highway Safety Plans and Annual Reports</u>.

The purpose of a <u>Strategic Highway Safety Plan </u>(SHSP) is to identify the State's key safety needs and guide investment decisions to achieve significant reductions in highway fatalities and serious injuries on all public roads. The SHSP allows all highway safety programs in the State to work together in an effort to align and leverage its resources. It also positions the State and its safety partners to collectively address the State's safety challenges on all public roads.

Below is a brief snapshot of the type of programs that are being funded through NHTSA grants.

In Arkansas, traffic safety programs are developed and implemented through cooperative and concentrated efforts among state, federal, local and some private-sector partners. These efforts are coordinated, implemented and supported by the Arkansas Highway Safety Office (AHSO, located within the <u>Arkansas State Police</u>).

To date, funding has been provided for training of law enforcement officers as well as prosecutors. The Victim Impact Panels are coordinated by the Mothers Against Drunk Driving. Overtime reimbursement and traffic enforcement related equipment has been provided to police departments that are conducting various traffic and safety details, while the implementation of DWI Court benefited from a grant to cover salaries, fringe benefits, in-state and out-of state travel and training, maintenance and operations, printing and administration expenses associated with start-up costs.

According to <u>New York's 2010 Highway Safety Plan</u>, grant funds may be utilized to support the development and implementation of innovative enforcement strategies by local agencies including high visibility enforcement programs, such as regional saturation patrols, sobriety checkpoints, and organized statewide mobilizations, as well as participation in the national impaired driving mobilizations.

Officer training programs such as the Standardized Field Sobriety Testing/Drug Recognition Expert (SFST/DRE) and Advanced Roadside Impaired Driving Enforcement (A.R.I.D.E) training for law enforcement officers, the Drug Impairment Training for Education Professionals (DITEP), and training for prosecutors of DWI cases will also continue to be provided.

In Florida, all program areas funded with grant funds are required to have an evaluation method that will allow assessment of the funded program's level of success in reducing fatalities and injuries. Grant application for Police Traffic Services should focus on these four major program related categories:

1. Resource Management: equipment for law enforcement agencies to implement traffic safety programs and enforce traffic safety laws. (Note: Grant funding is not intended to replace an agency's existing equipment).
2. Training: for law enforcement officers and legal professionals to attend training that will increase knowledge and skills and motivate and enhance professionalism and effectiveness.

3. Traffic Law Enforcement: "seed" money for law enforcement agencies to increase traffic enforcement staff to address apparent traffic safety issues in their area that cannot be addressed with current staff levels. May also include funding for Overtime enforcement, if necessary.
4. Communication Program: for public awareness and education regarding traffic enforcement services.

Items eligible for funding under this category may include: registration fees and equipment for training. Travel expenses and per diem to attend training activities are not normally funded.

Remember, each state has its own Highway Traffic Safety Plan. Locate that plan and build your grant application in alignment with your state plan. Take the time to review applications or annual reports that summarize previously funded projects.

If the information is not available on the internet, contact your state's Department of Transportation to ask for a copy.

Applications that are consistent with state and federal plans will move quickly to the top of the list when funding decisions are being made. Be informed and Be Prepared.

About the author

Samantha Dorm is a Senior Grant Writer and Consultant with PoliceGrantsHelp. In her current role with Lancaster City in PA, she coordinates countywide grant-related projects, and serves as an advisor to various boards and committees. Samantha has also worked with criminal justice agencies through the Weed & Seed Program, and was instrumental in the creation of the York County (PA) Criminal Justice Advisory Board.   Sam has provided guidance to various law enforcement and non-profit agencies throughout the United States to enable them to obtain alternative funding and she also provides instruction on statistical compilation, analysis, and program development. Passionate about law enforcement, Passionate about law enforcement, Samantha works with state and federal legislators to acquire funding for gang prevention/suppression efforts, equipment and training funds for tactical teams, and provides technical assistance for the development and implementation of new technologies designed to enhance officer safety.

Grants 101 by Sarah Wilson: 'Tis the Season... Lessons Learned

The team at PoliceGrantsHelp is pretty lucky.

What I mean to say is we have the privilege of talking to officers every day about their department needs, what's going on in their communities, and ultimately their grant projects. Taking into account all the conversations we have had over the past year, there are a number of trends we see for departments who are successful when it comes to following through with a grant project.

As we embark on a new grant year – here are some lessons learned from the team at PGH for your department to plan for as you start navigating grants for 2011.

Lesson Learned #1: A Top Priority for the Department?
Have you asked permission? What I mean to say is before you start looking into grants to fund a project, do the "powers that be" (Chief, Mayor, etc.) know you are looking into this project? Grants are a legal, binding contract between the grant maker and your department. Grants require a partnership on behalf of the department that includes some kind of match (cash or in kind services) and reporting requirements.

Let's say you believe that drugs are the biggest problem impacting your community and you think your department needs thermal imaging equipment to counter this issue. Coincidentally, your department also identified a drug problem through the most recent strategic planning session. Knowing this, they have elected/delegated/volunteered you to research and put together a grant proposal to apply for thermal-imaging cameras. This is of course an ideal scenario and I recognize it doesn't always happen this way. At least you

know that all of your efforts to look into and secure funding won't be wasted when you find out that there are about 5 other projects ahead of yours that the department has elected to focus on.

Some things to think about: When was the last time your department did any planning or strategic thinking? Is the identified problem and solution included as part of this plan? Do you have permission to apply for grants on behalf of the department?

Lesson Learned #2: Identify the Problem
You know that your department has a need for equipment, training, programs etc – but what grant makers (or any funding sources) want to know is what problem this grant request will solve in your community. The first question we ask every department is: What will happen in your community if you do not get this equipment, training, etc.? What will be the impact if you receive this funding? What will happen if you do not? Cause and effect.

For example - say your department needs a thermal imaging camera. You have this need because there is a problem with drugs in your community. You have done your homework and gathered data that proves there is an increase or "hotspots" for drugs in your community. Therefore, the problem is drugs and its impact on the community. One solution is to patrol the rural areas with thermal imaging cameras where drugs are being distributed. Thermal imaging cameras will enable your officers to identify and apprehend drug suspects, thus decreasing the distribution of drugs in your community.

The equipment you wish to purchase or the programs you seek to fund are considered the "solution" to a problem. To determine the appropriate funding source, your department must first define the problem to justify the need.

Lessons Learned #3: Data Support
You know you have a problem; you see it every day in your community. The thing is, the funding source for the grant most likely doesn't live or work or patrol in your community. You need to demonstrate that there is in fact a problem not just by identifying it (reference Lessons Learned 1 and 2) but by supporting the claims.

Using our example from Lessons Learned 1 and 2, let's say that drug arrests were the largest percentage of Part I Crimes, patrol/criminal arrests made in the past 3 years for your department. You would reference this data to support the claim that drugs are in fact a problem in your community. Another data source is to contact community partners such as the local hospital to see how many drug related emergencies have occurred over the same timeline. Is there a trend of increasing drug overdoses corresponding with drug arrests? If yes, then you have 2 data resources justifying your claim.

When you identify a problem to justify a need think to yourself: "Where can I find data to support this claim?" Make sure your data reinforces your identified problem. We have created a data reference guide to direct you with some ideas: www.policegrantshelp.com/grant-data-collection/

Lesson Learned #4: Find the Right Grant
Ok – so you've identified the problem, you've found the solution, you have data to support this claim, you have sign off from top brass, phew - now what? NOW you can look for funding. The reason we suggest going this route is to make sure you have everything you will need to match your department with the right grant.

Quite honestly reading the RFP (request for proposal) also known as the Solicitation is the best way to determine what grant will work for your department. You will want to focus on whether or not your department is eligible to apply, when the grant is due, how much you can apply for, as well as the application requirements. If the grant is currently not open for applications, request a copy of the previous year RFP. Contact a person listed on the past RFP to inquire if that grant program will be re-issued. This will help you plan ahead as you start gathering information for when the grant does open.

Building upon what we learned from Lessons 1-3 above, let's say we are in a community with an identified and data supported drug problem. Our solution to this problem is to supply thermal-imaging cameras to apprehend

suspects and counteract drug sales and distribution. A good grant for this is going to be something like the Edward Byrne Memorial JAG program or a local Community Development Grant that supports Crime Reduction.

So where can you find these targeted grant opportunities? Some of the places you can find them are PoliceGrantsHelp, Grants.Gov, and Foundation Directory (access at your local library for free).

Next Steps

Let's be honest – grants are tedious and time consuming. The flip side is they are incredibly rewarding. The team here is ready to support you through your project and provide as many resources as possible in the coming year.

We try to post as many grant opportunities as possible on PoliceGrantsHelp. You can also ask questions on our PGH Blog, our Facebook page or receive new grant alerts announcements by signing up to be a member of PGH. If you are interested in talking to us in person or getting training – here is a list of where we will be in 2011.

Sarah Wilson is responsible for the day to day management of the Grants program on PoliceGrantsHelp, FireGrantsHelp and EMSGrantsHelp. She has been working with non-profits professionally and personally for over 8 years and has assisted over 2000 public safety agencies with grant research and grant assistance. She most recently completed her Grant Writing certification from the NCTC training facility.

<u>Gathering the right data to write a grant</u> with Sarah Wilson

According to Denise Schlegel, Supervisory Instructor at NCTC and Grants Consultant with Allutiq, grants are defined as "a negotiation through analysis, skill in problem solving, professionalism through project design and lots of good, old fashioned effort." Most of the effort Denise refers to happens in the preparation for the grant. Defining your organization by taking basic data about your department, the community you serve and trends in call statistics can build the basis for a successful grant application.

The first thing you will need to do before writing your proposal is gather the documentation or data to support your proposal request. If you are part of a small department with no staff, a knowledgeable chief, city leader or board member are the logical resource for this information. If you are in a larger agency, there should be administrative, operational and financial support staff that can help you.

Below is a step-by-step breakdown of data you should collect prior to beginning your grant project. This information is useful for all organizations in the data collection process and can be the starting point for all future grant applications.

Mission Statement/Vision Statement
It is important that you have a good sense of how the grant project fits with the mission and vision of your agency. A mission statement should clearly define your organizations purpose whereas a vision statement describes a realistic desired outcome of your organization. Collecting background data on your organization and on the needs to be addressed will help document your arguments for funding. Funders want to know that a project they might fund reinforces the overall direction of your public safety organization.

Strategic Plan
Individual public safety agencies may not have their own strategic plan, but the community, county, or city you service should have one. Most chambers of commerce have a strategic plan as do offices of emergency services. Make sure you get a copy of the plan to find out where your service fits and more importantly if you are set up to respond accordingly. A lot of organizations you work with have already done the strategic planning — so tap into that work.

Demographics

The demographics of your response area are going to be a substantial data resource within your grant application. You have more than likely drawn conclusions about why your area has seen an increase in call volume — demographic trends will help support these conclusions. To research and describe the demographics of the community you serve — population, economy, geography, and community issues — you can find from American Fact Finder.

Decision Makers and Financing

In order to get anywhere with grants you need to know who to know in order to get support for your project. The decisions in your department could be made by your chief, a commission, a board of directors or even city leaders. Try to find out who makes the decisions for programs and equipment and how that selection is made. These decisions should be based on the community needs, department needs or ideally both. The final decision maker should be the person who signs your grant — make sure you have access to them.

Many of the private foundations will request copies of an organizational chart, biographies and current job descriptions. At a minimum you should include the decision-makers and their direct reports. Generally human resources or administrative personnel can assist you with obtaining this information.

All grant applications will ask for a project budget. You will need to show why you do not have budget for this grant project. Before you do that, do some due diligence on how your department is financially supported. How is your operating budget financed? Is it through taxes, bonds, donations? Make sure you get a copy of your most recent annual budget from your chief, accounting department or city manager.

Community Services and Grant History
Your department is providing a number of services to your community. These could include K9, Narcotics, SROs, First response, Disaster Response, etc. Make a list of all the services your organization currently provides or is expected to provide.

Find out if any programs have been the result of grants funding and if any community organizations were included as part of this project. This will help you figure out your organizations grant history and if you have ever been funded before. You should have an idea at this point as to what other funders have given your organization money — private donations, corporate donations or other state or federal funds.

Equipment
Think about the equipment and new programs that are of interest to your organization. Prioritize them in a list. Now, what equipment in this list will you need to make your grant project successful? Equipment included as part of a grant application should directly assist in solving the problem in your community you are addressing.

Sustainability
Last and most importantly, think about how your organization will sustain/fund the new equipment or program after the grant. Talk to the person who manages the department budget. You want to make sure your department considers the budget beyond the grant funding timeframe and build in funding for things like replacements, insurance costs, training, upgrades or repairs.

Conclusion
While tedious and a bit time consuming, this data-gathering process makes the actual grant writing much easier. Involving other vested interest parties in the process helps key people within your agency seriously consider the project's value to the organization.

If you are interested in a worksheet to help you gather this information email me your request: sarah.wilson@policegrantshelp.com

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SPECIAL REPORT - Grants Guide

Planning and research is vital to a successful grant application by Stephenie Slahor

Summary: Police agencies rely on grant money for programs, equipment, training or special projects. The sunken national economy is causing public and private grant dollars to dwindle. Administrators are finding that the competition for grants has become even more intense because of cuts, especially in the federal grant money arena (a drop of about 17 percent). The grant application process is demanding and exact, but the Internet is now a main source for grant information. Grantors set their priorities and their standards and you must meet those to be successful in receiving a grant.

$ Internet Resources for your Grant Research $

The following Web sites may help your grants search. Because grantors sometimes (of often) change their preferences or strategies, keep current with the grantors that seem to match your project.

www.grants.gov
This is probably the best starting point for most Federal grants and grant research. Here you can determine eligibility, find free downloads, links, grant management guidelines, and other help. You can also register for the newsletter about new grant opportunities.

www.dhs.gov/xgovt/grants
The Department of Homeland Security's grants focus on preparedness and response. Click on the U.S. map at the home page for your state's contact and to view grants available for your region. Most grants fund such items as preparedness planning, equipment acquisition, training, practice exercises, management and administration. The five programs are the State Homeland Security Program, Urban Areas Security Initiative, Law Enforcement Terrorism Prevention Program, Metropolitan Medical Response system, and the Citizen Corps Program. The website also links to FEMA-directed project for port security, critical infrastructure protections, regional/local mass transit system security, and equipment and training for first responders.

www.fema.gov/government/grant/index.shtm
The Federal Emergency Management Agency's grants focus on disaster-specific situations, but there is grant money also available for environmental and historical preservation, hazard-related grants, non-disaster programs, and repetitive flood claims programs.

www.tsa.gov

The Transportation Security Administration has, as its primary grant focus, projects that will enhance the safety and security of such modes of transportation as intercity buses, transit systems and ferry services.

www.cfda.gov

Updated as frequently as daily, this website offers access to a database of Federal grant programs available to State and local government, recognized tribal governments, domestic public and quasi-public groups, and private profit and non-profit groups and individuals. The home page links to a User's Guide, Search for Assistance Programs, and other featured links to such websites as www.USA.gov, www.Grants.gov, www.FedBizOpps.gov and Federal Asses Sales listed at www.USA.gov. It also describes the types of assistance available, how to apply for assistance, how to write grant proposals, the top 10 percent program list, new programs, and a full index. Formula grants, project grants, direct payments for specified use, direct payment for unrestricted use, direct loans, insurance, sale/exchange/donation of property and goods, use of property/facilities/equipment, and training categories are all included on the Web site.

phmsa.dot.gov/hazmat
If the safe transportation of hazardous material is key to your project, this website's grant program may provide the financial and/or technical assistance you need to enhance Sate, territorial, tribal or local HAZMAT emergency planning and training. There are also links to conferences, training seminars and meetings offered by the U.S. Department of Transportation.

www.rurdev.usda.gov/RD_Grants.html
The U.S. Department of Agriculture's Rural Development Program funds projects for rural area facilities, equipment, housing, utilities and businesses. About $16 billion in program loans, loan guarantees and grants is available through the program. The Web site has links to such financial assistance as business loans and grants, cooperative grants, community facilities loans and grants, telecommunications loans and grants, and community development programs.

www.ojp.usdoj.gov/funding/solicitations.htm
The Office of Justice Programs in the U.S. Department of Justice Web site contains solicitations and application kits for grants for a wide variety of projects including training, crime prevention and emergency management. There is also a set of links to past funded projects that may benefit your research into what is being sought, trends, and how to prepare a successful project and application.

www.gpoaccess.gov
The U.S. Government Printing Office disseminates official information from all three branches of the Federal government, but also offers a comprehensive guide to those branches at its website. There is a useful link to a list of official Federal resources when you need information about goals and purposes of the various Federal agencies.

www.usa.gov/Citizen/Topics/Benefits.shtml
The Web site provides an easy-to-use, alphabetical list of government benefits, grants and financial aid. While primarily citizen-oriented, the website can be of value when you are exploring grant opportunities and learning the nature of the assistance that might be available for you project.

www.hud.gov/grants/Index.cfm
The U.S. Department of Housing and Urban Development's Web site grants page contains information about available grants, funding announcements, explanations of HUD's grant system, and a link to registration with www.Grants.gov

www.hrsa.gov/grants/index.html
 The Health Resources and Services Administration agency Web site contains its grant policy statement, current and archived grant opportunities and their details, and a sign-up form for e-mail notification of new grants through the agency.

www.PoliceGrantsHelp.com
The organization offers information and assistance to police agencies and has an extensive law enforcement grants data-base of Federal, State, local and corporate grant opportunities. It also hosts "Grants eNews," a bulletin service.

www.justnet.org

The Justice Technology Information Network focuses on technology information, but also has information about grants. Their links can be helpful in researching available grant money particularly for equipment, testing, evaluation and technology improvements.

www.loc.gov

The Library of congress website is about as complete a reference tool as possible on whatever data you might need for completion of your grant application. Not restricted to purely Federal information, the Web site's resources can be a helpful addition to your research resources.

www.npstc.org

This federation of organizations seeks to improve public safety and interoperability of communications. Its Web site is an excellent source of information on such topics as broadband, software defined radio, re-banding and technical education.

www.federalgrantswire.com

This is a free resource guide to Federal and other government grants and loans. You can research available grants by name, subject, applicant type or agency. You will also find tips on how to write successful grant applications.

www.techsoup.com

Primarily targeted toward non-profit organizations, this Web site may be helpful if you are partnering with a non-profit group for a project. It will help you locate donated and discounted technology products.

www.psa.us

The Public Safety Foundation of America provides grants for public safety functions and issues including planning, equipment procurement and training.

www.research.ucla.edu/ocga/sr2/Private.htm

This University of California at Los Angeles Web site provides an alphabetical list of links to foundations and organizations, many (if not most) of which provide grants for projects.

www.Foundationcenter.org

This Web site also provides a list of potential private grantors, and information about grant writing courses and seminars.

www.1hawthorn.com

Here, you can research available grants and learn more about the process of applying for grants.

www.nw3c.org

Funded by Congress, the National White Collar Crime Center focuses on the prevention, investigation and prosecution of high-tech crimes. Its Web site lists seminars and programs, some of which are grants related.

www.kresge.org

The Kresge foundation offers grants for community projects.

www.GrantWritingUSA.com

This company offers seminars for both novice and experienced grant writers. The website also contains information about hosting a grant writing seminar.

www.performanceweb.org/events/date/

The Performance Institute specializes in transforming research and information into useable practices for government agencies. It offers a variety of seminars, including grants management.

www.hoofsfund.org

This organization supports the health and welfare of police horses and offers moderate grants to department to foster care and use of police horses.

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Human Resource Management Recruitment & Retention

POST Management Program

Instructional Goal: The instructional goal is to give managers, in regard to law enforcement recruitment and retention, the opportunity to explore emerging trends and to discuss current practices.

Performance Objectives: Upon completion of this course of instruction, managers should be able to:

- Explain why demographics are important to the recruitment and retention process.
- Identify questions that need to be answered before developing a strategic recruitment plan.
- Identify motivators for becoming law enforcement officers.
- Identify major sources of recruitment.
- Describe successful marketing strategies.
- Explain the importance of marketing an employer brand image.
- Identify ways to recognize counter productive work behaviors early in the hiring process.
- Identify factors that can help prospective candidates successfully navigate the hiring process.
- Identify important steps to ensure a dynamic interview process.
- Explain the importance of a solid initiation process to the retention of employees.
- Analyze employer practices that maximize retention of top employees.
- List key reasons employees leave jobs.
- Explain the importance of promoting a learning organization.
- Explain the importance of developing a succession plan.

Nevada State Demographics

Total Nevada Population (2013)   2,788,593

Total labor Force (2013)   1,237,860

Nevada statewide occupational employment and projections 2011-2016

2011 Law Enforcement Employment Statistics:

- Bailiffs   143
- Correctional Officers and Jailers   2,943
- Detectives and Criminal Investigators   620
- Parking Enforcement Workers   142
- Police & Sheriff's Patrol Officers   4,640

2016 Projected Law Enforcement Employment Statistics:

- Bailiffs   176
- Correctional Officers and Jailers   3,336
- Detectives and Criminal Investigators   727
- Parking Enforcement Workers   183
- Police & Sheriff's Patrol Officers   6,014

Percentage of the population by generation (2010 census)

Due to statistical reporting, the age brackets for each generation are not exact.

- Generation Z (Ages 0-9)   14.05%
- Generation Y (Ages 10-29)   28.66%
- Generation X (Ages 30-44)   22.10%
- Baby Boomers (Ages 45-64)   24.00%
- Silent Generation (Ages 65-84)   10.23%
- GI Generation (Ages 85 and above)   0.95%

Percentage of Population by Race (2010)

- White not Hispanic Origin   66.20%
- Black not Hispanic Origin   8.10%
- Hispanic Origin   26.50%
- Other   7.67%

Population Projections 1995-2025

- The percentage of Nevada's population classified as youth (under 20 years old) is projected to decrease from 28.4 percent in 1995 to 23.1 percent in 2025.
- The proportion of Nevada's population classified as elderly (ages 65 and over) is expected to increase from 11.4 percent in 1995 to 21.1 percent in 2025. This would place Nevada as the 15th highest proportion of elderly in 2025.
- Nevada's dependency ratio, the number of youth (under age 20) and elderly (ages 65 and over) there would be for every 100 people of working ages (20-64 years of age), could rise from 66.1 to 79 in 2025.
- In Nevada, a person of Hispanic origin, who may be of any race, is projected to increase from 12.6% of the 1995 population to 25.2% of the 2025 population. This is an estimated gain of around 390,000 persons of Hispanic origin. The Hispanic population change ranks Nevada as the 12th largest gain among the 50 states and District of Columbia.

After seeing these demographics, what might be some basic assumptions you might make about recruitment and retention within the state of Nevada?

_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

Bottom Line:

- Attracting and retaining high caliber people is a critical issue.
- Failure to plan for the future will result in an inadequate, mediocre workforce.
- Generations X and y bring unique challenges to the workplace and cannot be ignored.

Recruiting and retaining individuals from these generations require new tactics

Developing a Strategic Recruitment Plan

Important questions to answer when developing a strategic recruitment plan:

- How many officers do you need to recruit?

_____
_____

- Who is the ideal candidate?

_____
_____

- Is diversity important?

_____
_____

- Who are the stake holders?
  _____
  _____

- What are your short and long-term hiring time frames?
  _____
  _____

- What has attracted employees to your agency in the past?
  _____
  _____

- What advertising/recruiting efforts have worked in the past? Why?
  _____
  _____

- What advertising/recruiting efforts have failed in the past? Why?
  _____
  _____

- To what extent are all employees engaged in the recruitment process?
  _____
  _____

- Why do candidates decide they want to be in law enforcement?
  _____
  _____

- What money has been budgeted for recruitment?
  _____
  _____

Motivators

Why do individuals become police officers?

- Steady income and benefits
- Need to make a difference
- Honorable position of authority—respect

Other reasons:

_____
_____
_____

Best Recruitment Places

- _____
- _____
- _____

Where has your agency had the best luck recruiting?

_____
_____
_____

Recruitment Strategies

- Appeal to a broad range of applicants
- Emphasize the _____ of being an officer
- Use _____ employees
- Use a variety of _____
- Use both _____
- Mix of _____ groups
- Different _____ avenues highlighted
- Agency websites - _____ applications
- _____
- Agency recruiters
- _____ programs, citizen police academies, _____ academies, _____programs

For the organization your group was given, answer the following questions:

- Is the brand image positive, negative, or neutral?

  _____
  _____
  _____
  _____

- What has and is influencing that brand image?

  _____
  _____
  _____
  _____

- What has this organization done specifically to establish its brand image?

  _____
  _____
  _____
  _____

- Do you think the brand image is accurate? Why or why not?

  _____
  _____
  _____
  _____

Share your thoughts concerning brand image with the class.

Establishing an Employer Brand Image

1. An agency's brand image must be accurate and aligned with the following:
   - ❖ How the agency wishes to be valued
   - ❖ How the agency employees perform
   - ❖ The public's perception of officer conduct
2. A brand message needs to resonate with _____.
3. Advertising materials should use a consistent layout design including

   _____.
4. Use photos of _____ and should include _____. This sends the message that the agency values _____.
5. One of the strongest branding tools is _____.
6. Appealing to Generation X
   a. Job security/Solid Benefits
   b. Flexible schedule
   c. Time for family & leisure activities
   d. Individuals are important
   e. Opportunities for advancement
   f. Self-reliant
7. Appealing to Generation Y
   a. Individuality—but pack mentality
   b. Job security/benefits/child care
   c. Challenging job with responsibilities
   d. Adventure and excitement
   e. Flexible schedule
   f. Serving community and country
   g. Friends and parents are important

DiscoveringPolice.org

Developed by the International Association of Chiefs of Police in partnership with the Bureau of Justice Assistance

- Clear, accurate information on law enforcement careers
- Built-in, no cost Career Center—central place for hiring agencies and interested applicants to connect online
- Advertise vacancies—Browse candidate resumes at no cost

What are some of the recruitment strategies being used on this website?

_____
_____
_____

How does this website sell a positive and dynamic law enforcement brand image?

_____
_____
_____

Bottom line:

- Recruitment is not something an agency does part-time
- Recruitment is about selling an image that draws people to want to be a part of that image
- Everything an agency does must be seen as an opportunity to recruit
- One-size fits all recruitment plan will not work

Class Discussion:

1. How does your agency appeal to Generation X?

   _____
   _____
   _____
   _____
   _____
   _____

2. How does your agency appeal to Generation Y?

   _____
   _____
   _____
   _____
   _____
   _____

3. What are some of the things your agency does to promote a positive employer brand?

   _____
   _____
   _____
   _____
   _____
   _____

4. What other things does your agency do to successfully recruit future employees?

   _____
   _____
   _____
   _____
   _____
   _____

Hiring Process

The selection/hiring process is about picking the right individuals for the agency and hopefully eliminating excessive turnover.

Thoughts concerning the Hiring Process

Quantity and quality have decreased.   T or F

Background checks should include questions to determine _____.

Integrity Tests

- Check for _____
- Less cost prohibitive
- M-PULSE—Matrix Predictive Uniform Law Enforcement Selection Evaluation Inventory
  - ❖ Test: attitudes, values, beliefs, and behaviors related to LE and its culture
  - ❖ Identifies individuals with counter productive work behaviors

Cognitive and Physical Agility Testing

- Online sample tests
- Counting other standardized tests
- Programs online to help prepare candidates

Overall hiring Process

- Establish mentors
- Personalize the process/ make it user friendly
- Speed-up the process
- Ability to access progression

Interviewing Process

- Coordinate interviewers
- Consistent assessment tool
- Observe candidate outside of interview room
- Test maturity level
- See if they can accept blame
- Look for references concerning team work
- Take notes
- Concentrate on what has been actually produced
- Résumé matches what is said in interview

What are some things your agency does well concerning the hiring process?

_____
_____

Name something discussed about the hiring process that you think could be helpful.

_____
_____

Retention

Initiation Process

- Getting people off on the right foot is crucial
- Have workstation ready
- Buddy system
- Supervisors/Managers—15 minutes every day for the first week

Retention Practices

- Develop strong relationships
- Effective communication
- Meet basic needs

Why Employees Leave

- Does not like supervisor
- Unmet job expectations
- Poor job fit
- Lack of coaching—no feedback on performance
- Lack of professional development—no promotional opportunities
- Not feeling valued or recognized
- Workplace stress—work-life balance conflict
- Lack of trust and belief in senior

Generational Needs

Baby Boomers

- Security:
    - Job
    - Benefits
    - Retirement

Generational Needs

Generation X

- Advancement opportunities
- Need to feel valued
- Professional growth—training
- Forward thinking—room for change
- Flexibility
- Technology
- No bureaucracy

Generational Needs

Generation Y

- Mentoring
- Varied & exciting work
- Flexibility
- Options for child care
- Technology
- Social
- Advancement opportunities
- Feedback

Retention
- Retention practices
    - Good supervision
    - Good leadership
    - Recognition (Award system)

THANK YOU

43

Retention
- Create a Learning environment
    - Mentoring programs
    - Job rotation
    - Interim assignments
    - Task forces

Give high performers a chance to develop skills

44

How does your agency make new hires feel welcomed?

_____
_____
_____
_____
_____
_____

How does your agency keep in contact with new hires enrolled in a police academy?

_____
_____
_____
_____
_____
_____

What strategies does your agency employ that helps retain employees?

_____
_____
_____
_____
_____
_____

What are some of the positive outcomes of your agency's retention plan?

_____
_____
_____
_____
_____

<u>Succession Plans</u>

Exodus of the Baby Boomers from the workplace can cause a potential leadership vacuum and productivity shortfalls.

Generations X and Y

❖ Lack leadership competency
❖ Different values systems and priorities
❖ Lack understanding about the need to grow & how climb the leadership ladder
❖ Lack understanding concerning the importance of experience
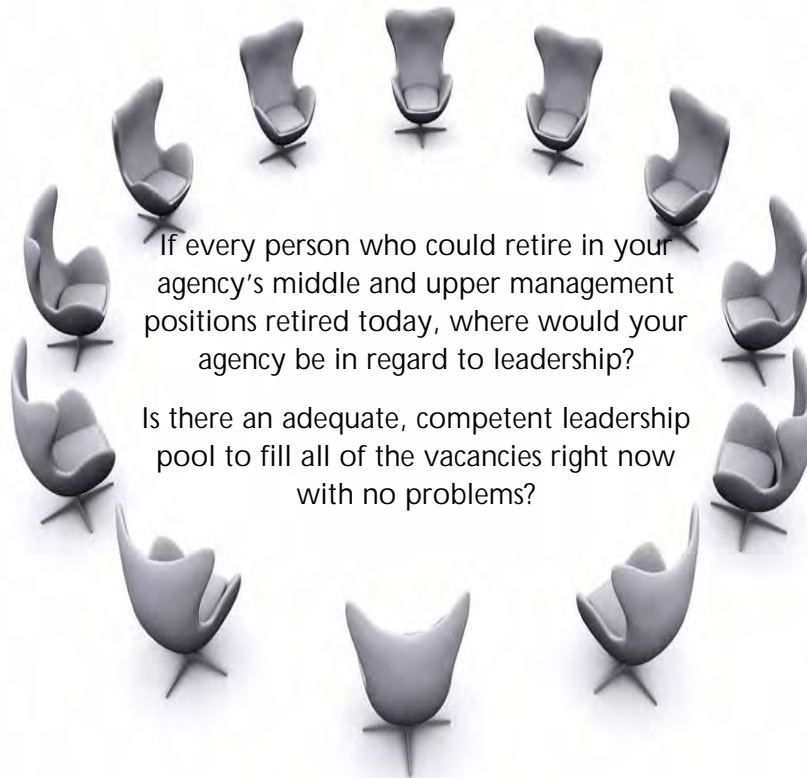
If every person who could retire in your agency's middle and upper management positions retired today, where would your agency be in regard to leadership?

Is there an adequate, competent leadership pool to fill all of the vacancies right now with no problems?

Proactive, long-term succession plans are _____.

Traditional education and training have _____.

Developing and motivation Generations X and Y require a different approach. One size does not fit all.

Generations X and Y needs

- Generic education programs along with
- Internal customized training sessions
- Coaching and mentoring
- Strategically designed stretch assignments

If an agency wants an adequate, competent leadership pool to draw from, it must _____ and _____ plan to create that pool _____ vacancies start occurring.

Effective Succession Plans

- Analyze current talent in key positions
- Create a clear definition of talent
- Identify talent groups
- Evaluate talent requirements for success in today's and tomorrow's world

- Honestly identify strengths and weaknesses of the leadership pool
- Start developing candidates
  - ❖ Assess
  - ❖ Test in action
  - ❖ Develop through education and training (coach, mentor, hands-on)
- Start filling the pipeline—identify multiple candidates for each position

Employer's Market

➢ Take advantage of today's economic crunch
➢ Actively recruit strong leadership talent
➢ In today's market, there is a lot of talent willing to work for less
➢ But if you want to hire and keep them you need to have a solid recruitment and retention practices in place

Succession Plan Activity

Analyze your agency's current succession plan

Identify key leadership positions—draw an organization chart

Identify possible vacancies in the next five years

_____
_____
_____
_____

Identify skills and attitudes needed for those positions

_____
_____
_____
_____

Analyze the talent pool in place to fill those spots (Honestly assess the pool's strengths and weaknesses.)

_____
_____
_____
_____

Create a training plan that would increase the strength of the training pools leadership potential.

_____
_____
_____
_____

<u>**Conclusion – Putting it all together**</u>

All agencies need:

- A recruitment plan
- A marketing strategy
- A retention plan (mentoring program)
- Succession planning

PoliceOne.com News

 Recruiting the 21st Century Police Officer with Sgt. Joe Binns

"The citizen expects police officers to have the wisdom of Solomon, the courage of David, the strength of Samson, the patience of Job, the leadership of Moses, the kindness of the Good Samaritan, the strategical training of Alexander, the faith of Daniel, the diplomacy of Lincoln, the tolerance of the Carpenter of Nazareth, and finally, an intimate knowledge of every branch of the natural biological, and social sciences. If he had all these, he might be a good policeman!" — August Vollmer

Recruiting the next generation of police officers is probably one of the most important functions for human resources professionals and police leaders in any department. Prior to 2009, police agencies across the nation had experienced a dramatic decrease in the number of qualified police applicants (Whetstone, Reed, & Turner, 2006). Chicago Police Department, like others, began lowering their standards for employment to allow younger, less educated officers into their recruitment pool while paying them higher starting salaries (Anonymous, 2001).

Recently, however, the poor economy has led many unemployed workers to apply for more secure jobs in the public sector, including police departments. In October 2009, the unemployment rate hit 10.2 percent, the highest since 1983 (U.S. Department of Labor, 11/6/2009). While this creates a better pool of diverse applicants for police recruiters, agencies should strive to find qualified applicants that are looking for a long-term career in policing with a commitment to the community (Whetstone et al., 2006). Once the private sector market rebounds from this recession, the employees who flocked to the public sector will again return to the private sector.

The community has high expectation of police officers. Recruiters should focus on those who "possess self-discipline, patience, attention to detail, knowledge of law, superior communication skills, and understand of scientific principles grounded in several disciplines" (Whetstone et al., 2006, p. 53). These traits are not widely found in the general public (Whetstone et al., 2006, p. 53). Understanding that the new recruits of today will be the leaders of tomorrow, recruiting has a direct impact on the future effectiveness of the agency, including the community's crime rate and quality of life issues. To be effective in the 21st century, police recruiters must raise the standards on agency diversity, officer education level, and understanding of the values of the next generation of police officer. In essence, police departments need to recruit police officers like other sectors of the labor market. To compete, agencies must raise the starting salary and provide opportunities for growth and development that are comparable to other private and public sector jobs.

Professionalism and Recruitment
Over the last thirty years, police agencies have strived to become more professional organizations. Agencies have adopted an ethical codes of conduct, instituted mandatory yearly training requirements, and held its members to a higher standard of behavior to "ensure trust" (Kissinger, 2005, p. 34). The process of recruiting

qualified officers that will uphold and maintain these standards of professionalism is the foundation of any police agency (White & Escobar, 2008). While many may argue whether policing has reached the point of a true profession, agencies have worked toward becoming more professional for decades. There is a true need to begin recruiting like a professional organization by reaching out to the top students at local high schools and universities as well as recruitment from other agencies. Many agencies give hiring incentives to recruits for education, proficiency in foreign languages, military service, and prior experience.

Most professional organizations recruit and pay candidates more that have prior experience in the field. The employee has their experience to offer the organization because they already have the prior work experience. In return, the organization pays the recruit the amount they are worth to the organization. In this regard, professional organizations pay those with experience more than someone just out of school. To become a true profession, agencies should place more emphasis on the creation of lateral entry positions. Specifically, agencies should recruit patrol officers, crime prevention officers, school resource officers, and even management from outside the agency. This competition for the best employees is not only good for the organization, it better serves the community as well.

There are many communities that cannot afford to pay higher salaries. Because salary and benefits are a product of a government budget, agencies will need to look at other benefits that can be offered to recruits. These benefits may include take-home vehicles, specialized training, or flexible schedules (Vest, 2001).

The Generational Divide
Each generation — from the baby boomers of the 40s to generation Y of the new millennium — has its own unique set of values, expectations, and goals in life. While many aspects of law enforcement appeal to each generation, recruiting from this distinct generation of workers may require different strategies. The police recruiter must understand each generation.

People included in the millennial generation were born between 1978 and the year 2000. This generation will be one of the largest ever, including more than 80 million people (Junginger, 2008). People born during in this generation are much more technologically savvy than previous generations, growing up with computers, iPods, and video games. Their ability to use technology even eclipses most of their teachers in school and supervisors at work. What makes this generation different in the workforce, however, is the personal values and expectations about how they want be treated by their employers, supervisors, and peers.

Employees from this generation are generally high achievers. They are a group that values their independence, having grown up in families where both parents work. They also value their personal relationships and are very sociable. This generation is different from others in that they will question decisions, value immediate feedback, and believe that experience isn't everything (Wallis, 2009). These characteristics will create conflict with the military style of command and control utilized within police departments. Police organizations will have to adapt their management style to this new age of recruit or face continued difficulties in recruitment and hiring. If Generation Y employees "feel they are undervalued, they will be planning their exit strategy" (Wallis, 2009, p. 62). Agencies cannot afford the cost of constant turnover.

Each police agency has its own mission based on community expectations — finding officers that "fit" into the agency's culture can be difficult. Recruiters must utilize strategies that will bring in a larger pool of diverse applicants to better fill these agency vacancies. These strategies include both methods of advertising departmental vacancies as well as the hiring process itself.

One of the biggest issues for police recruiters has been creating a large pool of qualified applicants from which to choose. A larger pool of applicants will allow departments to be more selective in the hiring process. Even with the increase in applicants because of recent economic issues, police still face problems "in trying to attract and retain quality candidates who fit within their organizational environment" (Orrick, 2008, p. 26). Departments should to be in a position where they recruit the best applicants, not merely eliminate those who

are least qualified (Whetstone et al., 2006). The recruiting strategies must bring in applicants that have diverse cultures, backgrounds, and educational fields (Vest, 2001).

Internet Presence
According to White and Escobar (2008), the recruitment process should utilize multiple techniques. First and foremost, every agency should have a presence on the Internet as a continued method of recruitment. The agency's website was identified as the most successful strategy for recruitment (Whetstone et al., 2006). From the website, departments can advertise and market their agency to prospective applicants. In turn, applicants can research the agency to find the agency's mission, hiring standards, community presence, and possible career tracks. Access to online applications makes it easier to recruit officers from other regions of the country.

A second source of recruiting using the Internet is through social networking sites. Many agencies today are creating sites through networks like MySpace and Facebook. This is particularly important when recruiting the younger generation of applicants who place a higher value of the social aspects of work. They utilize these types of online media to make contacts in both their professional and personal lives. Many agencies are creating a presence on these social networking sites to market their agency to prospective applicants. Agencies can update "friends" on opportunities within the agency, standards, and community news.

Physical Presence
Other successful strategies in recruitment include career fairs and visiting college and high school campuses (Whetstone et al., 2006). These events are good opportunities — indeed, have been good for a very long period of time — to market the police department to prospective applicants. These recruiting events should not focus solely on those with criminal justice majors but all disciplines of study. The communities served by law enforcement are continually changing and becoming more diverse. Those with educational backgrounds in education, foreign language, computer programming, and communication may be plugged into the organization in needed areas. Agencies that continue to recruit applicants with diverse backgrounds will do well in the long term.

Although diminishing in number, some agencies are still offering sign-on bonuses to new employees. At one point, the Houston Police Department was offering a $7000.00 sign-on bonus to any sworn officer that already met the basic service requirements for employment (Gentile, 2006).

Law enforcement agencies should also consider pulling resources to provide scholarship funds to bring in new recruits. One specific program in North Carolina, the Police Corps, recruited top performers right out of high school. The program, now a victim to budget cuts, created a very stringent selection process. Those that were selected for the program received a full scholarship to pay for college. In addition, the program provided law enforcement specific training during the summer months. Once the recruit completed the program and graduated college, each participant already had a job waiting for them. Agencies that signed up in support of the program committed to hiring one of the recruits after they graduated.

While this may be a costly program, it was an excellent opportunity to recruit qualified applicants that would show a long term commitment to the profession. This long term commitment becomes worth the expenditure when the costs of recruiting, outfitting, and training a new officer can cost well over $50,000. For accepting the scholarship, the recruit must work a specific number of years with the sponsoring agency, giving the organization a return on its investment.

A Recruiting Culture
Recruitment must be in the culture of the agency, from the top of the organizational structure to the bottom. Agency leaders, by the nature of their position in the organization, are provided with numerous opportunities to recruit new applicants to their agency. Even the officers themselves can be valuable tools in the recruitment process.

All employees in the agency — no matter what rank or status in the organization — should be trained in the recruitment and selection process (Whetstone et al., 2006). Officers should be given information on the agency

benefits, starting salary, and any testing requirements. Line officers and first line supervisors will have many opportunities in the community to sell the agency (Whetstone et al.). Human resources managers should even consider providing bonuses to those employees whose recruitment efforts lead to the hiring of a qualified officer. In this regard, officers would have financial incentive for identifying qualified applicants while in the community.

In addition to recruitment from within the community, many of the agency's seasoned officers are already members of outside criminal justice organizations and professional associations. The events held by these groups are also an excellent place to recruit officers. Instructors who represent the agency teaching at local institutions have a tremendous opportunity and responsibility to represent their agency with professionalism. The large numbers of recruits entering basic training while still searching for employment give instructors opportunities to market and sell their agency to prospective applicants.

As the citizens in the community become more educated, policing as a profession must become more educated as well. The skills learned through college education are required "to be an effective police officer in the 21st century" (White & Escobar, 2008, p. 123). Police agencies must begin to recruit officers that have taken the initiative to better themselves through education.

Education Standards
The call for higher educational requirements for police officers has been around for decades. In 1918, August Vollmer's movement toward police professionalism called upon departments to hire college educated police officers. He began hiring college students to fill part time policing positions (Decker & Huckabee, 2002). The 1931 Wickersham Commission Report called upon American police departments to create formal education requirements as well. This commission believed that changes over the next fifteen years "may see a great chain of instruction throughout the country which will make possible an education for every policeman. Only in this manner can the police ever hope successfully to cope with the crime situation (Wickersham Commission, 1931, p. 85).

The 1960's saw police in the middle of a social conflict that forced leaders to take a hard look at policing and the criminal justice system in general (Decker & Huckabee, 2002). The 1967 report by the Presidents Commission on Law Enforcement and Administration of Justice called upon police institutions to again create a higher standard of educational requirements for law enforcement officers. In the report The Challenge of Crime in a Free Society, the commission recommended that "the ultimate aim of all police departments should be that all personnel with general enforcement powers have baccalaureate degrees" (President's Commission on Law Enforcement and Administration of Justice, 1967, p. 109).

There are many reasons cited for the need of college educated police officers. First and foremost, the development of critical thinking skills is linked to higher education (White & Escobar, 2008). These skills are a necessity in today's police department as agencies move to community policing and problems solving as a base line for success. Officers are frequently called upon to create solutions to problems that do not necessarily fall under the typical police crime problem. Neighborhood problems that affect the quality of life are dealt with far more frequently than typical criminal investigations. When residents have no place else to turn, they call the police to help.

A Mighty Full Plate
In addition to the 911-response-driven police activity, officers today are required to not only attend community meetings to discuss problems but are responsible for facilitating those meetings as well. This requires well-developed communication skills — both written and verbal. Officers who have at least two years of college education are typically more prepared to handle this type of situation. In two separate studies of Florida Police officers, researchers found that those officers who had a minimum of a two year degree performed better overall in police job functions and were more likely to act ethically in their law enforcement duties (Tyre & Braunstein, 1992). Ethical performance by police officers is paramount to the success of any agency in their respective communities.

If the public cannot trust the police department, communication and partnership begin to break down.

Minority Recruitment
One of the biggest arguments against utilizing higher education as a prerequisite for employment in policing is the concern over losing potentially good recruits, especially minority and female applicants. The number of minorities and women attending and receiving degrees, however, has risen substantially since the 1980's. In 2007, minority enrollment in institutions of higher learning increased more than forty-seven percent (Cook & Cordova, 2007). After a study of this issue in 1991, the Police Executive Research Forum determined that "there was an adequate pool of both minority and majority college educated men and women interested in police employment (White & Escobar, 2008, p. 123). If this is the case, however, why do police agencies continue to struggle with recruiting minorities and women?

While opportunities for minorities in law enforcement have increased over the last 40 years, there continues to be discrimination in the workplace in terms of hiring, promotions, and assignments (Decker & Huckabee, 2002). Police agencies must be culturally and racially diverse, mirroring the community in which they serve (White & Escobar, 2008). There has been supported research that lack of diversity in the organization may lead to poor relations with the community as well as misconduct by the officers (White & Escobar).

Police departments should use targeted recruitment strategies to bring in more minority applicants. Some suggested strategies include the use of minority recruiters, contacts with minority community leaders, and recruiting drives that specifically target minority applicants. In addition, it is recommended that recruiters maintain personal contact with minorities during the recruitment process (Decker & Huckabee, 2002). Agencies must, however, recruit minorities "without regard to race or ethnic origin" (National Advisory Commission on Criminal Justice Standards and Goals, 1973, p. 331).

In Conclusion
While applicant pools have grown over the past year, police agencies still need to be focused on finding qualified applicants that fit with the community and organizational culture. Many from this expanded pool of applicants are not interested in making law enforcement a career. Once the economy recovers, they will move back into the private sector where pay and benefits are more competitive. In order to maintain the highest level of service to the community, police agencies must adapt to the new generation, increase standards in education, work toward a professional culture, and hire minority recruits. These strategies must be put in place in order to recruit the next generation police officer.

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About the author
Sergeant Joe Binns is 17-year veteran with the Garner (N.C.) Police Department, currently serving as a patrol supervisor. He has a Bachelor of Arts in Political Science from North Carolina State University and recently completed the requirements for his Masters of Justice Administration from Methodist University in Fayetteville, North Carolina. Joe has served in many positions within his department, including investigator, D.A.R.E. officer, public information officer, and training coordinator. He is currently a state certified law enforcement instructor/trainer with specialty certification in firearms and physical fitness. He teaches in-service and advanced training through his agency as well as the local community college system.

Police Officer Hiring Criteria
Written by Randy Means, Kevin Lowry

A good bit of federal anti-discrimination law must be considered in choosing and sequencing police officer hiring criteria. For now, suffice to say that employers with 15 or more employees (including part time) must adhere to the Civil Rights Act of 1964, the Americans with Disabilities Act and the Age Discrimination in Employment Act, for starters.

Employers may also be subject to a variety of state-based civil rights laws that often apply to employers with fewer than 15 employees. Consultation with expert local counsel is advised. We proceed now with a discussion of certain police officer hiring criteria: written tests, medical screening and physical ability tests.

The Written Test
A tremendous amount of energy and money has been spent by individual departments in the quest for the perfect entrance exam. If you have been diligent in your recruitment process, the significance of this phase of the hiring ordeal is radically reduced. The value of a written test as a predictor of the future performance of a police officer has long been the subject of debate anyway.

Traditionally, some large minority groups have performed relatively poorly on many of these tests, and because of our emphasis on them, we have missed opportunities to hire some very good people. Today, the legally viable entrance test may be little more than an assessment of the taker's ability to read and write at required levels, and their ability to follow direction. We may need to accept that and intensify other efforts in selection.

Thousands of police agencies exist in this country, but we don't need thousands of different entrance exams. Many departments have created or adopted bland, non-exotic written tests which have already passed legal muster. Find one that has been accepted in your state and use it.

Recruit the finest, let the test help put them in order, and then devote your best efforts to the rest of the selection process. Physical performance tests, psychological screening, background investigation, medical screening and, very importantly, human relations skills assessment are far better tools for predicting success than the written test ever was—as long as someone can read and write at required levels.

Medical Screening
The ADA precludes prospective employers from conducting medical exams or making medical inquiries of an applicant until after a conditional offer of employment has been made. The only pre-conditional offer inquiries that are acceptable, though they might pre-sage medical problems, are straightforward questions concerning the applicant's ability to perform essential job functions.

For example, this job requires that you be able to do "this." Can you do "this"? These restrictions are intended to prevent subtle and not-so-subtle discrimination against individuals with disabilities by attempting to assure that disabilities are not the focus of the selection process until after it has been determined that the applicant is otherwise a successful candidate. Then, the curtain is opened on possible disqualifying disabilities, and subsequent considerations are conducted under very bright lights of legal and sociopolitical scrutiny.

If an applicant covered by the ADA is disqualified on the basis of a disability, the employer must be able to show that the candidate cannot perform all of the essential job functions, even with reasonable accommodations.

Remember, we cannot require that all successful candidates be healthy. The ADA protects people from employment discrimination because of their disabilities—even if their disability makes them remarkably unhealthy—if they can perform all essential job functions.

Other traditional thinking may need re-examination in light of current ADA principles—like whether or not one really needs two eyes to perform the essential police job functions, and whether one really needs two biological legs when one plus a darn good prosthesis seems to make that candidate very able. Applicants who need hearing aids to hear satisfactorily should be allowed to use them, especially because we allow incumbents to use them.

Speaking of incumbents, the worst functioning heart in your incumbent work force is apparently a good enough heart to do police work adequately—at least so it seems from the fact that you are sending it into prospective combat each day. There will likely come a negative (legal) judgment day regarding telling applicants that certain medical and physical standards represent essential job functions even though we have incumbents who are not held to those standards, and clearly would not meet them. Such illogic is probably not sustainable in the long term.

Physical Ability Tests
Physical ability tests bring down a great number of candidates. For that reason, the wise employer will run these tests before applying other hiring criteria that are expensive and time consuming. A physical ability test in which an applicant must perform actual or simulated job tasks is not a medical examination or inquiry under the ADA. It may be run "upfront."

Again, we are not allowed to require that all new hires be healthy. The ADA protects some decidedly unhealthy people from discrimination on the basis of their disabilities, unless the candidate cannot perform the essential job functions. A candidate may be of questionable fitness and health yet be able to perform essential job functions. All that we can require, at least in the case of an applicant whose physical limitations are part of a covered disability, is that he or she be fit enough to do the job at minimum acceptable levels of safety and effectiveness.

Physical ability standards that are age- and gender-adjusted are, obviously and by definition, age- and gender-related rather than job-related—unless we have a job called "old man (or woman) police officer." The fact that someone falls into the 50th percentile (or any particular percentile) of a matrix of normative physical fitness data does nothing to assure that such person can do a particular job.

So, for example, if someone is in pretty good shape for a 65-year-old woman, that does not tell us whether that person can or can't perform the essential functions of the job of entry level police officer. Also, requiring men to meet higher standards than women just because they are men may easily be viewed as gender discrimination prohibited by the Civil Rights Act of 1964.

Plus, Section 106 of the Civil Rights Act of 1991 explicitly forbids gender "norming" on employment-related tests. Furthermore, to apply a physical standard to applicants that is never applied to incumbents may tend to invalidate that criterion.

Physical performance standards should involve specific activities which are clearly job-related and may be required of any police officer at any time. These are the essential job functions. Examples might include a

dummy drag or the ability to handle normal police foot pursuit tasks like leaping small ditches and culverts, climbing over a small surmount obstacle, climbing stairs and the like.

The cutoff score on such a test would be the same for everyone, regardless of age or gender, because the tasks are the same for everyone. A surmount obstacle does not get smaller, nor does the need to apprehend a criminal shrink, just because an officer is old or because of the officer's gender.

Standards that are not age- and gender-adjusted are extremely likely to have adverse impacts on women and people over 40. Therefore, the employer must be able to validate such standards—prove that they are so job-related as to constitute a business necessity. Details of validation science are beyond the scope of this article but can be obtained via e-mail request at rbmeans@aol.com.

It is also important to know that criteria like push-ups, sit-ups, a 1.5-mile run, etc., can be legally validated, although they do not "look like" the job. This may be accomplished through a two-step validation process that first identifies a valid passing score on a valid job task simulation test and then identifies what performance on a standard physical fitness test (push-ups, etc.) accurately (and with sufficient scientific certainty) predicts the ability to perform the job task simulation tests at the acceptable level. The use of age and gender adjustments in passing scores completely invalidates this approach, as mentioned above.

Randy Means is a partner in Thomas & Means, a law firm specializing entirely in police operations and administration. He has served the national law enforcement community full time for more than 30 years and is the author of "The Law of Policing," which is available at LRIS.com. He can be reached directly at *rbmeans@aol.com*.

Kevin Lowry recently retired as a chief from the Nassau County, N.Y., Police Department. He is a qualified attorney, arbitrator and hearing officer in matters of personnel and employment. Lowry has held supervisory and management positions in patrol, investigations and administration. He can be reached at *Kevin@CALLaCOP.com*.

Police Recruitment Problems
By Cindy Hill, eHow Contributor

Recruiting suitable law enforcement officers is a challenge in the 21st century. Police departments are squeezed by shifting demographics, changing expectations and a need to keep up with traditional crime-investigation and -prevention duties while simultaneously expanding community services and coordinating with homeland security agencies. Departments large and small face these problems.

Demographics

The U.S. population is aging rapidly. Census Bureau projections show a marked rise in the over-65 population and a decrease among ages 18 to 35 -- the age range of recruitment for law enforcement, as well as for the careers that compete with law enforcement for talent.

Diversity

Police departments are making efforts to better reflect the communities they serve. But lingering cultural biases, odd hours, and increased educational requirements create challenges for departments hoping to recruit more women and other persons who are not heterosexual young white males. The RAND Center on Quality Policing

reports a creative range of departmental attempts to address this issue, including outreach to gay communities, efforts to demonstrate the relevance of police work to young women, and efforts to recruit in Puerto Rico.

Competition

U.S. military involvement abroad and an increase in resources for homeland security leave local law enforcement agencies in direct competition with the military and federal agencies -- as well as with high-paying private security firms. Attempts to compete by emphasizing an exciting, dramatic career in policing can backfire when thrill-seeking recruits encounter the gentler public-service aspects of most daily police work.

Changing Expectations

Ellen Scrivner of the John Jay College of Criminal Justice reports that public and departmental expectations of police officers have changed, from emphasizing linear response to and control of incidents, to a need for strategic thinking and problem-solving skills that better reflect community needs. Employee expectations have also changed: Long, uncertain hours and modest salaries no longer meet the needs of many young families.

Misconceptions

Exciting cop shows on television emphasize shootouts, car chases and other high drama. This leaves potential recruits with the idea that such events are a daily part of policing, when in fact they occur rarely, if at all, in most departments. Recruiters themselves also can suffer from misconceptions when they believe that only certain types of young men are appropriate for police work.

Considerations

Police department recruiters should consider whether their current strategies adequately address these problems, or whether new, creative approaches are required. Cutting-edge recruitment materials, such as the International Association of Chiefs of Police website www.discoverpolicing.com, show diverse images of officers. By expanding their recruitment efforts to include persons interested in public careers such as teaching or social services, rather than just targeting young men who might otherwise opt for military service, police departments can attract whole new categories of qualified applicants.

Solutions

Solutions for tackling demographic and diversity issues include employing older civilians for non-patrol tasks that do not require a younger officer, or expanding acceptable age ranges for employment as long as physical fitness requirements are met. A more realistic portrayal of community police work in recruiting materials, and an understanding that women and men of diverse backgrounds strengthen a departments resources and resiliency, would also improve police recruiting quality.

Police Recruitment and Retention - Improving Practices

RAND Corporation

Local law enforcement agencies typically cite recruitment and retention as among their most pressing issues. Yet, Alan Deal of the California Commission on Peace Officer Standards and Training told the RAND Summit on Police Recruitment and Retention, they typically do not make it a priority. Law enforcement agencies are hindered in recruitment by a lack of strategic planning for recruitment, a lack of understanding of the market, and advertising and marketing methods that are out of touch and out of date for today's potential applicant. Nevertheless, Deal said, agencies that make recruitment and retention a priority can overcome these problems. In this section, we review what participants had to say about promising practices for law enforcement agencies to address recruitment and retention problems, as well as practices that might be adapted from other sectors such as the military.
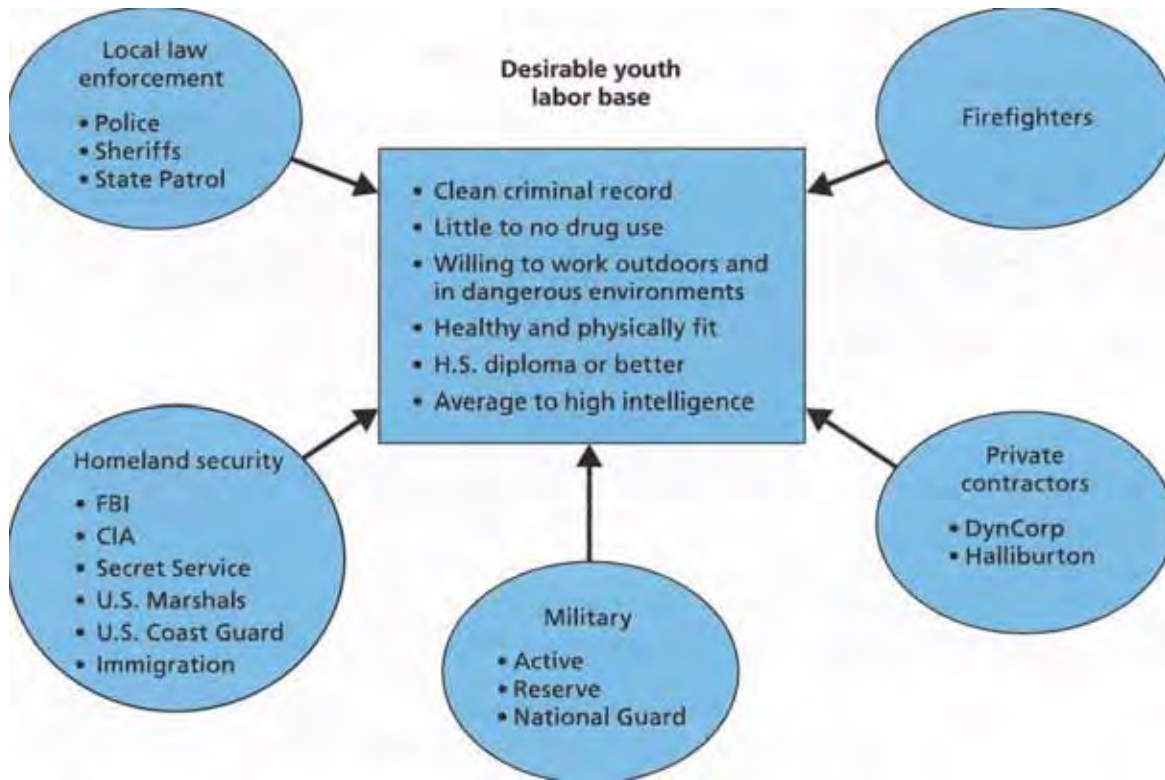
Improving Recruiting

Deal noted that while a large proportion of California local law enforcement agencies agree that recruitment is a problem, few have devoted resources to it. Seventy-four percent spend less than $5,000 annually on recruitment, and nearly half have no recruitment budget. Similarly, a survey of local law enforcement agencies in Illinois showed that only 12 percent have a workforce development plan, and none have a written plan for retention.

Traditional advertising and marketing is unlikely to help overcome these problems, Deal said. Such efforts by local police agencies are typically out of date and out of touch, demonstrating little knowledge of what candidates, particularly women and minorities, want in careers. Growing worker shortages stemming from decreasing birth rates will add to recruitment problems, and retention problems further compound the challenges local law enforcement agencies face. A recent survey found that 22 percent of California officers have switched agencies in the course of their careers, with about 4 percent changing agencies each year. Other data show that more than 23,000 officers who had completed probation but were not eligible for retirement left California law enforcement agencies between 1979 and 2005 for careers elsewhere.

Newer means of advertising and marketing can help police agencies improve their recruiting, Deal claimed. Internet sites are most effective, especially among self-directed candidates interested in police work. The

Internet and other creative uses of technology can also help attract more young applicants today and are typically used by private-sector firms to attract passive candidates who are not otherwise looking to change jobs.

A local law enforcement agency's own employees, Deal said, are perhaps the second-most important resource it has for recruiting. The Sacramento Sheriff's Department claims that nearly 90 percent of its best-performing officers learned about the department through a friend, relative, or other employee.

Deal noted that a survey of 800 California academy graduates showed the primary motivations for joining a local law enforcement agency were a desire to serve, the promise of adventure or excitement at work, stable employment, and non-routine work. The reputation of the agency also matters, not only for the candidate but also for "influencers" on the candidate such as family and friends. Some large departments develop means to market to particularly desirable candidates. The Charlotte-Mecklenburg Police Department distributes a video that depicts women in a variety of ranks and assignments speaking about what they did before joining the department to persuade women in other occupations to consider the potential opportunities available to them. Smaller agencies can also find unique ways to market themselves, Deal said. The Sheridan, Wyoming, Police Department distributes a video that emphasizes the benefits of working for a small agency in the Rocky Mountains.

Deal noted that agencies can also personalize and streamline their selection process. Extended hiring processes put agencies at risk of losing good candidates, as do lack of contact with candidates throughout the process, failure to use online application technologies, and use of jargon in application procedures. Several California departments have implemented technology such as online applications to speed the hiring process. The federal government has funded initiatives to shorten the selection process. California is spearheading legislation to allow peace officer background investigations to be conducted after a conditional offer of employment, thereby permitting background investigators to ask job-related questions without risk of violating the Americans With Disabilities Act (ADA) prohibition of pre-offer medical inquires.

Recruiting Lessons from the Military

Many of the recruitment and retention issues that local law enforcement agencies face are similar to those faced by the military. Both law enforcement and the military, Bernard Rostker of the RAND Corporation told the summit, are market-driven, hierarchical rank systems in which recruits typically enter at the bottom and are promoted through the ranks. Both offer promotions on a competitive basis, peg pay to time of and grade in service, and offer early retirement options.

The police and the military also have similar life-cycle events in careers for their personnel. The first year of service, the accession period, requires both to consider how to attract qualified personnel, select appropriate jobs for them, and train and assign them. The second through the fifth years are a probationary and two-sided learning period, in which both police agencies and the military consider which personnel they want to retain and which they wish to separate (although in the police context, except for performance issues, the act of separation is largely unilateral and initiated by the individual, not the organization). The fifth through the fifteenth years are a promotion period, in which both police and the military must consider whom they want to promote to leadership positions and whom they do not want to advance. Subsequent must consider how to keep and motivate those they want to retain, what to do with senior officers, and how to maintain appropriate turnover in the force.

Rostker noted that although local law enforcement agencies lack a centralized source for research and analysis on what may or may not work for police recruitment and retention, variation among them can help them analyze and identify the most effective recruitment and retention practices. Furthermore, previous research that helped the military address many of the problems it shares with police agencies might be adapted to these agencies. This includes research on how to build a high-quality force and its effects, increasing pay to improve retention, and appealing to new age groups.

Specific military recruiting experiences might also be applied to police work. The military has to make an enormous number of contacts to meet its accession requirements. In fact, Colonel Dan Choike and Lieutenant Colonel Mike Zeliff of the U.S. Marine Corps told the summit, Marine recruiters make approximately 10,000 contacts to ensure that 100 recruits are processed at the Military Entrance Processing Station and 55 eventually graduate from the School of Infantry. Part of this high ratio of contacts to recruits stems from the military's qualifications. Of the nearly 33 million youths in the United States between the ages of 17 and 24, only about 6 million are legal residents who have high school diplomas, would meet the requirements of Test Score Category A, and would not be disqualified for moral or physical fitness reasons.

The propensity of youth to join the military has also decreased recently: In June 2005, 15 percent said they "definitely" or "probably" would "be serving in the military in the next few years," but only 9 percent said so in December 2007. Nevertheless, Choike and Zeliff said, a great recruiter has confidence in his or her ability to convert the reluctant to joining.

Military recruiting, Choike and Zeliff said, follows a model of consumer behavior in which awareness or understanding of military opportunities is, over time, converted to a decision to enlist. Like local law enforcement agencies, the Marine Corps seeks to attract individuals with the "dignity" goals of personal achievement and respect for self and others and who demonstrate "fidelity" in their duty to country and their self-discipline and teamwork.

The Marine Corps, Choike and Zeliff said, has several measures of effectiveness for the $140 million in advertising it spends to attract recruits, including measures of ad recall and action taken because of the ads. The military also measures lead generation variables such as qualified leads and their conversion rates and recruiter support.

Recruiting Without Resources

Although the military can offer many lessons in recruitment and retention for local law enforcement agencies, it differs from many agencies in one important way: It has a large recruiting force and budget. By contrast, Nelson Lim of the RAND Corporation told the summit, only 30 percent of police departments have a recruiting force. Most elements of the military model by which candidates are converted to recruits are also beyond the control of local law enforcement agencies. Nevertheless, Lim said, there are five ways local law enforcement agencies can improve recruiting without additional resources, that is, without requiring an increase in taxes.

First, Lim suggests, local law enforcement agencies should put one leader in charge of the entire recruiting process, from marketing to testing to background investigation through academy training. While most agencies do not consider the academy to be part of training, Lim said, the academy dropout rate needs to be considered in assessing how well recruiting is functioning— specifically, whether recruiters are signing up the most promising candidates for the academy.

To be effective, the recruiting "czar" should have direct support and a clear mandate from the police chief and civic leaders to make all elements of recruiting work seamlessly in a lean and difficult environment.

Second, Lim says, agencies should publicize that they are hiring. In some cases, Lim said, even test takers are not sure that hiring is taking place. Police agencies should engage all their resources in the effort, putting recruiting information on business cards, asking officers to spread the word, and using department vehicles as billboards. Agencies can make their web sites more effective by emphasizing the positive reasons for joining, demystifying the recruiting process (perhaps providing a sample test online), and providing clear and updated instructions for applicants.

Third, Lim recommends that agencies identify untapped local markets. Out-of-town recruiting trips, he said, are not effective, given that few persons will move far just to become police officers. Rather, such recruiting trips ought to be limited to those locations where some intelligence indicates candidates are likely to be found, such as areas with economic difficulties or where candidates are likely to have difficulties because of few openings.

Within their own areas, local law enforcement agencies can make recruiting more effective by using a program such as CrimeStat to identify the top recruit-producing neighborhoods and communities and targeting their recruiting efforts on similar areas.

Fourth, Lim said, not all applicants are equally viable, so agencies should process them according to their viability. Highly viable applicants should be the top recruiting priority, and less viable candidates should be a lower priority. Agencies should prioritize applicants by viability to unclog their recruiting systems.

Fifth, not all recruiters and background investigators are equally productive. Local law enforcement agencies should develop performance measures based on recent numbers and should encourage and reward top recruiting performance. Such recognition might be in the form of an award for the recruiter of the month, quarter, or year; lunch with the police chief; or dinner with the mayor.

Improving Retention

Retention, summit participants agreed, is the other side of recruiting, or what prevents departments from recruiting candidates only to lose them. Dwayne Orrick, Director of Public Safety for Cordele, Georgia, noted that retention costs can be tallied as separation costs, recruitment costs, selection costs, new-employee costs, and other "soft" costs such as those that departments incur when they must "stack" calls and forgo proactive policing work because of staffing shortages. All told, Orrick claimed, failure to retain an officer can result in $100,000 in additional costs for a department; therefore, the best way to reduce the demand on recruiting resources is for a department to keep the officers it already has.

Officers, Orrick said, may leave a department for either "external" or "internal" reasons. External reasons relate to the economy at the time; that is, officers may leave because they can, having better opportunities elsewhere. Internal reasons relate to what the department itself can offer. The single biggest influence on whether an officer leaves or stays, Orrick claimed, is the officer's immediate supervisor, because "people don't quit jobs, they quit bosses." Other causes for turnover may include uncompetitive salaries, lack of career growth, unmet job expectations, inadequate feedback, insufficient recognition, or lack of training that officers may seek for career growth.

Orrick said that agencies should identify the core values they wish to instill and assess the organizational, cultural, and personal fit candidates will have with the agency. Agencies can use realistic job previews to ensure proper organizational fit, behavioral interviews to assess cultural fit, and background investigations to ensure personal fit. In addition to offering officers "survival" (that is, money) at their jobs, agencies should also help them reach recognition (success) and meaning (or transformation) at work.

Local law enforcement agencies can, Orrick said, address many of the reasons officers may choose to remain with the department or look elsewhere. Conducting "stay" interviews with the best officers can help identify what helps retain officers, to identify traits in officers who are likely to fit in or stay with the department, and to find what employees want that agencies can provide. Such interviews may also help agencies begin their retention efforts with recruiting.

Orrick also suggested that agencies make supervisors accountable for retention, something, he added, that is easier to do in large organizations with multiple stations or bureaus than in smaller ones. Agencies can also make salaries competitive, offer flexible compensation, enhance recognition and career development, and offer career assessment and counseling. Offering varied work experiences, such as cross-training or shadowing, can help officers discern which parts of police work they like most and wish to pursue. Addressing personal and family issues can also help agencies retain officers. Finally, agencies should create meaningful causes for their officers, enabling them to consider their careers as making a difference to a jurisdiction.

Summary of Discussions

Local law enforcement agencies are facing increasing challenges in recruitment and retention just as their work is becoming more complex. Higher standards, such as requiring a college education or a history of no or very

limited drug use, are reducing the number of eligible applicants, while agencies must take on increasingly complex tasks ranging from traditional crime fighting roles to community policing to homeland security.

Police agencies generally have not applied common tenets of personnel management to their profession to address these challenges, but they can draw many lessons from the application of personnel-management methods in other occupations and the experiences of their peers. Analyses of military recruiting and retention can yield insights into how to appeal to young applicants and to design career paths and progression that will retain and reward the most promising officers. Local law enforcement agencies themselves, ranging from departments with constant needs to those that need to grow to meet specific needs to those that need to retain particular personnel, have lessons to share with each other. The results of this summit represent a call for a concerted effort to develop personnel-management principles and apply them to the law enforcement community.

Evidence-based initiatives can yield results. Many departments already gather data to assess and fine-tune their efforts. In the extreme case of New Orleans, evidence-based initiatives, when presented by those outside the police department, quickly rallied city leaders to implement many needed changes for the department.

Internet dissemination can also help spread effective lessons more quickly and widely. Two recent innovations announced at the summit illustrate resources that can help police agencies with their recruitment and retention needs. The RAND Center for Quality Policing, with the support of the Office of Community Oriented Policing Services, has launched a recruitment and retention clearinghouse (http://www.rand.org/ise/centers/quality_policing/cops/). Jeremy Wilson, who serves as the clearinghouse's director, explained that it compiles in a searchable database information to help build, maintain, and enhance police workforces. All resources are annotated and sortable, allowing agency personnel to identify the information that is most relevant to their needs. Resources include:

- Reports on promising practices, including evidence-based guides to improving recruitment and retention, especially for workforce diversity and community policing.
- Research and assessment reports on recruitment and retention.
- Briefings summarizing key personnel issues and strategies.
- Tools and methods for targeting recruiting efforts, assessing personnel needs, and gauging goal accomplishment.
- Data on personnel planning, police agency employment and policies, and community characteristics.
- Web site links to discussions of police staffing issues, funding agencies, professional associations, government offices, and data repositories.
- News and commentary by police personnel.
- Field experiences highlighting experiences and observations regarding recruitment and retention.
- Announcements of current opportunities for police agencies and officers, including conferences, training sessions, funding opportunities, and other programs.

In addition, Kim Kohlhepp of the International Association of Chiefs of Police brought attention to the association's new Discover Policing web site (http://www.discoverpolicing.org), which, by allowing candidates to obtain information on policing and to connect with agencies online, will help law enforcement agencies address their continuing recruiting challenges. Its career database offers information such as:

- Why policing is a great career.
- Examples of the diversity of organizations and employment opportunities.
- Personal accounts of what it is like to be a police officer.
- An overview of hiring, selection, and training processes.

Both the Recruitment and Retention Clearinghouse and the Discover Policing web sites can help police agencies meet their personnel goals. The Clearinghouse web site helps to promote the dissemination of evidence-based lessons to assist agencies in maximizing the yield on their recruitment and retention efforts and resources. The

Discover Policing web site increases awareness of, and interest in, the police profession, thereby improving police agencies' ability to attract quality candidates. These and other means of communicating innovations, promising practices, analyses, and information are important for developing police-specific personnel management practices.

Implications for Meeting Personnel Needs

The summit also pointed to several steps police agencies can take to improve their recruiting and retention. In particular, participants noted the following:

- In a highly competitive market, partnering with local criminal justice programs, administering frequent exams, and providing recruiting bonuses proved successful.
- In a rapidly growing community, a marketing campaign appealing to characteristics such as selflessness, patriotism, and community orientation, which the agency desired and candidates shared, helped attract candidates. Developing a cadre system letting recruits "recycle" through the academy as necessary also helped improve their processing.
- In a community that had to rebuild after a catastrophe, focused research on recruitment and retention, including an analysis of salary and benefits, helped a department reverse its slide and stabilize its numbers.
- In a very large community, multiple initiatives, from selling the department's "brand" to recruitment web sites and hotlines to improving pay, are all necessary to maintain the required force size.
- In a community seeking to rapidly increase its police force for specific community needs, streamlined processes allowing candidates to be hired within three weeks of passing an exam helped improve recruitment, while changes in pay and other work practices helped maintain retention.
- In a department struggling to attain diversity that reflects that of the community, the lack of a recruiting budget and restrictions such as residency requirements can limit success.
- In a department seeking to improve recruitment and retention simultaneously, making the nature of policing more appealing to candidates seeking "white-collar" status, instilling pride in the department, and demonstrating to veterans how new techniques (e.g., community policing) serve traditional purposes (e.g., developing leads to capture criminals) all work.
- More generally, police agencies should focus on newer means of advertising and marketing, such as the Internet, for improving their recruiting, although their own employees will remain a very important recruiting resource.
- Police agencies can learn from military experience in different stages of the career cycle in market-driven, hierarchical rank systems.
- Agencies that find themselves with little or no resources for recruiting can still improve their recruiting efforts by centralizing leadership for those efforts, spreading the word when they are hiring, identifying untapped local markets, prioritizing applications, and rewarding their most effective recruiters.
- Finally, because retention can eliminate much of the need for recruiting, agencies should focus on the "internal" reasons that may drive away effective employees and should work to augment the reasons officers choose to stay with a department.

Recruiting Character

Written by Jay Burch

When I started my career in law enforcement more than 20 years ago, we had 300 applicants showing up to test for three police officer openings. I tested with Denver PD in the mid-1980s, and there were over 2,000 people testing for 50 jobs. As everyone in law enforcement knows now, those days are past. Where there used to be an applicant-to-hiring ratio of 100-to-1, there now is 10-to-1, or less in many cases.

Larger departments recruit nationwide just to get enough applicants to try to fill academies. Smaller departments often struggle just to get enough applicants to fill openings. Not only is the quantity of applicants gone, sometimes the quality of applicants is just not there either. Police chiefs of smaller departments are faced with lingering openings or being tempted to lower hiring standards.

When I left a modern, highly equipped mid-size police department in the Dallas metro area a few years back to take my first police chief job, it was at a small 15-officer department in a rural town. I knew it would be a challenge to hire officers of the same quality I was used to in a large metropolitan area, but I promised to never compromise my hiring standards and expectations. For my first opening, I had five applicants, and three of those had criminal records!

I chose a plan to hire only men and women of high character. It mattered not if the person was the smartest, toughest, best looking, worst looking, etc.—the focus was on character. The downside was that some of my openings would linger, but I was willing to be patient to get the right people.

As most chiefs of smaller departments know, small police departments are usually training grounds for officers who eventually move on to larger, better paying departments. My goal was not only to increase pay and benefits for employees, which I knew would take time, but to build a department with high-quality professionals where most would want to stay for many years because of the quality of the department, good working conditions and being part of a successful team with the proper tools to do the job. Still, the main issue was to get people interested in our mission to hire and retain character.

How to Hire Character

Many tests for police applicants result in those who are smart or are good test-takers being hired or promoted, but they don't account for character. One might respond that the character issues of applicants are checked during background investigations. But do we really check for true character?

There are outstanding background investigators across the country who "look under every rock" when investigating a recruit, so much of this may not be news. Medium or smaller departments sometimes have more time to spend delving into potential recruit's background than bigger departments because we don't have the dozens if not hundreds of applicants a month to work with. With this in mind, I offer the following for consideration when trying to hire character.

Rethink the recruiting process. Before entering law enforcement, I worked in the private industry and was always impressed with the recruiting efforts of many corporations. These businesses had recruiting and the application process down to a science. They made the applicant feel as if he were the most important person to that company. When I became a police chief, I wondered why law enforcement does not go to the same lengths to attract quality people. We may not be able to go to the extremes of corporate recruiting, but we can use the same principles.

Plan the initial interview. Most all agencies will have an initial interview with a potential recruit, but we take it a step further and have the applicant meet with a couple of members of the command staff and administration. The interview is not a board, per se, but a chance for the applicant to meet the staff and for the staff to get to know the applicant in a somewhat less formal setting. The applicant often feels more at ease and will sometimes reveal issues or make comments that are indicative of something we need to investigate or reveal the ominous "red flag."

If an applicant makes a positive impression during the initial interview, we sometimes take the person to lunch. Again, many agencies can't afford the time or money to take an applicant to lunch, but there are benefits to be realized. When applicants get into a less formal lunch setting, they tend to relax and open up about issues important in their lives versus trying to discuss matters they think we want to hear. Remember, once an applicant "opens a door" to a topic, most times we can step through that door with follow-up questions if relevant to a potential police career.

Background Investigation

We try to take steps to uncover character issues. We may contact references, friends, former co-workers, or anyone we contact who knows the applicant. One of the most important questions to be asked is, "When you think of a great police officer, does (applicant's name) come to mind as the type of police officer you would want serving the public?" I've actually had people burst out laughing when asked this question. Their response is often a red flag.

While home visits are a common practice with many agencies, many do not conduct home visits for various reasons. A "surprise" home visit is often preferred over a scheduled one. Our investigators look for things in the residence indicative of character issues, such as photographs or wall hangings, books or magazines on display that point to certain interests.

Does the person take pride in how they live? Is their residence basically clean or is it littered with trash, dirty dishes, beer cans, etc.? If the applicant has a yard, how is it kept? Does the applicant show any emotions—positive or negative—in how he talks with or handles other family members present? Investigators can glean much from a home visit about an applicant's character and priorities. How we live can sometimes relate to how we work.

Contact instructors, the academy director and fellow students of the applicant. We're looking for character issues such as leadership, commitment, ethics, honesty and citizenship.

Peel the onion. Most applicants expect their references to give a positive response to a background inquiry about them. Like many police agencies, we try to go two or three layers deep into the background to find friends of friends or co-workers of co-workers who know the applicant. Neighbors are also sometimes a good source of information.

Obviously, we have to be careful with how far or deep we go into an applicant's private life, but it seems in my experience that more officers have lost their jobs or ruined their careers over off-duty issues than on-duty issues. Early on in a recruit's training, if problems arise, we must determine if the problems are training issues or character issues. There is a major difference. Training problems can be addressed through remedial training. Character issues usually take a completely different and complicated turn through the disciplinary process—thus, the importance of recruiting and hiring character.

The Standards Bar

As part of the recruiting character philosophy, I teach in police academies. This allows me to get to know the recruits on a personal basis during the class; to see the natural leaders; to see those truly committed; and to see those dedicated to service with honor and, yes, character. As part of my teaching, I introduce the "standards bar." I tell the cadets that we all have an imaginary bar or level in our lives where everything above it is acceptable and everything below it is not acceptable, unless we compromise our standards.

No two people have their personal standards bar at the same level, but good people of quality character have their bar on average at a higher level than others because we expect more of ourselves and refuse to compromise our standards for anyone or any reason. I want those people in my department serving our community.

That person may or may not be the smartest when it comes to taking a test or board, but he usually becomes a high character officer in the department. Becoming part of an organization with others of the same high quality

and character makes being in that organization more enjoyable, and as a result, I have seen an increase in average years of service before moving on—if they do decide to move at all.

To achieve success, we are all walking up a downward-moving escalator. Progress is slow but we are moving ahead. The moment we stop walking forward, we lose progress, and our goal quickly becomes more distant, if not unreachable. It takes commitment and action to work toward our goals without ceasing. My recruiting targets are men and women with such a commitment to keep moving forward.

Commitment Umbrella
As another part of my instruction, I introduce the "commitment umbrella." When I started my police career, most officers were dedicated and committed to most areas of their lives. But in recent years, I've seen that people who made very good officers and who were highly dedicated to their profession have failings or lack of commitment in most other aspects of their lives.

I talk about wanting people who are highly dedicated and committed to all aspects of their lives. I am aware that police administrators cannot delve too much into personal lives of our employees. But if they are truly committed to all aspects of their lives, being around cadets in a police academy class or talking extensively to references and others during background investigations will reveal this.

Under the commitment umbrella are divisions of our lives: job, family, marriage, health, finances, spiritual life, goals, friends, etc. The recruits I search for are equally committed to all aspects of their lives but have different priorities for each aspect. There is probably no way to determine all the aspects of one's priorities in life, but finding a person who is equally committed has potential to make a better police officer.

By the time I left my first police chief job four years later, there was usually a waiting list of decent applicants when we had an open position, which was becoming less frequent. It didn't matter to most applicants that there were larger, better paying departments in the region. Applicants had heard about our department, knew the type of men and women who served there and wanted to be a part of such a quality organization.

As a final segment of recruiting character, and something that normally only a smaller department can do, I have an interview with the applicant, usually with one or two of my command staff present. This is not a highly intense interview but a "meet and greet" visit just to get to know the applicant and to learn the type of person he is to determine if he may be a fit for the department. Certainly, there are some low-stress scenario-type questions we discuss, but only to observe and hear his thought process. My opinion is that you tend to see the real person in a less intrusive situation than a stressful interview board.

It may not be feasible or possible for some chiefs to have the added benefit of teaching in an academy to get to know potential applicants, but you can keep in contact with academy directors and let them know the type people you want for your department. If nothing else, designate a person to spend time at the police academy to learn the recruits and determine who the leaders of the class are and why they are looked upon as leaders.

Recruiting character is not a perfect system, and certainly there are those hired under the philosophy who do not make it after all. But the upside is for those who do make it in the system. Those officers are usually far better officers than those under the more traditional recruitment methods.

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Line of Duty Death

POST Management Program

Instructional Goal: Upon completion of this instruction and using the attached material, any agency will have the information to establish a policy and procedure for Line of Duty Deaths.

Performance Objectives:

By the end of this training, students will be able to pass a written exam at or above 80% on the following:

- Identify the need for an On Duty Death policy
- Discuss the need to have all contact information for each employee
- List the resources available to the Agency and Survivors

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WEAR YOUR VEST.

WATCH YOUR SPEED.

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No matter what the vehicle code says,
you're not exempt from the laws of physics.

It's been more than 65 years since the annual line-of-duty police deaths totaled less than 100.

BELOW 100

Wear your belt.
Wear your vest.
Watch your speed.
WIN—What's Important Now?
Remember: Complacency kills!

The 5 Tenets
These five ideas will change police culture & save lives

1. **Wear Your Belt**

It might sound simple to you, even unnecessary, but the truth is too many agencies don't mandate belt wear. And even among those that do, many officers ignore policy because the culture doesn't value it. *The truth:* Seatbelts save lives.
Article: Wear Your Belt. Watch Your Speed – *By Travis Yates*

2. **Wear Your Vest**

We know vests save lives. We know that bullets can fly when we least expect it. Add to that the fact that body armor can improve your likelihood of surviving a car accident or other traumatic event and you quickly see why you must wear it. Always. Period.
Article: Wear Your Vest – *By Jeff Chudwin*

3. **Watch Your Speed**

Why do cops drive fast? Because they can, right? Well, driving faster than what conditions warrant is a sure way to get in trouble. Of course there are times when getting on scene quickly is critical. But these times are rare. Too often, officers are speeding—just because they can. In the process, they are putting themselves and the public at perilous risk *for no good reason*.
Article: Wear Your Belt. Watch Your Speed – *By Travis Yates*

4. **WIN—What's Important Now?**

It's a simple question that can elicit profound results. It's a question that will lead to deliberate action, not reaction. If you are constantly prioritizing what's most important, you won't have time for the distractions that can get you in trouble, hurt or killed.
Article: WIN—What's Important Now? – *By Brian Willis*

5. *Remember:* **Complacency Kills!**

Chief Jeff Chudwin perhaps said it best: "Complacency is among the most dangerous and insidious threats we face because it lays us open to all others." Complacency is why police officers think they can go without vest and seatbelts. It's why they think they can speed and allow themselves to be distracted. To quote Chief Chudwin again: "Complacency will kill you."
Article: Complacency Kills – *By Jeff Chudwin*

Prior Planning

If you do not have the information ahead of time, you will be answering some uncomfortable questions and not have the answers.

Policy and procedure is needed.

Statement of Fact

- Every year more than 100 firefighters are killed in the line of duty…..
- Every year more than 15 EMS responders are killed in the line of duty…..
- Every year more than 120 Police Officers are killed in the line of duty.
- The National Law Enforcement Memorial wall in Washington DC has the name of more than 19,000 officers
- Thousands more are seriously injured in the line of duty…..
- Sadly, less than 25% of emergency response agencies are prepared for any of these catastrophic events!

14 NV Officer deaths since 2006

- 2014 - Igor Soldo – LVMPD

- 2014 – Alyn Beck – LVMPD

- 2013 – David VanBuskirk - LVMPD

- 2012 – Tracy Hardin – NDOC

- 2012 – Lawrence, Denny – Elko S.O.

- 2010 – Deutch, Ian – Nye Cty S.O.

- 2010 – Cooper, Stanley – U.S. Marshall

- 2009 – Leach, Daniel – LVMPD

- 2009 – Nettleton, Trevor – LVMPD

- 2009 – Beitel, Milburn III – LVMPD

- 2009 – Manor, James - LVMPD

One of the most dreaded traumatic events any law enforcement agency can experience: critical injuries or line-of-duty deaths

They create chaos within any organization and impact every sworn officer and civilian employee.

During such emotionally challenging times, only the quick and efficient implementation of a well-prepared plan of action can keep the "organized" chaos from degenerating into full-blown dysfunction.

How one responds to such an event will define you as a Chief, manager, or leader. It will forever change the way your department operates and will affect your department's ability to recover and continue to serve.

Starting with management, ask these 4 key questions:

- Do we have a Line of Duty Death Pre-Plan in place?
- Do I as a leader know where my copy is?
- How long has it been since I looked at it and updated it?
- Do we have each staff member complete a confidential packet in case of a death?

If you cannot fill in the answers to these three important questions, you then need to start on the process of having a hands on, Critical Injury/Line of Duty Death Pre-plan in place; regularly updated and regularly communicated to all department members.

If your department does have a pre-plan in effect, ask yourself these questions:

- How familiar with the pre-plan am I right now?
- Do I know all of my available resources and is the contact information for them readily available?
- Is the information in this pre-plan current?

Agency's will find it better for all concerned if they formulate answers to these questions when compassionate, clear thinking heads rule, rather than in a moment of emotional chaos when

No one thinks clearly……………….

These events are difficult to manage at best. However, with the right amount of planning and with experienced resources at hand, you and your department …WILL make it through these painful experiences and be able to continue on with work and life. Departments that have a critical injury / line of duty death policy in place prior to the incident, experience fewer problems during this type of crisis. Such policies offer far-reaching advantages.

Not only will your officers be better prepared to deal with this sudden violent trauma, but your department will also find fewer job-related disabilities arising from the aftermath of such an incident.

- A definitive plan allows agencies to function more effectively during one of the highest stress situations your officers may ever face.

The loss will effect
the family
the department
the community both old and young……

On April 22, 2008, Trooper Chris Kelly was teaching a class, Realities of Law Enforcement, at the Academy, to a new group of Cadets. It was their second day.

At the end of the class, Trooper Kelly opened the floor to questions. One of the cadets asked the group of instructors: "What do you do when you have to make that call to the officers' family, how do you handle it. What do you do if you get that call on a fellow officer?"

The room got quiet. Trooper Chris Kelly addressed the cadet:

I got that call.

- At 10:10 my sister, a Nevada Trooper, was involved in an accident.
- At 10:13 I got that call…

You can ask my wife, a switch snapped, I went into police mode because that is what we do……… I DROVE MYSELF

It is not a matter of if…but when we get that call again.

Nevada Department of Public Safety as implemented a KARA Team:

- The KARA Team has been organized to respond and act in the case of a serious and/or critical incident.
- Our primary goal is to personally and professionally meet your needs with regards to family notification in the event of the critical incident.
- The Voluntary questionnaire is your first step in the planning process and will be considered extremely Confidential.
- The two completed packets will be sealed and housed in locked file cabinets in dispatch and your respective duty stations.

- Should you choose not to complete this packet, or participate in the KARA program, the Department will follow the policies and procedures already in place for notification of family members.

Confidential Voluntary Questionnaire

1. Questionnaire Packet
   A. Spouse/Significant Other
   B. Ex-Spouse/Significant Other
   C. Juvenile Children
   D. Adult Children
   E. Parent Information
   F. In law Information
   G. Sibling Information
   H. Miscellaneous Information
   I. Animals
   J. Officer Involved Shooting

Critical Incident Occurs:

- Dispatch is notified of the Incident.
- Dispatch notifies Command/on duty KARA Team member/ PIO, Dispatch Supervisor and Dispatch Center Manager.
- Family Notification: All attempts will be made to get the immediate family to the hospital as soon as possible by the KARA Team or Command personnel, following policy.
- KARA Team member responds to dispatch and assumes Facilitator role.
- Contacts KARA Team members and opens employee confidential packet.
- Facilitator deploys team and delegates assignments from packet.
- Facilitator is responsible for update notification of all personnel thru designates.
- Facilitator is Command contact person and Record Keeper which will act as the legend for the After Action Report.
- Facilitator acts as Media Contact until PIO assumes duties.
- Facilitator is call taker for all calls regarding incident.
- Team members have assignments and respond accordingly.
- KARA Team member assigned to family, will remain with family unless relieved by employee designate or Command personnel.

Facilitator In Charge

- In order to prevent duplication of efforts and ensure the process works for the benefit of the employee and his or her family, the FIC shall coordinate all KARA Team functions regarding the incident.
- The Facilitator is not necessarily "the" decision maker nor necessarily a position of rank.
- The FIC's primary role is to ensure the needs of the employee and the family are met before the needs of the Department.

Employee Actions

- All employees not involved in the incident will be notified and requested not to call the dispatch center.
- A Sergeant or Supervisor should meet with on duty personnel as soon as possible.
- Off duty employees will be notified by their district supervisor or designee, via telephone.

Transportation

- The family contact officer will drive the immediate family members to the hospital.
- If a family member absolutely refuses to be driven, all attempts will be made to have a Team member ride with them.

- Any trips to and from the hospital, the family should be accompanied by the contact officer, a Team member or some designee requested by the employee, the family or the department.

Hospital Liaison Officer

- The first official, other than the Chief or his designate, to arrive at the Hospital shall act as the Hospital Liaison Officer
- Coordinating activities of hospital personnel with the immediate family members, the DPS/law enforcement family, the press and others.
- Secure a private waiting area for immediate family.
- Secure a waiting area for department personnel.
- Establish a Press staging area - Coordinate with the PIO.
  - Remain at the hospital while the family is present.
- Do not be overly protective of the family.

Family Liaison Officer

- The selection of the Family Liaison Officer is a critical assignment
- An attempt should be made to assign someone who enjoyed a close relationship with the employee and their family.
- However, the liaison should not be so emotionally involved with the loss that they would become ineffective.
- This is not a decision-making position. This is a role of a "facilitator" between the Family and the Department of Public Safety.
- Ensure that the wishes of the employee and the needs of the family, come before the wishes of the Department

Administrators must also anticipate the possible effects of the officers' death on department personnel.

The victim's shift, their close friends in the department, the dispatchers, the evidence technician, and the administrative staff - these individuals should be considered survivors too.

However, anyone in the department should be afforded the opportunity to assist the family in any way they feel capable of.

Support

Concerns Of Police Survivors – COPS

Sierra Nevada CISM Team

Employees Assistance Program - EAP
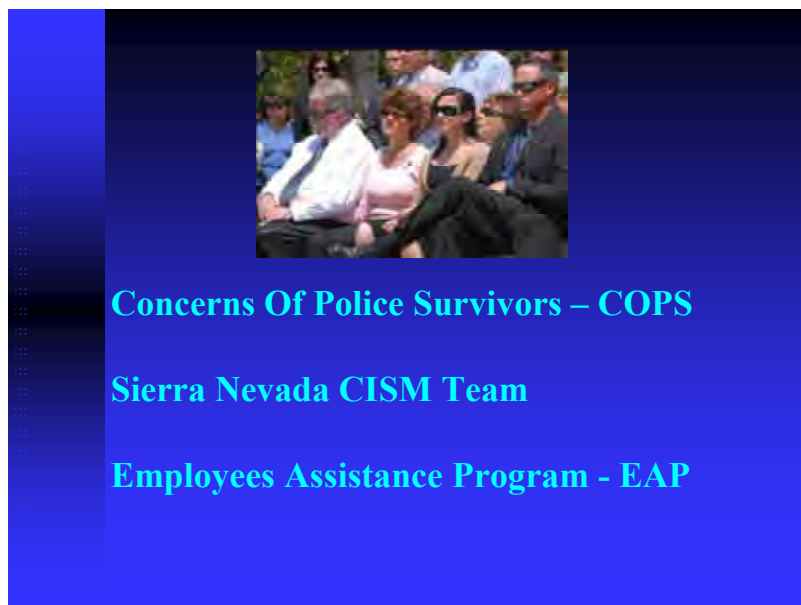
Members of the Division must remain sensitive to the needs of the family, both the immediate and law enforcement family, long after the officers' critical incident or death.

Survivor's should continue to feel a part of the Division Family.

Employee's of the Department are encouraged to keep in touch with the family.

The Family Liaison acts as a long-term liaison with the surviving family.

The grief process has no time table and survivors may experience a complicated

Kara's father said, "Be focused, do your best work, tell those closest to you, every day, that you love them."

"In Person, In Time"

Recommended Procedures for Death Notification

The principles of death notification:
In person
in time,
in pairs,
in plain language,
and with compassion.

This manual was prepared in cooperation with:
Dr.Thomas L. Bennett, State Medical Examiner,
the Iowa Organization for Victim Assistance (IOVA),
MADD/Polk County Chapter, and
Polk County Victim Services

Crime Victim Assistance Division
Iowa Department of Justice

Bonnie J. Campbell
Attorney General of Iowa

Dedication

We dedicate this booklet to the survivors who will benefit from it, and to the men and women who will serve survivors and society by carrying out the difficult duty of death notification.

Death Notification Guidelines Committee

Suzan Brooks, MADD
Rich Conner, West Des Moines Police Dept.
John and Kay Egan, survivors of a homicide victim
Rich Joens, Polk County Victim Services
Kevin Seely, Hamilton's Funeral Services
With cooperation of the staff of Attorney General Bonnie Campbell

Forms and any portion of this manual may be reproduced for local use.

For additional copies, please contact the Crime Victim Assistance Division, Old Historical Building, Des Moines, Iowa 50319. Telephone: 515-281-5044 or l-800-373-5044

September, 1992

"In Person, In Time"

Recommended Procedures for Death Notification

Table of Contents

Survivor Intake Form for the notifiers' records

Community Resource Form to give to survivors

"A Guide to Survival for Family and Friends of Homicide Victims" (booklet)

Wallet Cards for notifiers

(The Resources are designed to be reproduced by local officials for their own use and for distribution to survivors.)

Introduction

The purpose of this booklet is to help those who must notify survivors of the death of a family member due to homicide, an automobile crash, a heart attack, drowning, or other sudden and unexpected events. We believe this is the first manual of its type in the nation, and my office is proud to cooperate in its preparation and distribution.

Death notification is acknowledged to be one of the most difficult tasks faced by law enforcement officers and other professionals, because learning of the death of a loved one often is the most traumatic event in a person's life.

The moment of notification is one that most people remember very vividly for the rest of their life -- sometimes with pain and anger.

Some survivors hear the news first through the media or a reporter calling, and then have flash-backs to that moment for years. Others tell how they were stunned to hear the person who was killed referred to as "the body" only minutes after the death.

This booklet suggests ways to notify survivors effectively and sensitively -- including tips on what not to do or say.

Notification is an exceedingly important duty. Besides being sensitive, notifiers have to be prepared in case a survivor goes into shock and requires emergency medical treatment.

Notifiers also can provide very important information to survivors, including details about how death occurred. They can volunteer to notify others and provide other invaluable support.

The principles described here are simple: Notification should be done in person, in time, in pairs whenever possible, in plain language, and with compassion.

The recommended procedures were developed by people with much experience in death notification, and with help from survivors who have been through it. As one of the survivors put it, "Please remember you are assisting innocent victims of circumstance."

If you have any suggestions about how to improve these guidelines, please contact the Attorney General's Office.

Thank you for your interest in this material, and good luck with your very important duty of death notification.

-- Bonnie J. Campbell, Attorney General of Iowa

Acknowledgements

The people who took the lead in designing and drafting the guidelines were a committee of volunteers: Suzan Brooks from MADD/Polk County Chapter, Rich Joens of Polk County Victim Services, John and Kay Egan, who are the parents of a homicide victim, Rich Conner of the West Des Moines Police Department, and Kevin Seely of Hamilton's Funeral Services in Des Moines.

Dr. Thomas L. Bennett, State Medical Examiner, also has been a strong supporter and contributor to this project.

All these people have much first-hand experience in death notification and helping survivors. They exemplify the combination of professionalism and compassion that is so essential to the duty of death notification.

I am exceedingly grateful to these people and their organizations for their generous public service.

-- Attorney General Bonnie Campbell

Basic Death Notification Procedures

These are some of the cardinal principles of death notification. Some of the points overlap, and all will be refined by the notifier's experience and judgment.

"In Person"

Always make death notification in person -- not by telephone.

> It is very important to provide the survivor with a human presence or "presence of compassion" during an extremely stressful time. Notifiers who are present can help if the survivor has a dangerous shock reaction -- which is not at all uncommon -- and they can help the survivor move through this most difficult moment.

Arrange notification in person even if the survivor lives far away.

> Contact a medical examiner or law enforcement department in the survivor's home area to deliver the notification in person.

Never take death information over the police radio.

> Get the information over the telephone, or it might leak out to family through the media or private parties listening to police radio. If radio dispatchers start to give information over the radio, stop them and call in.

"In Time" -- and with certainty

Provide notification as soon as possible -- but be absolutely sure, first, that there is positive identification of the victim. Notify next of kin and others who live in the same household, including roommates and unmarried partners.

> Too many survivors are devastated by learning of the death of a loved one from the media. Mistaken death notifications also have caused enormous trauma.

Before the notification, move quickly to gather information.

> Be sure of the victim's identity. Determine the deceased person's next of kin and gather critical information -- obtain as much detail as possible about the circumstances of the death, about health considerations concerning the survivors to be notified, and whether other people are likely to be present at the notification.

"In Pairs"

Always try to have two people present to make the notification.

> Ideally, the persons would be a law enforcement officer, in uniform, and the medical examiner or other civilian such as a chaplain, victim service counselor, family doctor, clergy person, or close friend. A female/male team often is advantageous.

> It is important to have two notifiers. Survivors may experience severe emotional or physical reactions. (Some even strike out at notifiers.) There may be several survivors present. Notifiers can also support one another before and after the notification.

Take separate vehicles if possible.

> The team never knows what they will encounter at the location. One might need to take a survivor in shock to a hospital while the other remains with others. (Shock is a medical emergency.) One notifier may be able to stay longer to help contact other family or friends for support. Having two vehicles gives notifiers maximum flexibility.

Plan the notification procedure.

> Before they arrive, the notifier team should decide who will speak, what will be said, how much can be said.

"In Plain Language"

Notifiers should clearly identify themselves, present their credentials and ask to come in.

> Do not make the notification at the doorstep. Ask to move inside, and get the survivor seated in the privacy of the home. Be sure you are speaking to the right person. You may offer to tell children separately if that is desired by adult survivors.

Relate the message directly and in plain language.

> Survivors usually are served best by telling them directly what happened. The presence of the team already has alerted them of a problem.

Inform the survivor of the death, speaking slowly and carefully giving any details that are available. Then, calmly answer any questions the survivor may have.

Begin by saying, "I have some very bad news to tell you," or a similar statement. This gives the survivor an important moment to prepare for the shock.

Then, avoid vague expressions such as "Sally was lost" or "passed away." Examples of plain language include: "Your daughter was in a car crash and she was killed." "Your husband was shot today and he died." "Your father had a heart attack at his work place and he died."

Call the victim by name -- rather than "the body."

Patiently answer any questions about the cause of death, the location of the deceased's body, how the deceased's body will be released and transported to a funeral home, and whether an autopsy will be performed. If you don't know the answer to a question, don't be afraid to say so. Offer to get back to the survivor when more information is available, and be sure to follow through.

There are few consoling words that survivors find helpful -- but it is always appropriate to say, "I am sorry this happened."

"With Compassion"

Remember: Your presence and compassion are the most important resources you bring to death notification.

Accept the survivor's emotions and your own. It is better to let a tear fall than to appear cold and unfeeling. Never try to "talk survivors out of their grief" or offer false hope. Be careful not to impose your own religious beliefs.

Many survivors have reported later that statements like these were **not** helpful to them: "It was God's will," "She led a full life," and "I understand what you are going through" (unless the notifier indeed had a similar experience.)

Plan to take time to provide information, support, and direction. Never simply notify and leave.

Do not take a victim's personal items with you at the time of notification.

Survivors often need time, even days, before accepting the victim's belongings. Eventually, survivors will want all items, however. (A victim's belongings should **never** be delivered in a trash bag.) Tell survivors how to recover items if they are in the custody of law enforcement officials.

Survivors bear the burden of inevitable responsibilities. You can help them begin to move through the mourning and grieving process by providing immediate direction in dealing with the death.

Offer to call a friend or family member who will come to support the survivor -- and stay until the support person arrives.

Offer to help contact others who must be notified (until a support person arrives to help with this duty.)

Survivors may have a hard time remembering what is done and said, so write down for them the names of all who are contacted.

Inform the survivor of any chance to view the deceased's body.

Be available to transport the survivor or representative for identification of the victim, if necessary. Explain the condition of the deceased's body and any restrictions on contact that may apply if there are forensic concerns. If appropriate, explain that an autopsy will be done.

Viewing the deceased's body should be the survivor's choice. Providing accurate information in advance will help a survivor make that decision. Some survivors will choose to see the body immediately, and this should be allowed if possible. ***(Denying access to see the body is not an act of kindness.)***

Provide other specific information. Take a copy of the ***"Community Resource Information"*** form, fill it out, and leave it with the survivor. [See copy of form at end of this booklet.]

Fill out and keep the ***"Survivor Intake Form."*** [See copy of form at end of this booklet.]

This form records basic information about survivors and their wishes. Complete the form, sign it, and keep it with the report or investigation file.

Follow up.

Always leave a name and phone number with survivors.

Plan to make a follow-up contact with the survivor the next day.

> If the death occurred in another county or state, leave the name and phone number of a contact person at that location.

> Most survivors are confused and some might feel abandoned after the initial notification. Many will want clarifications or may need more direction on arrangements that are necessary.

> Following up can be the last step in completing a "person-centered" and sensitive death notification that is truly helpful to survivors.

The notification team should be sure they are clear on any follow-up assignments they need to carry out. (See also the discussion of "debriefing" notifiers, on page 8.)

Death Notification in the Work Place

Survivors often must be notified at their work place. Here are several tips to help apply the basic principles described above to a work place notification.

Ask to speak to the manager or supervisor, and ask if the person to be notified is available. It is not necessary to divulge any details regarding the purpose of your visit.

Ask the manager or supervisor to arrange for a private room in which to make the notification.

Follow the basic notification procedures described above: in person, in time, in pairs, in plain language, with compassion.

Allow the survivor time to react and offer your support.

Transport the survivor to his or her home, or to identify the body, if necessary.

Let the survivor determine what he or she wishes to tell the manager or supervisor regarding the death. Offer to notify the supervisor, if that is what the survivor prefers.

Death Notification in a Hospital Setting

        Law enforcement officers and medical examiners may be called on to do death notification at a hospital after an accident or a shooting, for example.

        It is a very good idea for hospitals and other officials to determine general procedures and protocols in advance, so all parties are familiar with their duties and roles.

        The principles of death notification described above all apply in the hospital setting. Here are a few points to be sure to remember:

Find a quiet room for the notification and be sure survivors are seated. (Do not notify in a crowded hall or waiting room.)

Arrange for a doctor to be present or available shortly to answer medical questions. Doctors should be in *clean uniform.*

Inform simply and directly.

Provide assistance and guidance:

> Ask if survivors wish to spend time with the body of the deceased.

> Explain the procedure if identification of the deceased is necessary. Explain about autopsy or organ donation, if appropriate.

> Volunteer to help notify others. Make a list of any calls made.

If there are media calls, refer them to the investigating officer or (if available) a victim service advocate.

Do not leave survivors alone. Be sure someone is there to accompany them.

Fill out the *"Survivor Intake Form"* for your records, and give survivors the "Community Resource Information" form. Be sure the survivor has your name and number.

Contact the survivor the next day.

"Debriefing" for Death Notification Volunteers and Professionals

Members of a notification team should meet as soon as possible to debrief the situation:

Double-check who is responsible for any follow-up tasks to help ease the pain and suffering of survivors.

Review the notification: what went wrong, what went right, how it could be done better in the future.

Share personal feelings and emotions of the notification team.

   Death notifications are, without a doubt, stressful and difficult and sometimes very depressing.

   Be frank and honest. Share your concerns with one another. Discuss any feelings team members have about the death and notification. For example, the notification experience may have triggered emotions and stress related to a notifier's own loss of a loved one.

   Support one another.

General Information on
How Survivors Respond
to Death Notification

Physical Shock:

Persons learning of the death of a loved one may experience symptoms of shock such as tremors and a sudden decrease in blood pressure.

Shock is a medical emergency -- help should be summoned.

Some of the factors that affect stress reactions are:

*   the intensity of the event (for example, violent death vs. heart attack),

*   the survivor's ability to understand what's happening,

*   and the survivor's equilibrium.

Whenever possible, notifiers should be aware of any available background information about the survivors, including medical or emotional history.

Other general reactions to death notification:

Even if there is no physical shock response, death notification must be considered a crisis for the survivors. They will have a need to express feelings; a need for calm and reassuring authority; a need for help in determining what happens next; and a need to begin restoring control by making some choices -- naming a support person to call, for example, or selecting a funeral home.

These needs can be met through the humane, patient, and non-judgmental approach of notifiers. Allow survivors to express their grief freely. Take the time to give them adequate information about the death and about official procedures subsequent to the death.

Many survivors, regardless of background, find themselves numb and unable to take the next step. This is where the support person helps the most. Survivors need support persons to help them through the initial crisis. Before you leave a survivor, make sure such ongoing support is available.

The suggested *Survivor Intake Form and Community Resources Form* ("What Do I Do Now?") will help with this process.

Resource Materials

for death notification

The following pages contain four resource items for local departments:

1. **Survivor Intake Form.** (To be reproduced locally.)

   This form should be completed at the time of notification by the notifier and retained by the notifier.

   The form records essential information from survivors. It will help notifiers give survivors information and comply with their wishes. Gathering the listed information will help avoid needless follow-up calls or interviews with survivors.

2. **Community Resource Form for survivors.** (To be reproduced locally.)

   This form should be completed and left with survivors at the time of notification.

   It will help notifiers provide essential information that survivors will need after a family member has died suddenly.

3. "**A Guide to Survival For Family and Friends of Homicide Victims.**" (May be reproduced locally or obtained from the Attorney General's Office.)

   This brief Guide will help survivors of homicide victims cope with the tragedy. Your department can simply copy the Guide and give it to survivors.

   The "Guide to Survival" is available as a free pamphlet from the Crime Victim Assistance Division of the Attorney General's Office, Old Historical Building, Des Moines, Iowa 50319. Phone 1-800-373-5044 or 515-281-5044.

4. **Wallet cards for notifiers.**

   These cards should be carried like Miranda cards by notifiers.
   (Use these cards, or copy and laminate them to make more cards.)

Survivor Intake Form

Information about survivors and their wishes -- to be completed by notifier.

[This form is to be filled out at the time of notification and retained by the notifier.]

Name of survivor:_____

Person providing information (if different):_____

Address of survivor:_____

Community: _____ZIP _____

Telephone: Home_____ Work_____

Relation to the deceased:_____

Name of funeral home to which the body of the deceased should be sent:

_____

If the survivor has no preference in funeral homes, would he
or she like the medical examiner to choose one?   _____Yes _____No

Do any survivors wish to see the body of the person who has died?

                                        Yes____No____Will decide later.

Are there any special items that might have been in the possession of the person who
died (such as jewelry or a donor card)?

List: _____

Others to be contacted by notifier (other kin, unmarried partners, roommates, etc.):

_____Phone _____

_____Phone _____

Persons contacted by notifier to provide support to the survivor:

_____Phone _____

_____Phone _____

Signature of the notifier_____Date _____

Community Resource Information

"What do I do now?" -- Basic information for survivors.

[This form should be completed by notifiers at the time of notification and left with the survivor.]

1.   You may obtain copies of the *death certificate* from the funeral home.

2.   You may obtain a copy of the *autopsy report* from the county medical examiner (name and phone): _____

3.   You may obtain a copy of a police report from the agency investigating an accident or crime: _____
       Police case number, if any: _____

4.   You may obtain **medical records** from the hospital or clinic where the deceased was taken: _____

       Note that it takes varying amounts of time to obtain death certificates, medical records and autopsy and police reports. Ask officials when you can expect them.

5.   You may file for **social security benefits** by contacting the Social Security Administration at 1-800-772-I 213.

6.   If the person who died was a veteran, contact the **Veterans Administration** Regional Office, 210 Walnut, Des Moines, Iowa 50309. Phone l-800-827-7683, or 515-284-0219.

7.   Notify the **insurance agent** and the **bank** of the person who has died.

8.   If the person who died was murdered, or was killed by a drunk or reckless driver or hit-and-run driver, you may be eligible for **Crime Victim Compensation** for medical, funeral and counseling bills and for loss of wages. Contact the Crime Victim Assistance Division, Attorney General's Office, Old Historical Building, Des Moines, Iowa 50319. Phone l-800-373-5044 or 515-281-5044.

9.   If there is a **criminal case** pending, contact the county attorney in the county where the crime occurred for more information: _____

10.   Name of the person who notified you:

_____   Phone _____

Your Personal/Financial Diary

An Aid for Your Family

Concerns of Police Survivors, Inc.
PO Box 3199
Camdenton, MO 65020
Office: (573) 346-4911
Fax: (573) 346-1414
www.nationalcops.org

- This is the personal financial diary of

- Social Security Number

- This diary was last updated on

We strongly suggest this diary be completed in pencil so it can be updated whenever necessary. We also suggest storing the book in a storage bag in your freezer so in case of fire in your residence, the diary will remain safe.

"YOUR PERSONAL/ FINANCIAL DIARY"

This handbook was developed in November 1995 to be used as an educational tool for Concerns of Police Survivors' national training sessions. These training sessions were planned to help agencies address the emotional aftermath following a law enforcement officer's death.

Concerns of Police Survivors, Inc., gives permission for this handbook to be copied by any person, agency, or organization. COPS would request, however, a credit line be given in the reproduced document.

Production of this handbook was made easy by modeling it after the "Critical Incident Booklet" published by the Grand Lodge Fraternal Order of Police Auxiliary. Our thanks to them for taking on the task of producing such a booklet for law enforcement families.

INTRODUCTION

This personal financial diary was planned with the specific intention of giving law enforcement officers, who serve in a high-risk profession, the opportunity to organize their financial business so their families will have this information in an organized fashion should that officer be killed in the line of duty or die at an early age. However, this diary can be used by anyone to organize their personal/financial affairs.

Every day law enforcement officers tend to tedious paperwork. Writing detailed reports can make the difference in court cases, civil cases, and truly affect the outcome of occurrences in peoples' lives. Paperwork is a major part of the law enforcement officer's job.

Having worked with thousands of families that have lost officers in the line of duty, it has become apparent to Concerns of Police Survivors, Inc., that while law enforcement officers handle paperwork every day on the street, they are ***extremely lax*** at handling personal paperwork. You see, each year during National Police Week, a time when the law enforcement profession gathers to honor its fallen, we hear of 20 or more families whose officers ***forgot*** to up date their beneficiary forms. Imagine finding out after your law enforcement officer spouse has died that you're not listed as the beneficiary on insurance forms! Imagine finding out that although you've been married to this officer for seven years, the former spouse is still listed as beneficiary!

This is a hurt no family should have to suffer. This handbook is designed to address this violation of law enforcement officers' dependents. The diary also encourages those who take the time to organize their affairs to leave a letter stating why the spouse was not their beneficiary if that was their intent. It will eliminate many family traumas and will help the surviving family understand why the deceased left benefits to various individuals other than the spouse.

Take time with your spouse to sit down and complete **Your Personal/Financial Diary**. It will save you or your survivors hundreds of hours searching for legal and financial documents at some time in the future.

If you're a law enforcement officer, it's the least you can do for the family that loves you and supports you in your profession.

For additional copies, contact:

Concerns of Police Survivors, Inc.
PO Box 3199
Camdenton, MO 65020
573-346-4911 -- 573-346-1414 (fax)

TABLE OF CONTENTS

IN CASE OF EMERGENCY,
THESE PEOPLE MUST BE NOTIFIED

Name: _____   Relationship: _____
Address: _____
Home Phone: _____   Work Phone: _____

Name: _____   Relationship: _____
Address: _____
Home Phone: _____   Work Phone: _____

Name: _____   Relationship: _____
Address: _____
Home Phone: _____   Work Phone: _____

Name: _____   Relationship: _____
Address: _____
Home Phone: _____   Work Phone: _____

Name: _____   Relationship: _____
Address: _____
Home Phone: _____   Work Phone: _____

Name: _____   Relationship: _____
Address: _____
Home Phone: _____   Work Phone: _____

Name: _____ Relationship: _____
Address: _____
Home Phone: _____ Work Phone: _____

Name: _____ Relationship: _____
Address: _____
Home Phone: _____ Work Phone: _____

IMPORTANT BUSINESS/PERSONAL CONTACTS

My Immediate Supervisor: _____
Employer: _____
Address: _____
Phone: _____

Spouse's Immediate Supervisor: _____
Employer: _____
Address: _____
Phone: _____

Personal Physician: _____
Phone: _____

Clergyman: _____
Church Affiliation: _____
Phone: _____

Attorney: _____
Phone: _____

Dentist: _____
Phone: _____

Accountant: _____
Phone: _____

Insurance Agent: _____
Insurance Company: _____
Phone: _____

Banker: _____

Bank Name: _____

Phone: _____

Broker: _____

Investment Company: _____

Phone: _____

Contact: _____

Phone: _____

PERSONAL DOCUMENTS/INFORMATION

My birth date is: _____

My birth certificate is located at: _____

I was born in: _____

My social security number: _____

I was married in: _____
  On: _____ To: _____
  Children from this marriage: _____
I was divorced on: _____ State of: _____

I was married in: _____
  On: _____ To: _____
  Children from this marriage: _____
I was divorced on: _____ State of: _____

Marriage certificate(s) are located at: _____
Divorce decree(s) are located at: _____

Children's birth certificates are located at: _____
Children's adoption papers are located at: _____

Children's Names	Date of Birth	Residence

6

I served in the Armed Forces: _____ Branch: _____

  Service Serial Number: _____

  Enlisted on: _____ At: _____

  Discharge Date: _____ Discharge papers located at: _____

Personal Information (Continued)

Husband's relatives and addresses: (If deceased, indicate after their name)

1.   Mother: _____

      _____

2.   Father: _____

      _____

3.   _____

      _____

4.   _____

      _____

5.   _____

      _____

6.   _____

      _____

Wife's relatives and addresses: (If deceased, indicate after their name)

1.   Mother: _____

      _____

2.   Father: _____

      _____

3.   _____

      _____

4.   _____

      _____

5.   _____

      _____

6.   _____

      _____

Personal Information (Continued)

Grandchildren:

<u>Name</u>   <u>Date of Birth</u>   <u>Their Parents</u>

_____
_____
_____
_____

People who have special meaning to me:

_____
_____
_____
_____

BENEFITS THROUGH EMPLOYMENT

My employer is: _____

Address: _____

Phone Number of Benefits Division: _____

I began employment on: _____

The following benefits are provided through my employer:

1. _____ 4. _____
2. _____ 5. _____
3. _____ 6. _____

Health Care Coverage Provider: _____
Phone: _____ Policy #: _____

Dental Care Provider: _____
Phone: _____ Policy #: _____

Eye Care Provider: _____
Phone: _____ Policy #: _____

Disability Insurance Provider: _____
Phone: _____ Policy #: _____

Files bearing employment documents are located at: _____

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BANK ACCOUNTS AND INVESTMENTS

You may want to set up a TOD (transfer on death) on your bank accounts. This will enable your designee to continue to pay current bills and handle expenses until death benefits and/or insurance proceeds have been received by your beneficiary. Check with you financial institution for their procedures to set up a TOD on your accounts.

Checking Account #: _____ Bank: _____
Signatories are: _____
Checkbook is kept at: _____

Checking Account #: _____ Bank: _____
Signatories are: _____
Checkbook is kept at: _____

Savings Account #: _____ Bank: _____
Signatories are: _____
Passbook is kept at: _____

Savings Account #: _____ Bank: _____
Signatories are: _____
Passbook is kept at: _____

Savings Account #: _____ Bank: _____
Signatories are: _____
Passbook is kept at: _____

Certificate of Deposit #: _____ Bank: _____
Signatories are: _____
Certificate is kept at: _____

Certificate of Deposit #: _____ Bank: _____
Signatories are: _____
Certificate is kept at: _____

Safe Deposit Box #: _____ Bank: _____
Safe Deposit Box is accessible to: _____
Key is kept at: _____

Investment/Stock portfolio is located at: _____
Bonds portfolio is located at: _____
IRA certificate and file is located at: _____
401(k) Retirement file is located at: _____
Pension (company funded) file is located at: _____

MEDICAL AND DISABILITY INSURANCE

Medical Insurance is provided to me through my work.   Yes ☐   No ☐

This is the name of the office/person at my place of employment regarding medical insurance issues: _____

       Phone: _____

I have personally acquired medical insurance through the following companies:

_____

_____

Location of policies: _____

You may need to talk with the State Workers' Compensation office at:

_____

Phone: _____

CREDIT CARDS

I have credit cards with the following companies:

Name	Account Number	Location of Statements	Is Insurance Provided?

TAX RETURNS

Copies of my income tax returns are located at: _____

_____

Current withholding tax forms and receipts received from my employer at located at:

_____

All worksheets and evidence in support of the returns are attached to the returns:
Yes ☐ No ☐ Worksheets are located at: _____

MY PERSONAL BUSINESS VENTURES

I own or have an interest in (name of business): _____
Address: _____
In partnership/co-ownership with: _____
Address: _____ Phone: _____
The contract concerning the business arrangement is located at: _____
Percentage of my share of the business is: _____

Tax papers for the business are located at:

REAL ESTATE

My residence address is: _____

I own my own residence: Yes ☐   No ☐

My landlord is: _____

Ownership Title bears the names of: _____

The mortgage on the property is held by: _____

The mortgage payment records are located at: _____

The mortgage agreement carried life insurance coverage: Yes ☐   No ☐

Homeowner's insurance papers are located at: _____

The insurance broker is: _____

Tax paperwork on my residence is located at: _____

I own other real estate at: (list addresses)

_____
_____
_____

Deeds, mortgage information, tax documents and payment records are located at:

_____

TRUST FUNDS

I have established a living trust for the benefit of: _____

It was established on: _____

The Trust Agreement is located at: _____

The Trustees are: _____

The attorney who drew up the Agreement is: _____

I am a beneficiary under a trust established by: _____

Papers are located at: _____

If I die, my heirs are beneficiaries of trust funds established by: _____
_____

Papers are located at: _____

PERSONAL DEBTORS AND CREDITORS

The following owe money to me: _____
_____

Exclusive of secured loans, I owe to the following: _____
_____

I have the following loans covered by borrowers' life insurance: _____
_____

Copies of notes, loan agreements and receipts are located at: _____
_____

Are there any law suits you are involved in either as the plaintiff or defendant?
Yes ☐   No ☐
Name of Attorney: _____ Phone: _____

HOMEOWNER'S AND MORTGAGE INSURANCE

Company   Contact   Phone   Location of Paperwork

_____

_____

_____

AUTOMOBILES AND AUTO INSURANCE

Make   Model   Year   Registered to   Status of Ownership

_____

_____

_____

_____

Company name of auto insurer   _____

Agent's Name _____ Phone _____

BOATS, TRAILERS, OR OTHER MOTOR CRAFTS AND INSURANCE

Make   Model   Year   Registered to   Status of Ownership

_____

_____

_____

_____

OTHER INSURANCE

Often credit cards, credit unions, travel agencies, etc. carry insurance policies on clients. List various sources that provide this benefit:

_____

_____

_____

_____

MY LIVING WILL

Individuals may execute a "living will" that instructs family members and physicians to not take extraordinary steps to continue your life on life-support machines. You should investigate the legality of the "living will" within your state and take steps to execute the "living will" if you do not chose to be kept alive through mechanical means.

☐   I have not executed a "living will"

☐   I have executed a "living will"

Since copies of living wills may not be acceptable in some states, an ***original, signed*** copy of my living will is readily accessible at: _____
Additional copies of my "living will" are on file with my personal physician, attorney, and with my will.

MY WILL

Your will should address special requests on how you would like insurance money to be spent, who you would like to have your prized possessions, etc. By providing this information in a will, your wishes can be upheld in court. Otherwise, your primary beneficiary will have total control of your assets/possessions. However, if this information is not included in your will, there is a section in this handbook for that information to be provided.

I do not have a will.   _____. (Often time's families incur additional emotional, legal and financial burdens when a loved one dies without having executed a will. We strongly suggest this be a task that you address as soon as possible.)

 I have a will that is located at: _____

The Attorney who handled my will is   _____
at the law firm of   _____
Phone number: _____

My last will is dated: _____

The Executor is: _____

ORGAN DONATION

☐   I do not want any of my organs donated.

☐   I would like to have organs donated for transplant.

☐   I would like to donate the following organs for transplant/research:

_____

FUNERAL DETAILS

Church Preference: _____ Religious Affiliation: _____
Clergyman: _____ Phone: _____

Funeral Home to be used: _____
Phone: _____ I have a pre-paid burial plan. Yes ☐   No ☐
Contact: _____
(Some funeral homes provide free burial services to a law enforcement officer killed in the line of duty. Check on this benefit through your agency.)

Service to be held at:
  Funeral Home _____ Name of Funeral Home: _____
  Church _____ Name of Church: _____

I prefer: Interment ☐   Entombment ☐   Cremation ☐

My choice of cemetery is: _____
     ☐ I have purchased a lot.   ☐ I have not purchased a lot.
Lot is in name of: _____
  Section _____ Lot _____ Block _____
Location of deed for lot: _____

If interment is in another city, give information on the receiving funeral home:

Name: _____ Phone: _____
Address: _____

Pallbearers: _____   _____
     _____   _____
     _____   _____

If cremated, what do you wish done with your ashes? _____

Obituary: Yes ☐   No ☐

Please list the following in my obituary: _____
_____
_____
_____
_____

I am entitled to Veterans Benefits: Yes ☐ No ☐
I entitled to Military Honors: Yes ☐ No ☐
I would like a "Lodge" service: Yes ☐ No ☐
By: _____
_____
_____
_____

Flowers: Yes ☐ No ☐ Disposal of flowers: _____
Donations in lieu of flowers to: _____

Musical selections: _____
_____

Special requests for service: _____
_____

SPECIAL FINAL REQUESTS

As stated earlier in this handbook, special final requests should be addressed in one's will so your wishes will be upheld by a court of law. If you have not addressed these special final requests in a will, your primary beneficiary will have total control of your assets/possessions for final disposal. We strongly recommend addressing these issues in your will. If you choose not to, however, complete this section to alleviate your family of the decisions that might need to be made in your behalf.

This is how I would like insurance settlement money to be spent: _____
_____
_____
_____

This is how I would like real estate to be handled: _____
_____
_____
_____

This is how I would hope my family would continue/improve their relationships:
_____
_____
_____
_____
_____
_____

These are my prized possessions and how I would like them to be distributed:

Item   Given to

_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

I would like my clothing and other general personal effects distributed in this manner:

_____
_____
_____
_____
_____
_____
_____
_____

Other special wishes: _____

_____
_____
_____
_____
_____

LIFE INSURANCE POLICIES

To insure easy access to actual policies, beneficiaries, etc., all policies owned should be kept together in a safe place. Premium receipts, loan information, and settlement agreements on these policies should also be filed with the policy.

Location of policies: _____

I have made loans against the following policies: _____

_____

I also own annuity contracts: Yes ☐   No ☐

Location of contracts: _____

My principal life insurance advisor is listed in "Important Business/Personal Contacts".

Other insurance advisors include:

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Name: _____   Company: _____
Phone:

Name: _____   Company: _____
Phone: _____

The National Insurance Consumer Help Line can search 100 of the largest life insurance companies for policies of individuals. (Keep in mind there are over 2,000 insurance companies in existence.) There is a charge for this search and it may take up to six months to complete. For more information you can visit www.iii.org

I also belong to the various social/fraternal organizations that carry insurance for their membership:

Organization: _____   Contact: _____
Address: _____   Phone: _____

Organization: _____   Contact: _____
Address: _____   Phone: _____

Organization: _____   Contact: _____
Address: _____   Phone: _____

Organization: _____   Contact: _____
Address: _____   Phone: _____

OTHER CONSIDERATIONS

This handbook was planned to save as much heartache as possible immediately following the death of a loved one. All the planning and preparation in the world, however, won't save a family serious heartache if someone chooses to keep information about their life from family members. Often times after someone dies, family members are shocked to find out there are other children from outside the marriage and other significant others.

To save your spouse or other family members this heartache and torment, it is suggested that you write a letter to be opened upon your death that will tell your family about the issues you felt you could not discuss with them during your lifetime.

Additionally, we recommend that you discuss with your spouse the beneficiary listings you have chosen on various insurance policies. This will help alleviate the family upheavals that seriously affect the grief process when family members doubt that you meant to leave benefits to the people who received those benefits.

Be proactive and address these issues before it's too late.

AGENCY SHEET

If the person completing this booklet is a law enforcement officer, this page can be completed and filed with your enforcement agency in your personnel file.

Officer's Name: _____
(Last)   (First)   (Badge/ID Number)

Social Security Number: _____ Date of Birth: _____

In case of death or serious injury, have a department representative contact:

	Name	Day Address	Evening Address	Phone

Spouse: _____

Mother: _____

Father: _____

Closest Relative: _____

Former Spouse(s): _____

My best friend on the department is _____ and I would like him (her) to accompany anyone sent to give injury/death notice to my family.
My best friend's address is: _____
Phone number: _____
I want _____ to serve as the liaison officer with my family.

The following members of my family have health concerns that the department should be aware of:
_____
_____

My family is aware of the beneficiaries listed on all my department insurance forms.
Yes ☐   No ☐
I have a letter written to my family explaining why I have named certain beneficiaries on my policies. Yes ☐   No ☐

I would like full law enforcement honors if killed in the line of duty. Yes ☐   No ☐

Suggested pallbearers:

_____   _____
_____   _____
_____   _____

CONFIDENTIAL

Line-of Duty Death Information

Full Name _____

Information will be used ONLY in the event of your serious injury or death in the line of duty. Please take the time to fill it out accurately because the data will be of extreme comfort to your family and the agency in fulfilling your wishes.

Your address   _____

City   _____

State   _____ Zip Code _____

Your home phone number _____

Family Information

Spouse's Name _____

Address and Telephone, if different from above

_____
_____
_____

Spouse's Employer, work address and telephone

_____
_____
_____

Names and dates of birth of your children:

_____ DOB: _____

_____ DOB: _____

_____ DOB: _____

_____ DOB: _____

_____ DOB: _____

_____ DOB: _____

If you are divorced, please provide information about your ex-spouse

Name _____

Address _____

City _____State _____ Zip Code _____

Phone: Home _____ Work _____

Do you want a police representative to contact your ex-spouse?

　　　　　(　) Yes 　　　　　　(　) No

Please list the name, address, and telephone numbers of your children who live outside the family home and key relatives (parents, siblings, in-laws, etc.):

Name   **Address**   **Phone (H&W)**   **Relationship**

_____
_____
_____
_____
_____
_____
_____
_____
_____

Notifications

Please list the persons you would like to be contacted by a police representative in case of serious injury or death in the line of duty. Begin with the first person you would like notified.

Name   **Address**   **Phone (H&W)**   **Relationship**

_____
_____

Is there anyone you would like to accompany the police representative when the notification is made to your immediate family? If someone other than a police officer, please include address and telephone number.

_____
_____

Is there anyone you would like contacted to assist your family, or to assist with funeral arrangements, or related matters who is not listed above? This person should be knowledgeable concerning your life insurance representative, location of will, etc.

Name   **Address**   **Phone (H&W)**   **Relationship**

_____
_____

Are there any special requests or directions you would like followed upon your death?

_____
_____
_____

Signature _____ Date _____

2011 Statistics on Law Enforcement Officers Killed and Assaulted

Washington, D.C. November 19, 2012   FBI National Press Office (202) 324-3691

According to the FBI, 72 law enforcement officers were feloniously killed in the line of duty in 2011. Another 53 officers died in accidents while performing their duties, and 54,774 officers were assaulted in the line of duty. Comprehensive tabular data about these incidents and brief narratives describing the fatal attacks are included in the 2011 edition of *Law Enforcement Officers Killed and Assaulted*, released today.

Felonious Deaths

The 72 felonious deaths occurred in 30 states and Puerto Rico. The number of officers feloniously killed in 2011 increased by 16 when compared with the 2010 figure (56 officers). The five- and 10-year comparisons show an increase of 14 felonious deaths compared with the 2007 figure (58 officers) and an increase of 16 deaths compared with 2002 data (56 officers).

Officer Profiles: The average age of the officers who were feloniously killed was 38. The victim officers had served in law enforcement for an average of 12 years at the time of the fatal incidents. Sixty-nine of the officers were male, and three were female. Sixty-eight of the officers were white, three were black, and one was American Indian/Alaskan Native.

Circumstances: Of the 72 officers feloniously killed, 23 were killed in arrest situations, 15 were ambushed, 11 were involved in performing traffic pursuits/stops, nine were involved in tactical situations, and seven were answering disturbance calls. Five of the slain officers were investigating suspicious persons/circumstances; one was conducting an investigative activity, such as surveillance, searches, or interviews; and one officer was killed while transporting or maintaining the custody of prisoners.

Weapons: Offenders used firearms to kill 63 of the 72 victim officers. Of these 63 officers, 50 were slain with handguns, seven with rifles, and six with shotguns. Six officers were killed with vehicles used as weapons. Two victim officers were killed with personal weapons (hands, fists, feet, etc.). One officer was killed with a knife or other cutting instrument.

Regions: Twenty-nine of the felonious deaths occurred in the South, 21 in the Midwest, 10 in the West, and 10 in the Northeast. Two of the deaths took place in Puerto Rico.

Suspects: Law enforcement agencies identified 77 alleged assailants in connection with the 72 felonious line-of-duty deaths. Sixty-four of the assailants had prior criminal arrests, and 17 of the offenders were under judicial supervision at the time of the felonious incidents.

Accidental Deaths

Fifty-three officers were killed accidentally while performing their duties in 2011. The majority (30 officers) were killed in automobile accidents. The number of accidental line-of-duty deaths was down 19 from the 2010 total (72 officers).

Assaults

In 2011, 54,774 law enforcement officers were assaulted while performing their duties. Of the officers assaulted, 26.6 percent suffered injuries. The largest percentage of victim officers (33.3 percent) were assaulted while responding to disturbance calls. Assailants used personal weapons (hands, fists, feet, etc.) in 79.9 percent of the

incidents, firearms in 4.0 percent of incidents, and knives or other cutting instruments in 1.8 percent of the incidents. Other types of dangerous weapons were used in 14.3 percent of assaults.

Officer Down Memorial Page
Remembering All of Law Enforcement's Heroes

2012 Line of Duty Deaths: 126	**2013 Line of Duty Deaths: 105**
Aircraft Accidents: 3	Aircraft Accidents: 1
Assault: 1	
Automobile Accident: 25	Automobile Accident: 25
	Boating Accident: 1
	Bomb: 1
	Drowned: 2
Duty Related Illness: 4	Duty Related Illness: 1
	Electrocuted: 1
Fall: 2	Fall: 4
Gunfire: 47	Gunfire: 30
Gunfire (Accidental): 2	Gunfire (Accidental): 2
Heart Attack: 7	Heart Attack: 10
Heat Exhaustion: 1	
Motorcycle Accident: 5	Motorcycle Accident: 4
Stabbed: 5	Stabbed: 2
Struck By Vehicle: 6	Struck By Vehicle: 8
Training Accident: 2	Training Accident: 2
Vehicle Pursuit: 5	Vehicle Pursuit: 4
Vehicular Assault: 5	Vehicular Assault: 5
	9/11 Related Illness: 1

State Death Benefits

When a law enforcement officer is killed in the line of duty, it is the responsibility of the employing agency to file a claim for benefits with the Public Safety Officers Benefits Program, Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice. If approved as a line-of-duty death according to Federal government criteria, a Federal death payment is made to eligible survivors.

States also have benefits available to the survivors of fallen public safety officers; however, state benefits are not uniform. Some states pay a one-time death benefit, while some do not. Some states offer tuition-free education for surviving children and some states include surviving spouses in this benefit. A continuation of health care coverage, a pension payment, the officer's badge and/or uniform, a waiver of property taxes - these represent the variety of benefits that may be available to the primary survivors of a law enforcement officer killed in the line of duty.

C.O.P.S. has compiled information on benefits available to law enforcement survivors in all 50 states, the District of Columbia, and Puerto Rico. The initial research occurred over a five-year period, utilizing hundreds of reference sources. Information is updated as it is received in the C.O.P.S. National Office. This information includes benefits sources and contact information. But specific benefits packages cited in the information are based on the State Police/Patrol benefits.

Information on benefits is valuable to the survivors so they know the benefits available to them and can verify that all benefits claims have been filed. This information is also valuable to law enforcement officers still on the job as well as the benefits assistance personnel within the agencies who might be filing for benefits for a newly-bereaved family.

When legislation is passed in your state that effects law enforcement survivors' benefits, please send the information to the C.O.P.S. National Office.

NEVADA
Death Benefits Available to the Surviving Families of Law Enforcement Officers Killed in the Line of Duty

To obtain certified copies of registered personal documents, contact the Bureau of Vital Statistics: Submit written request to 4150 Technology Way, Suite 104, Carson City, NV 89706. Office: (775) 684-4242. www.health.nv.gov

STATE DEATH BENEFITS
Death benefits for public safety officers in Nevada is $20,000 life insurance, $20,000 accidental death benefit, and $50,000 if you are traveling for business while on duty. For more information contact the Nevada Department of Public Safety, 555 Wright Way, Carson City, NV 89711. Office: (775) 684-4694. www.dps.nv.gov

EDUCATIONAL BENEFITS
Sec. 396.540
Tuition charges for students at the University of Nevada are free to all students whose families are bona fide residents of the State of Nevada or to all students whose families reside outside the state, provided such students have themselves been bona fide residents of Nevada for at least six months prior to their matriculation at the university.

Sec. 396.543
The board of regents may enter into an agreement with another state for the granting of full or partial waivers of the nonresident tuition to residents of the other state who are students at or are eligible for admission to any branch of the system if the agreement provides that, under substantially the same circumstances, the other state will grant reciprocal waivers to residents of Nevada who are students at or are eligible for admission to universities or colleges in the other state.

Sec. 396.545
To the extent of legislative appropriation, the board of regents shall pay all registration fees, laboratory fees and expenses for required textbooks and course materials assessed against or incurred by a dependent child of a police officer, fireman, or officer of the Nevada Highway Patrol who was killed in the line of duty for classes taken towards satisfying the requirements of an undergraduate degree at a school within the University and Community College System of Nevada. No such payment may be made for any fee assessed after the child reaches the age of 23 years.

When applying for admission, dependent children under the age of 23 should request the waiver of fees as provided for in Sec. 396.545 and provide proof of the line-of-duty death of the parent.

WORKERS' COMPENSATION

Workers' Compensation coverage is compulsory for employers in Nevada.

The maximum considered wage for computing disability/death compensation for fiscal year 2013 has been certified by the Nevada Department of Employment, Training and Rehabilitation, Employment Security Division.

MAXIMUM COMPENSATION
Per month..$3,481.75
Per day...$114.38
Per week.. $800.66
14 day (usual payment)..$1,601.32

Each year the benefit changes to 2/3 of 150% of the state average wage. If spouse remarries, he/she would be eligible for a two-year lump sum based on the maximum monthly award. Dependent children living in home of remarried spouse would receive 15% of officer's earned wage up to 66 2/3% of the maximum monthly award of the surviving spouse.

If a dependent who is receiving a portion of the survivor benefits should marry, finish school, or drop out of school, then these benefits would revert back to the widow/widower providing they had not remarried. Also, once the 100 months benefit has passed on an applicable dependent, the benefit is then reverted back to the widow/widower. Should a dependent die while receiving benefits, there is a $5,000 reimbursable funeral benefit.

In the state of Nevada, the State Industrial Insurance System would be notified of the death of an officer by the department that he or she worked for and at that time they would be instructed on how to begin the process of applying for the applicable benefits. Many times an investigator and a claim specialist will also assist the family in the application. There is a maximum burial allowance of $5,000 and transportation expenses are allowed for the deceased and an accompanying person to a mortuary within the continental limits of the United States.

It is required that benefits for dependents outside the home and under the age of 18 have a court appointed guardian for the child's estate. This will hopefully ensure that the benefit is used for the future care and education of the dependent child. Once the widowed spouse remarries and the children receive the direct benefit, guardianship is also required.

For more information contact the Nevada Division of Industrial Relations, 400 W King ST, Carson City, NV 89703. Office: (775) 684-7270. Nevada Division of Industrial Relations, 1301 N Green Valley PKWY, Henderson, NV 89074. Office: (702) 486-9080.
www.dirweb.state.nv.us.

HEALTH BENEFITS

In 1999 Nevada Revised Statute 287.021 and 287.0477 were passed which requires Nevada Police and Fire Agencies to offer continued insurance coverage for spouses and children after line-of-duty deaths. The agency is responsible for the entire cost of the premiums. This law also applies to the continued participation in the Nevada State Retirement System. Your Benefits Assistance Officer should be able to help you.

RETIREMENT/PENSION

Public Employees' Benefits Program (PEBP) provides benefits to the surviving families. Non-State Retiree Eligibility effective November 30, 2008, a non-state retiree is eligible to enroll in or continue PEBP coverage at retirement, only if they are retiring from a local government agency who participate in PEBP with its active employees. If a local government agency opts out of PEBP after November 30, 2008, their retirees will not be eligible to continue PEBP coverage unless the retiree was enrolled in PEBP continually since November 30, 2008. Employees hired on or after January 1, 2010, who retire less than 15 years of service are eligible for PEBP coverage at retirement, but will not qualify for the years of service subsidy, unless he or she retires under a long-term disability plan and has at least 5 years of service. The surviving spouse and any surviving child of a police officer or firefighter who was employed by a participating public agency and who was killed in the line of duty may join or continue coverage under PEBP if the police officer or firefighter was eligible to participate on the date of the death.

Public Employees' Retirement System (NVPERS), You are eligible for a survivor benefit if the employee had two years of service in the two and one-half years immediately preceding death, you had more than 10 years of accredited service or your death was caused by an occupational disease or an accident arising out or in the course of your employment, regardless of service credit. Eligible survivors include spouse or registered domestic partner, beneficiary, dependent children under the age of 18 or dependent parents provided there are no other eligible survivors at the time of death. For more information contact the Public Employees' Retirement System. Office: (866) 473-7768. www.nvpers.org

ADDITIONAL BENEFITS

PEER SUPPORT ORGANIZATION

Established in 1984, Concerns of Police Survivors, Inc., (C.O.P.S.), is a national, non-profit organization that works with law enforcement agencies, police organizations, mental health professional, and local peer-support organizations to provide assistance to surviving families of law enforcement officers killed in the line of duty. C.O.P.S. has become a "lifeline" to police survivors nationwide. **Contact the C.O.P.S. National Office (800) 784-2611 or visit www.nationalcops.org/chap.htm for information on a chapter in your area.**

CONCERNS OF POLICE SURVIVORS   PO BOX 3199 CAMDENTON, MO 65020
OFFICE-(800) 784-2677   FAX-(573) 346-1414
WWW.NATIONALCOPS.ORG   COPS@NATIONALCOPS.ORG

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FUNERAL AND CREMATION BENEFITS

Dignity Memorial funeral, cremation and cemetery providers created the Public Servants Program for emergency service personnel. This program provides dignified and honorable tributes, at no cost, for career and volunteer law enforcement officers who fall in the line of duty. Visit their website for complete information @ www.dignitymemorial.com and look under Public Servants for details. You may also call 800-344-6489 and speak with a representative.

Wilbert Funeral Services, Inc. provides complimentary burial vaults and related services for fallen law enforcement officers. For more information visit www.wilbert.com or call (888) WILBERT.

This page contains detailed information about the <u>**Public Safety Officers Benefits Program (PSOB)**</u> **and all other federal, state, local and privately provided benefits that may be available to survivors of law enforcement officers killed in the line of duty in Nevada. Each benefit has different eligibility criteria. Survivors may or may not be eligible to receive certain benefits based on each benefit's specific criteria. Questions about specific benefits should be directed to the organization providing the benefit.**

Death Benefit Payment(s)

PSOB Survivor Death Benefits

Provider: US DOJ - BJA - Public Safety Officers Benefits Program

Amount: $323,035 for officers killed on or after October 1, 2011

Summary: A unique partnership effort of the U.S. Department of Justice; local, state, tribal, and federal public safety agencies; and national organizations, the Public Safety Officers' Benefits (PSOB) Programs provide death and education benefits to survivors of fallen law enforcement officers, firefighters, and other first responders, and disability benefits to officers catastrophically injured in the line of duty. The PSOB Office at the Bureau of Justice Assistance is honored to review the nearly 700 claims submitted each year on behalf of America's fallen and catastrophically disabled public safety heroes and their loved ones.

Contact: [US DOJ - BJA - Public Safety Officers Benefits Program website](#) (888) 744-6513

US DOJ - BJA - Public Safety Officers Benefits Program
810 7th Street NW
Washington, DC 20531

Details & Applicable Instructions:

Benefit amounts for officers killed in previous years:

FY2012: $323,035

FY2011: $318,111

FY2010: $311,810

FY2009: $315,746

FY2008: $303,064

FY2007: $295,194

FY2006: $283,385

Social Security Benefits

Provider: United States Social Security Administration

Amount: Varies

Summary: One time death benefit payment plus monthly death benefits

Contact: [United States Social Security Administration website](#) (800) 772-1213
United States Social Security Administration
Contact Local Office. See Website

Nevada Death Benefit Payment

Provider: Nevada Department of Public Safety

Summary: Death benefits for public safety officers in Nevada is $20,000 life insurance, $20,000 accidental death benefit, and $50,000 if you are traveling for business while on duty

Contact: [Nevada Department of Public Safety website](#) (775) 684-4694
Nevada Department of Public Safety
555 Wright Way
Carson City, NV 89711

National Rifle Association Line of Duty Death Benefit

Provider: National Rifle Association (NRA)

Amount: $25,000

Summary: If a deputy, with or without compensation, is feloniously killed in the line of duty (according to government guidelines) and is a current member of the National Rifle Association, the surviving spouse/family is entitled to a $25,000 death benefit.

Contact: [National Rifle Association (NRA) website](#) (800) 672-3888
National Rifle Association (NRA)
11250 Waples Mill Road
Fairfax, VA 22030

Details & Applicable Instructions:

A $25,000.00 insurance benefit to the widow or survivors of any NRA-member law enforcement officer who is killed in the line of duty. Coverage is automatic for all law enforcement officers who are NRA members. Contact the NRA to file a line of duty death benefit claim.

National Sheriffs' Association Death Benefits

Provider: National Sheriffs' Association

Amount: $3,000 - $10,000

Summary: The National Sheriffs' Association provides free accidental death or dismemberment for its members.

Contact: [National Sheriffs' Association website](#) (703) 836-7827
National Sheriffs' Association
1450 Duke St
Alexandria, VA 22314

Details & Applicable Instructions:

NSA members (excluding Auxiliary and Retired Paid-Up-For-Life members) receive Free Accidental Death & Dismemberment Insurance, with a $10,000 benefit amount for Sheriffs and a $3,000 benefit amount for others. Coverage is subject to the terms and conditions of the group policy held by NSA.

Woodmen of the World 1st Responders Benefit

Provider: Woodmen of the World

Amount: $10,000

Summary: Woodmen of the World will pay a $10,000 fraternal death benefit if a qualified member is killed while performing his or her duties as a non-military first responder. To be eligible for this benefit, an individual must be a good standing benefit member. First Responders include firefighters, EMT/paramedics, police or a person performing a supporting role to such individuals.

Contact: [Woodmen of the World website](#) ▣ (800) 225-3108
Woodmen of the World
Woodmen Tower
1700 Farnam Street
Omaha, NE 68102

Read more: http://www.odmp.org/benefits/state?state=Nevada#ixzz2GeVuobF0

FUNERAL RIGHTS & CUSTOMS

This document, "Funeral Rites & Customs", was prepared to educate law enforcement agencies about the differences various religions and nationalities follow when death occurs to one of their members. "Normal" or "usual" activities at funerals are not included-".only exceptions to the norm.

PREPARED BY:
CONCERNS OF POLICE SURVIVORS
P.O. BOX 3199
CAMDENTON, MO 65020
(573) 346-4911

Concerns of Police Survivors, through the courtesy of Professional Training Schools, Inc., Dallas, Texas, has received permission to condense information from "Funeral Rites & Customs". Updated with information regarding bagpipes

FUNERAL RITES

American Muslim Funeral

American Muslims traditionally have used the services of Jewish funeral homes because many customs are the same. Muslims say Jewish funeral directors understand their opposition to embalming and desire for a speedy burial.

Preparation of the. Remains: Embalming is acceptable if the body can't be buried within 48 hours or is necessary for another reason, particularly communicable disease. Muslims have a deep respect for the body. Family members are ideally involved in preparing the body with Oils and fragrances. For the unmarried, widowed, or divorced, only women prepare women, and men prepare men. The eyes and mouth are closed, orifices packed, and hands and feet are bound. Then the body is shrouded and placed in a casket. The casket is usually closed. The face is left uncovered by the shroud.

The Funeral: Funerals are usually held at a mosque.

Committal Service: A cemetery is respected ground and graveside services are held. Prayers are said as the casket is being lowered; crying is acceptable, but wailing is not. Grief is viewed as a natural part of life, and a funeral is seen as being for the living. .

Buddhist Funeral

Preparation of the Remains: Embalming is permitted and often chosen by the family as the means of preparing the body. Many Buddhist funerals Will include public viewing with an open casket. Should the filthily choose some type of immediate disposition, the funeral director would prepare the body in the same manner as he or she would prepare the body of any other individual.

Dressing and Casketing: The family will select suitable clothing to be used for the occasion. Families generally select traditional wooden or metal caskets available from the funeral home.

Visitation: The Buddhist visitation period is usually briefer than is typical. Lasting perhaps only a few hours. The casket would normally be open.

The Funeral: The funeral service is usually held at the funeral home and is often a continuation of the visitation period. The monk will choose a member of the family, normally the eldest male, to assist him in conducting the rituals.

The casket would remain open during the funeral ceremony which begins with the monk, normally dressed in a burnt orange robe, placing and lighting three candles on the casket. Using the melted wax to hold the candles in place, the candles will continue to bum throughout the ceremony. The monk and family will participate in a series of chants during the funeral service. A gong-like bell is used periodically during this chanting. One of the unique features of the Buddhist funeral is the preparation of a meal consisting of rice, peas and carrots. This is prepared in the funeral home chapel as part of the service and taken to the cemetery. For the next ten days, a similar meal may be brought to the grave. Some priests use such fruits as, apples, oranges and bananas during the funeral service. Incense is also burned during the approximately forty-five minutes the funeral service will last at the funeral home. The pall bearers are normally family members. Friends are designated to "stand in" for a specific family member. The pall bearers will wear white gloves which, are furnished by the Temple. The importance of each family member is also seen by the position which they hold in the funeral Cortege,

The Committal Service: The committal service will normally last about thirty minutes with chants by the monk and the family. Incense is also burned. Flowers are normally placed on the casket at the cemetery. The colors of the flowers indicate the role of the - *deceased* in the family.

Christian Science Funeral

There are no ordained ministers in Christian Science Churches, instead, practitioners or readers, serve in somewhat the same capacity as a clergyman. To become a practitioner, one must demonstrate the ability to perform work of healing.

Notification of Death: Because of their beliefs in the healing powers of the practitioner and the reluctance to seek medical assistance, notification that a death of a member of the Christian Science Church has occurred will bring about several unique situations. First, it is most likely that the death has occurred in the deceased's home or someplace other than a usual medical facility. There will be no attending, physician responsible for completing and signing the Certificate of Death. It should, therefore; be called to the funeral director's attention to determine who will be certifying the cause of death and signing the death certificate, prior to making the removal from the place of death. Their preference is for the term "passed on" rather than such words as death and dead. The term passed on" is used to emphasize the fact that "death does not mark the termination of an individual's life, rather it is only one more phase of the belief that life is material".

Preparation of the Remains: If a traditional funeral service is chosen, with the body present for viewing, the normal embalming and cosmetizing would take place. If the family opts to have a memorial service with the body not present the funeral director may only be asked to prepare the body to the extent necessary for an immediate disposition. When it is possible the body of a female shall be prepared for burial by one of her own sex.

Visitation: Whether there is a visitation or not is entirely a family decision, but it is not a frequent practice for Christian Scientists.

The Funeral: There are several key factors which the funeral director will have to be aware of when arranging the funeral. Most importantly, no funerals arc held in the Christian Science Church. The funeral is probably most often held in the funeral home, at the gravesite, or other cemetery facility. If the casket is present during the service, it is closed. The officiant for the Christian Science funeral is the practitioner or reader. The main theme of the funeral service centers around the comfort in knowing that death is merely a phase in which the individual leaves the mortal life while maintaining the immortal spiritual life. The service is often preceded by organ music. During the service there is usually an invitation for those present to join in the Lord's Prayer, and the service concludes with a benediction.

The Committal. Service: There are no Church restrictions in regards to the method of disposition, with earth burial, entombment, and cremation all being permitted.

Eastern Orthodox Funeral

It is the "nationalism" or the tendency of the Orthodox Church to take on the characteristics of its people, which may cause the most serious problem in trying to define the Orthodox Church and its practices. The most important factors in determining the type of funeral service held are the customs and traditions the family brings with them into the funeral arrangement conference.

Notification of Death: The necessity of notifying a clergyman and whether there are any religious rites required or performed at the time of death is important to the funeral director. In the case of the Orthodox Church, there are no "last rites" such as those seen in the Roman Catholic Church. Priests may prefer to be notified of an impending death in order that they may conduct a prayer service at that time

Visitation: It is customary for the family's priest to be present with them during their first viewing. Generally a prayer is offered during this time. In addition to this first prayer, the Trisagion, a series of three prayers, are usually offered at the end of the evening. Similar to a Rosary or Christian Prayer Service in the Roman Catholic Church, the family and friends gather for this service, in which prayers for the deceased are offered. If the visitation and Trisagion are to be held in the funeral home, several pieces of equipment should be placed in the chapel or state room. The Holy Icon, a picture of Christ, is a symbol which can be seen throughout the Orthodox

Church. In the funeral home, the Icon is normally placed at one end of the casket, allowing those approaching the casket to first kiss the Icon. Other items used in conjunction with the Orthodox funeral include candles as well as a crucifix.

The Funeral: The funeral service may be held on any day except Sunday. On the day of the funeral service, the family, pallbearers and perhaps close friends will gather at the funeral home for a Trisagion. Following this short, prayer service of five to six minutes, the casket is closed and those in attendance will move in procession. The funeral service, is called the Parastas (a. standing service), or Great Panaehicia, which means "all night service". The funeral service will follow a very liturgical pattern. Organ music and/or vocal selection may be allowed although it is not normal in the Orthodox Church. Following the. service, the casket may be turned so that it is parallel to the Iconstasion, solid screen, covered with Icons, which separates the sanctuary of the Church from the remainder of the building. The casket is opened at this point, if at all possible, and left open for the remainder of the service, The priest will make the sign of the cross first with olive oil and then with ashes or sand on the chest of the deceased. If the family and friends are going to view the deceased they can file past the casket once again kissing the Icon, which is placed either at the head or foot end of the casket before filing out of the Church.

The Committal Service. The graveside service will consist of a. reading and short prayer. In some ethnic groups, the oil and ashes are placed on the top of the closed casket during the graveside service. Incense may be used by some priests at the funeral home, church and graveside. Cremation is forbidden by Orthodox Christians because of the destruction which would take place to the body. The body is the Temple of the Holy Spirit and the church, mindful of this fact, refuses to deliberately destroy the body. A church funeral is denied by anyone who will be cremated

Episcopal Funeral

Notification of Death: In the past it was considered essential that a Priest be notified when the death, of an Episcopalian had occurred or was expected to occur. Although this may vary today from parish to parish, the funeral director should determine the preferences of the individual Priests he or she serves to ensure that the proper procedure is followed.

Visitation: In most cases, visitation will be held at the funeral home. The casket is present and open or closed depending on the wishes of the family. There are no items of religious equipment used during the visitation.

The Funeral: All funerals for Episcopalians should be conducted in the, Episcopal Church. The funeral service is very similar to that of the Catholic Funeral Mass. Music may be sung by the church choir and/or, the congregation from the Episcopal Hymnal. The use of flowers is prohibited in the Episcopal Church; although local customs and the preferences of individual priests may vary.

The Committal Service: The Episcopal Church has no restrictions as to the means of disposition for one of its members. As part of the committal service the priest will read a passage commending the body to the earth, often while sprinkling sand in the shape of the cross on top of the casket. The Lord's Prayer is recited by all in attendance followed by a final prayer said by the priest.

Hindu Funeral

Hinduism is a way of life rather than a denomination. Hindus worship many gods. These gods are believed to be different forms of a universal spirit called Brahman. Hinduism centers around kharma, which is the belief that every action of an individual will result in either good or bad results. The total of all of these actions is known as dharma, and it is this overall positive or negative way of living during one's present life which the soul will inherit when re-incarnation takes it into the next life. The funeral ceremony is one of celebration and is considered the second most important (and expensive) ritual to take place in a person's life. The preparation of the body, which is done in the hmee, was traditionally handled by the family with the assistance of "mortuary specialists". After the body was bathed, it was wrapped in linen and decorated with sacred ashes and sands)

paste. Normally the body of a Married women would be wrapped in colored cloths and decorated with flowers and jewelry showing her married status. The body is viewed by all who wish to enter the home for that purpose. Prior to removing the body from the house for disposition, it is anointed with oils,- soaps and powders. Again the immediate family is responsible for this anointing process. When rituals are completed, the body is carried without the use of a coffin to the cemetery or cremation site. Cremation is the preferred means of disposition. Cremation is a sacrament in the Hindu religion. Hindus believe that the soul never dies, but passes through a series of lives in different bodies. The soul is trapped in the skull and has to be released from the body with the help of fire. Cremation is a religious .act and sacred texts are chanted while the-body is binned. The oldest male relative walks three, five or seven times around the pyre holding a burning piece of wood and then lights the pyre. When the heat of the fire breaks the skull, the relatives leave the prye to be tended by professional burners. On the third day, the ashes are collected and taken to a river-to be dispersed. This frees the soul allowing it to be reborn in another life.

Preparation of the Remains: Unlike the practice in eastern countries, the family will not be responsible for the preparation of the body in the United States. Here the funeral home will handle the preparation to whatever extent the family wishes.

Dressing and Casketing: The clothing will usually be provided by the family. Many of these individuals still prefer to wear their native clothing. However, the clothing may be more of a reflection on the nationality of the deceased, rather than on the fact that he or she was Hindu. Generally, the casket chosen is an inexpensive one, whether it be made of metal or wood. One reason, cremation is often practiced and no casket is used. Hindus believe that death is only a transition from one life to another.

Visitation: In a community where there are few Hindu, the visitation and funeralization may take on a very western flavor and be similar to any other such service. If on the other hand there are many Hindu in the area, it might be expected that the visitation and funeralization will take on a more eastern flavor. The visitation period, still held in the funeral home, would most likely be of a shorter duration.

The Funeral: In most instances, a Hindu funeral held in the United States will take place in the funeral home. The priest will lead the service which will include prayers and chants. The use of candles and incense may also be observed. While they mourn for this individual, they do not approach death as the final experience to a physical life.

The Committal Service: Since cremation is very much a part of the Hindu custom, it is often the choice for disposition: However, earth burial is also acceptable and used extensively in some *areas.* The family takes an active role. When the' cemetery or crematory is near the location of the funeral service, the family will *even lead* the procession. The family members will not only carry the body to the retort chamber, but will also place the body inside the chamber and initiate the cremation process.

<div align="center">

Jehovah's Witness Funeral

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Jehovah's Witnesses' refusal to accept blood transfusions, their refusal to salute the flag of any country, and their claim ftor exemption from participating in the armed services, are decisions which are based on their literal translation of the Bible and its applicability in today's world.

Preparation of the Remains: Embalming is often the method chosen by the family for preparation of the remains.

Dressing and Casketing: Decisions as to the clothing to be worn by the deceased and the type of casket to be used are also left up to the family.

Visitation: Visitation and viewing of the body are accepted as part of the normal funeral procedure. The visitation will, normally be held in the funeral home and will be similar to most visitation periods held in that community.

The Funeral: The funeral service may be held either in the funeral home or in the Kingdom Hall. The casket would be placed in the usual manner at the front of the funeral home chapel or Kingdom Hall and parallel with the seating. There is no formal processional *as* the casket is generally closed and positioned prior to the service beginning. The use of flowers in the Kingdom Hall is permitted. The use of a recessional will depend on the customs of the area and the preferences of the officiant. The service is simple, with no religious items such as palls, crosses, candles, etc. being used. There are no others participants, such as altar attendants used to assist the designated officiant of the service. A Jehovah's Witness funeral will normally take no more than thirty minutes and is centered around the reading and discussion of scripture. The music used will normally be organ music with no actual singing, and will come from the Jehovah's Witnesses' own hymnal.

The Committal Service: Earth burial and cremation are the two most common means of disposition practiced by members of the Jehovah's Witnesses. The committal service will last only a few minutes with a short scripture reading and a few words spoken by the officiant concluding the service.

Jewish Funeral

History: The Orthodox, Conservative and Reform (sometimes referred to *as* the Liberal) Jews each bring with them a number of customs and traditions both in their everyday lifestyle, as well as in the way they honor their dead. The basic differences among these three groups lie in the amount of tradition they continue to practice in their lives today.

Orthodox Jews maintain most of the same traditions that have marked .the Jewish religion for the past 3,000 years. The Reform Jews have kept only the moral laws and those which they feel adapt to modem civilization. The Conservative Jews fall somewhere in between, following the dietary Jaws and the traditional celebrations, Because of some very different practices in regard to the funeral service among these three groups, it may be necessary to devote more time in explaining use differences than has been necessary with many of the other religious bodies.

The Jewish Sabbath (Shabbath) is observed on Saturday. For the Orthodox Jew this day is strictly observed. No business dealings are to be conducted on this day. No work is allowed, no writing, and even travel is forbidden. While the Reformed and Conservative Jews also observe, their Sabbath on Saturday, the same restrictions as to work, travel, etc. may not be as strictly observed.

Notification of Death: The Rabbi should be notified if the deceased was an Orthodox Jew. However, if the deceased belonged to the Reformed or the Conservative Jewish synagogues, you might find that the Rabbi prefers to be notified after the removal has taken place.

Making the Removal: There are no restrictions when making a removal of a deceased Reformed or Conservative Jew. However, if the deceased was an Orthodox Jew and the death occurs on the Sabbath (from sundown Friday until sundown Saturday), the removal should not be made until the sun has set on Saturday, marking the end of the Sabbath. Obviously, there are situations in which this Jewish law cannot be honored. In these types of situations, the civil laws would supersede the Jewish Jaws and the removal would be made. If the death does not occur during the time observed as the Sabbath, then there are no restrictions in place for any of these three groups.

Preparation of the Remains: For the Reform or Conservative Jews, there are usually no religious restrictions concerning the preparation of the deceased, including embalming. However, since some Reformed and Conservative Jews will follow: the Orthodox traditions, it is important that the funeral home staff maintain close communications with the family and the Rabbi to prevent unnecessary problems from occurring. If the deceased is an Orthodox Jew, embalming is usually not allowed. The reason for not embalming the body is a religious one. The Orthodox Jews believe that nothing should be done which would delay the return of the body back to the original elements it came from. Exceptions, such as the necessity to transport over a long distance or by common carrier, a lengthy delay between the *time* of death and the funeral service, or when death takes place

on the Sabbath, may make refrigeration of the body or embalming necessary. However, whenever possible, the Jewish law should be followed.

If the deceased is an Orthodox Jew, the role of the funeral director in preparing. The deceased is almost non-existent. Once the removal has been made to the preparation room, the funeral director will notify the Rabbi. The Rabbi will then notify the Chevrah Kadisha who will come to the funeral home to prepare the remains. The Chevra, commonly referred to as the "Washers" by laymen, are a group of men or women, depending upon the sex of the deceased, who have been trained in the Taharah, the ritual of washing and preparing the body for burial. This ritual includes a physical washing, dressing the deceased in Tachrichim, a white burial shroud, and placing the deceased in the casket. During this ritual, prayers are also said and a bag of Israel earth is placed under the deceased's head.

Dressing and Casketing the Remains: An Orthodox Jew is dressed in a Tachrichim, a white linen shroud for burial. This shroud covers virtually the entire body with only the face visible. It is, however, customary that even the family not view the deceased after the body has been placed in the casket

If the deceased died *as* the result of trauma, any clothing with the deceased might have been *wearing* and which as a result had blood on them, should be kept and placed in the casket with the deceased. If the deceased were embalmed, the blood should be collected in containers, sealed and placed in the casket with the deceased. This is due to the belief that the blood contains the individual's soul.

The Orthodox casket *is* known as an Aron. This casket is made completely out of wood, even to the extent of having pegs instead of nails. Oak and pine seem to be very common. The Star of David or Mogen David, the symbol of new hope for the Jewish people, is usually attached to the lid of the casket.

Reform or Conservative Jews will be dressed in their own clothing. The family is not restricted as to the type of casket they can choose from. The Star of David may or may not be attached to the casket in this case.

Visitation: If the deceased is Orthodox, it is possible that no visitation would be held, or that the time would be only a matter of hours. This is due to the tradition of having the burial within 24 hours from the time of death. The fact that the casket would be closed also decreases the possibility of the traditional visitation *as* members of other religious bodies think of it. A pall with the Star of David may drape the casket and a Menorah (candelabrum) may be placed at the head of the casket. In some areas, one or two vigil candles may be substituted for the candelabrum. No flowers or music would normally be present. Having a shomrim to watch over the body is still observed. This is an age-old custom of not leaving the body alone prior to the burial. If the body was to be held until the following day, the shomrim would sit with or near the casketed remains all night, reading and reciting prayers.

If the deceased belonged to a Reform or Conservative congregation, it is possible that a visitation period would be held. In these cases, the deceased would be embalmed, dressed and casketed. The visitation, with an open casket, flowers and music, similar to that of other religions may be held.

The Funeral Service: At one time funerals for the Orthodox were held only in the funeral home or at the gravesite. Today, some funerals are being held in the synagogue. No services are held on the Sabbath (Saturday).

Prior to the funeral service, the family will participate in a ceremony known as K'ria. This custom of rendering or tearing of one's clothes symbolizes ones grief. Today, many families wear a black ribbon, which they will tear instead of an article of clothing. This K'ria is worn, for 30 days following the funeral, during a. period of mourning known as Shloshim.

The Rabbi, assisted by the Cantor, leads the funeral service, which is generally very brief and is made up of the reading or chanting of psalms, a memorial prayer called the El Mole Rachammim, and a hesped, the eulogy honoring the deceased. No music or flowers are present and no fraternal ceremonies take place. Men attending an Orthodox funeral are expected to wear a yarmulke and many will wear a prayer shawl called the tallith.

The Conservative or Reform Jewish funeral may also be held at the synagogue, funeral home or gravesite. The Conservative or Reform funeral service cannot be held on Saturday. Unlike the Orthodox funeral, flowers and music may be a part of these services, although often they are not if the casket had been open for visitation, it is closed prior to the service beginning. The Rabbi and Cantor lead the service. Men attending the service will generally wear the yarmulke.

The Funeral Procession: In the Orthodox tradition, if the funeral service was held in the synagogue, the funeral procession (levaya) will proceed directly to the cemetery. However, if the service was held in the funeral home, the procession may stop at the synagogue. If this occurs, the funeral coach will pull up to the doors of the synagogue. While the family, friends and pallbearers remain in their cars, the doors of the synagogue and the funeral coach will be opened. The Rabbi and Cantor will have a brief prayer prior to the doors being closed and the procession moving on to the cemetery. This provides the deceased with their last contact with the synagogue. Ordinarily, the procession, for Reform or Conservative funeral services does not stop at the synagogue.

The Committal. Service: The Rabbi, followed by the pallbearers, may stop several times while on their way to the gravesite. Some orthodox still follow the practice of lowering the casket into the grave *using* the hand straps rather than any type of mechanical lowering device. While earth burial or entombment are the primary modes of disposition, in some cases cremation may be allowed by the Conservative or Reformed Jewish religions. The Orthodox Jews use only earth burial.

Periods of Mourning: A unique characteristic of the Jewish religion *as* it relates to death is their observance of several periods of mourning. Both of these time periods require the family of the deceased to refrain from certain activities:

Shiva: The Shiva marks a seven day period of intense mourning beginning on the day of the burial, During this period of time, the family members are encouraged to stay away from work or school, to remain at home, and to contemplate the meaning of life and the manner in which adjustment will be made to the death of the beloved. The mourners are discouraged from any act which will call attention to themselves, even to the extent of covering all of the mirrors in the home. The family will often sit on Shiva stools, which are low to the ground, in order to humble themselves while they contemplate life following the death of a loved one. Services are to be conducted in the morning, afternoon and, evening during this time and a Shiva (7 day) candle bums' throughout this period.

Shloshim: The Shloshim mouthing period is a thirty day period in which the mourners begin a return to their normal routine, with the exception of attending any type of entertainment or social functions. The family continues to wear the K'riah, but the services held in the home during Shiva are now replaced with the daily recitation of the kaddish, a Jewish prayer recited at the daily service and by mourners after the death of a relation, at the synagogue.

Shanna: Those who are mourning the loss of an immediate family member continue their mourning period for eleven months after the Shloshim. During the Shanna the attendance at daily services to recite the kaddish continue as well as the abstaining from celebrations during that year.

Yahrtzeit: The Yahrtzeit commemorates the anniversary of the death. Each year on that date, the kaddish is recited. The Jewish community places great emphasis on their duty to assist the family not only in the burial, but also in the recovery from their loss through the various mourning periods.

Lutheran Funeral

Dressing and Casketing: The decisions as to the clothing to be worn and the type of casket to be used are left up to the family.

Visitation: In most cases, the visitation will be conducted at the funeral home. The open casket is the focal point with the flowers, music and friends completing the memory picture. There are generally no services held during the visitation period.

The Funeral: Traditionally, the Lutheran funeral service was held in the church. Today, there seems to be a shift away from the church funeral in favor of the funeral held at the funeral home. The use of the cross, candles, and altar are still very much a part of the Lutheran service. In most cases when a funeral service is held in a Lutheran Church, the casket will be closed for the funeral service. To view the deceased, it is a common practice to have the casket open before the service in the narthex.

The Committal Service: As part of the Committal Service, the Pastor will sprinkle sand, earth or flower petals in the shape of a cross on the top of the casket as he notes the return of the physical body back to the elements from which it came. The Lutheran Funeral Service is a simpler version of the Catholic Funeral Service. '

Methodist Funeral

Dressing and Casketing: The choice of clothing the deceased is to wear as well as the type and style of casket will generally be selected either prior to or at the time of death by the family.

Visitation: In most instances, visitation will take place in the funeral home. Flowers are accepted and enhance the visitation environment

The Funeral: The location of the funeral will in most cases have very little effect on the actual funeral service. The use of candles, crucifix, and similar religious equipment would not be used. The funeral service is normally short, lasting no more than thirty minutes in most cases. The celebration of Holy Communion is normally not a part of the service. Prayer, scripture reading, music and the eulogy make up the traditional service.

The Committal Service: Earth, sand or flower petals may be used as part of the committal service, as the minister commends the body to the earth and back to the elements from which it came.

Mormon Funeral

The largest body of The Church of *Jesus* Christ of Latter-day Saints, the "Mormons", are headquartered in Salt Lake City, Utah, and number over four million member$ in the United States. (The Reorganized Church of Jesus Christ of Latter-day Saints, not a part of the Mormon Church, headquartered in. Independence, Missouri, claims over two hundred thousand members.) The Mormons do not recognize professional clergy among their ranks. Those who take up this calling serve for `unspecified periods of time and without compensation. One of the unique characteristics of the Mormons is the involvement of the young men and some young, women in Church missionary service for a period of up to two years each.

Dressing and Casketing: Decisions as to the clothing to be worn by the deceased and the type of casket to be used are left up to the family. A deceased Mormon who has previously participated in Temple Ordinances; which is an instructional process within the Church, would usually be dressed primarily in special Temple clothing. Otherwise, their clothing will be chosen by the family.

Visitation: Visitation could be held in a Church ward chapel, the family residence, or the funeral home. No special services are held during this time.

The Funeral: The funeral service for a deceased Mormon will generally be held in a Church ward chapel, the funeral home, or at the cemetery as the family prefers. The Church attempts to follow the wishes of the family as to the type of service they would like, but the funeral service follows the same format as the other Church meetings. A viewing may be held immediately before the service in an adjoining room; however, the casket should be closed before being placed in the Main chapel and remains closed for the funeral service and is not opened afterwards.

The Committal Service: The Mormon Church prefers earth burial *as* the method of disposition for its members in the United. States, although entombment in a mausoleum is permissible. (The primary difference in the area of funeralization of a member of the Reorganized Church is the allowing of cremation as a method of disposition.)

Muslim Funeral

The Muslim religion means "submission to God" and those who have accepted the teachings of Mohammed have embraced that saying. Black Muslims are not recognized by the Muslims as true followers of Mohammed.

Notification of Death: The funeral director is not expected to notify the Islamic religious leader at the time a death occurs. Members of this community spend time reading to the dying person.

Making the Removal: The removal is no different than the removal of any other deceased. The civil laws and regulations governing the facility in which the person died make up the basis for determining the removal. While there are instructions to the family in the Koran as to the positioning of the deceased after death, the funeral director may or may not, find that these instructions have been followed.

Preparation of the Remains: Generally, after the deceased is removed from the place of death, the body is taken to the funeral home where the funeral home staff will, with the permission of the family, embalm the body. After the body is embalmed, and just prior to the visitation period and funeral service, members of the family will come to the funeral home where they will wash the body. This ritual of bathing the deceased is known as Ghusl. According the Koran, the steps in the bathing of the dead include:

1. Washing the private parts of the dead three times, using a new piece of cloth each time;
2. Washing the mouth of the dead with a piece of unused wet cloth;
3. Cleansing the nostrils with a piece of unused wet cloth;
4. Washing the face of the dead;
5. Washing the right hand then the left hand
6. The ma-sah is performed;
7. Washing the right foot then the left foot;
8. Washing the entire body from head to foot.

Dressing and Casketing: Once the deceased has been washed, the family (or funeral home staff) will dress the individual by wrapping them in muslin material. Several *pieces* of this white cotton material are used to encompass the body so that only the face and hands of the deceased are visible when completed. The casket is usually the simplest wooden casket available, including the cloth-covered woods. The use of a casket in a Muslim funeral is unique to the United States. In other countries, the dead are buried in the white muslin material they are wrapped in without a casket

Visitation: The visitation period is usually restricted to one hour. All of the family are in attendance during this time and the casket is open. This would normally be held at the funeral home.

The Funeral: Most Muslim *funerals are* conducted at the cemetery. Funerals may be held on any day except Holy Days. The casket is carried by the male members of the family only and is placed as much as fifty feet from the actual place of interment. The casket is placed north and south with the head toward the south and facing east. The casket is opened for the funeral service, which will take approximately twenty minutes. The funeral prayer is called the Janaazah Namaaz. All prayers to Allah are done in public by the men only.

The Committal Service: At the conclusion of the funeral service, the casket is lowered into the grave. If the cemetery is a perpetual care cemetery, a concrete grave liner is most likely used. If the cemetery is not a perpetual care cemetery, a series of wooden timbers may be placed around the casket. Once the casket is lowered into the concrete grave liner, the cap of the casket is removed and the lid of the grave liner is put in place. The cap of the casket is then placed on top of the concrete grave liner. If final disposition is to be cremation, the male members of the family will place the deceased in the retort chamber. Women are instructed

to mourn for four months and ten days. During that time they are to dress plainly and are forbidden to participate in any type of entertainment. Men are instructed to mourn for only three days.

Presbyterian Funeral

Dressing and Casketing: The physical preparation of the body would conclude with the dressing of the deceased, generally in their own clothing or in clothing purchased by the family. The casket would be a decision of the family without influence or restrictions from the Church..

Visitation: A visitation period is normally held prior to the funeral service with the various decisions such as location, hours and any services to be held in conjunction with the visitation to be determined by the family. Auxiliary services inch as a Masonic Service may be held during a portion of the visitation.

The Funeral: There are no restrictions as to the day on which a funeral service may be held. It is suggested that the casket be closed during the service and that the casket be covered with a pall. With strong emphasis placed on the Resurrection in Presbyterian Church, a plain cross instead of a crucifix is used. The funeral service would begin with the reading of scripture, followed by the singing of hymns, additional scripture, a sermon, the reciting of the Affirmation of Faith, and the closing of the service with the saying of prayers.

The Committal Service: The actual time of the committal service is very brief the service will usually consist of a scripture reading, words committing the body to the earth as well as to the care of God and a closing prayer.

Quaker Funeral

The Friends General Conference is the group whose practices are most often identified as Quakers. Quakers worship in an environment of silence. The congregation is divided with men and boys on one side of the "Meeting House" and women and girls on the other side, with no minister, but an "overseer" to lead the worship. The Friends United Meeting have ministers who lead the worship service and congregational singing. An observer would probably believe that they were in a typical Protestant Church. The primary difference between this group of Quakers and most Protestant churches is in the observance of sacraments. The Quakers believe in the baptism of their members but do not use water. They also refrain from using the traditional elements of bread and wine in observing Holy Communion, opting instead for an individual and "spiritual communion" with' God.

Preparation of the Remains: A simple funeral service with the body present is appropriate. In most cases the body would be prepared through the normal embalming procedures. There are no Church restrictions or requirements as to the preparation of the remains.

Dressing and Casketing: The, choice as to the type of clothing the deceased is to wear and the type of casket to be used are left entirely up to the family.

Visitation: The visitation is usually scheduled at the funeral home. There are no special services held during the visitation period. The use of music and flowers are generally acceptable. The decision as to whether the casket is to be opened or closed during the visitation period is left up to the family.

The Funeral: The funeral service is very similar to many of the Protestant churches' funeral services. There are no religious symbols, such as crosses, crucifix, or candles. Nor are altar attendants used in a Quaker service. Flowers would be acceptable and are generally present The casket may be opened or closed depending on the wishes of the family and the practice of the church, The Amend would consist of prayer, music, scripture readings, a eulogy, and the minister's message or sermon. The funeral service would normally last no more than half an hour.

The Committal Service: There are no guidelines or church preferences as to the method of disposition. The committal service consists of scripture reading and prayer. No symbolic rituals such as making the sign of the cross with flower petals or sand takes place.

Roman Catholic Funeral

Notification of Death: The "Last Rites" are given to individuals of the Roman Catholic Church who may be facing imminent death or who have in some instances already died. The need for a priest to administer this ritual of preparing the soul for eternity necessitates the informing of the priest prior to the time of death or at the time of death. Usually this is taken care of by the family or, in some cases, the staff of the hospital, nursing home or other health care institution the individual may be receiving care in at the lime of their death.

Visitation: On each end of the casket, candles should be placed. A crucifix is placed behind the casket and a kneeling bench is placed in front of the casket. A Rosary or Christian Prayer Service is usually held at the funeral home the night before burial.

The Funeral *Mass:* The Mass of Christian Burial for adults and Mass of Angels for a child are generally held in the Church. There are certain "Holy Days" on which a funeral mass may not be conducted. You will also find that a funeral will not be held do Sundays. Secular symbols such as national flags or insignias of other associations should be removed prior to entering the Church and replaced when leaving the Church. Religious symbols such *as a* crucifix, rosary beads, or a Bible may be placed on the Pall during the Mass.

The Committal Service: Not only will the priest who celebrates the funeral mass go to the cemetery, but the altar attendants may also be included. The committal service at the cemetery will begin with a processional from the automobiles to the grave space. The committal service will include prayers, scripture and liturgical readings and the blessing of the casket for a final time.

Ethic/Nationality Rites and Rituals

African American Funeral

Their community gathers in anticipation of the death to support the dying person as well as to muster collective support (emotional? financial) for the survivors. Vigils, wakes, funerals and post-funeral events are important traditions. The more important, honored, and esteemed the deceased, the larger the gathering of mourners. The hardiness of survivors underscores the importance of social support systems as a critical resource in the adjustment and survival of grief, trauma and loss.

Dressing and Casketing: According to transcendence view, it is the responsibility of the living to carefully and respectfully care for the dead. Close kin are given the honor of assisting with burial preparation (preparing the body, making the casket, digging the grave). Because a natural appearance and likeness of the loved one create less trauma for survivors, the reputation of the funeral home became dependent upon the funeral director's skill in restoring the likeness of the loved one, pricing, services and care of the remains. African-Americans prefer to use African- American funeral directors.

The Funeral: African-American funerals are often delayed for several days after the death until family and friends gather. Funerals in the African-American subculture have come to represent a posthumous attempt to achieve dignity and esteem denied and limited in a culture where people often are treated with minimal respect Funerals attempt to affirm one's self and achieve some measure of positive self-identify, if only posthumously. The funeralization process and rituals, as well as final disposition, are important in honoring the soul of the deceased. The belief in transcendence to the spiritual word is commonly held. Since they mirror death as an integral part of life, they reflect attitudes that are more "death accepting" than Western culture. They practice a "homegoing service", i.e. passing babies over the casket and naming a baby after a departed love one. These ceremonies may go on for hours. Most traditional African-- American funerals are officiated, by African-American clergy in churches. African- American funerals tend to be spontaneous and lengthy. Emotionalism of African- American funerals supports evidence that cathartic release and externalization of feelings is more healthy and beneficial to grief recovery than suppressing feelings. African- Americans believe in the value of the responsible care of the dead and rega0 funerals and "primary rituals" worthy of considerable personal, and monetary investments.

The Committal Service: Most African-Americans prefer ground burial.

Native American Funeral

The Native American Funeral can vary greatly between tribes, villages, and clans. Many Native Americans have given up their funeral rituals to simply follow other religious beliefs addressed in this document. The following is an example of funeral concerns for a clan within the Hopi tribe.

Preparation of the Remains: Embalming is not often necessary; however, a medicine man or woman is notified to do cleansing of the body. It is custom to have the body buried as quickly as possible, always before the third day following the death.

Dressing and Casketing: Decisions ions as to the clothing to be worn by the deceased and type of casket to be used are left up to the family.

Visitation: Visitation varies from village to village, as some clans do not believe in holding a wake.

The Funeral: Traditionally, no funeral service is held.

The Committal Service: Ceremonial hair washing is done by the deceased's aunts at the gravesite. This is done by stroking the hair of the deceased with the mother corn or white corn. Preparation of the gravesite is done by male relatives and the body is placed in the chamber by four or five male relatives. On the fourth day following the death, a male of the tribe places food and prayer feathers on the grave. The food symbolizes energy needed for the deceased's journey to the after-life and the prayer feathers assure the deceased a safe journey.

Far Eastern Funeral

While most groups of immigrants settle in cities, *The Hmongs,* a group of people displaced by the conflicts in Vietnam, Laos, and Cambodia, are a notable exception. Their agricultural background *has* led them to some unusual immigrant destinations: Wausau in central Wisconsin, for example.

Preparation of the Remains*:* Hmongs would prefer the body not be embalmed.

Visitation: Two nights of visitation is preferred.

Dressing and Casketing: Family members dress the body. Six to twenty survivors will come to the funeral home for dressing the body and ceremonial wailing. They may bring a 50-gallon oil drum with a shower curtain stretched taut across the top on which they beat from morning until night. The tone of the drum may suddenly change and then liquor is offered to select people. A *glass* of liquor may even be placed in the casket should the deceased get thirsty on the way to see his or her ancestors. A survivor dances under a tripod while playing a large reed horn. Artifacts be placed around the casket.

The Funeral: Service may be held at any time, preceded only by an announcement that the family is ready to proceed. Slaughtering of animals is part of the tradition.

The Committal Service: Closing of the grave is sacred to Hmongs. After burial, they return to their homes.

Filipino Funeral

The Funeral: Funeral services are typically Roman Catholic combined with ethnic traditions. Ceremonies typically last several days. Filipinos do not enter the chapel unless a funeral director accompanies them.

The Committal Service: Lowering of the casket is always witnessed. To signify the passing of generations, the youngest child in the family is sometimes handed across the grave. Many photographs and/or videotaping of the funeral services and burial are taken to prove to those unable to attend that a loved one was given a proper service.

Haitian Funeral

The Funeral: Haitians may have to have the body 'lied" for many days while family, friends, and money are gathered for the funeral. This may also be a necessity to obtain visas for family members that are out of the country. Haitians also remember the dead and have a strong sense of their ancestors. They believe the dead speak to them in dreams and that they, therefore, must have a proper funeral. Haitians never expect death, even suspecting foul play when an old person dies of natural causes. Even though death is unexpected, death is a part of daily living for Haitians and their extended families. Upper OM Haitians mourn just like Anglos, and poor Haitians from rural areas are very emotional. They cry loudly, are demonstrative, pass out, and even throw themselves at the coffin.

The Committal Service: Haitians wait at the cemetery until the last shovel full of dirt is thrown. They always fear the funeral director may steal the casket so they may jump on it to dent it up at the last minute. The emotionalism is also part of their grief resolution. Santeria or voodoo customs are common among Haitians.

Mexican and Central American Funeral

Among Mexicans, death is culturally viewed as punishment; religiously it is viewed as rebirth. Culturally, Mexicans believe that in the afterlife they have the ability to observe what is occurring in this world; religiously, they view death as a union with God. Ceremonies are usually Roman Catholic.

Dressing and Casketing: The body of the deceased LS the focal point of the funeral. The casket is open, there is little cremation, and organ donation is rare. Viewing is a must, and the body is dressed in the best, new clothing. Mexicans are very aware and comment on the quality of the casket.

Visitation: The visitation and funeral is a three-day affair. Anything less would be a breach of social convention.

The Funeral: The funeral is usually at a church. The immediate family is closest to the grave with the extended family nearby. A week-long recitation of rosaries is common as well *as* anniversary observances. The family can consist of many, many people. Paperwork may be needed to get three-day visas to come to the United States for the funeral. The key to arrangements is to contact the consulate of that country for instructions. Mexican immigrants traditionally resist prepayment plans since they feel death will be brought closer. There is increased emotionalism, more emphasis on family, and more direct help from friends.

The Committal Service: Friends may actually dig the grave, do housework or prepare food for the bereaved. Santeria, the practice of a type of voodoo, may follow a traditional service in a funeral home. This is marked by special salsa music 'performed by musicians wearing tuxedos with long coats, gloves, and sunglasses.

Polynesian Funeral

Polynesian beliefs are a mixture of Protestant Christianity blended with Polynesian nature-oriented practices. All aspects of their' lives are influenced by the tribal structure of their society.

Dressing and Casketing: Following a series of family Meetings, the first Samoan service will feature the dressing of the body by women of the tribe. Customs include draping the casket or surrounding it with fine mats of hand-woven grass or leaves, and placing prized family possessions in the casket The body is covered with a veil, a tradition followed by the need to keep off insects in Samoa

The Funeral: There is typically a week to ten day wait between the time of death and the burial so that all members of the family and tribe can attend. There will be an informal family service. Music is very important to the Samoans. More structured ceremonies called laeos follow with ministers and representative of other tribes participating.

The Committal Service: Before the casket is closed, the spouse or oldest child puts perfume over the body. Samoans feel they must, witness the actual burial. They throw flowers while singing. A funeral, is not always a mournful occasion for them.

West Indies Funeral

Making the Removal: An unusual Cuban custom is called an all-night, repose, traditionally arranged to assure that the person is actually deceased. This custom has been modified in the United States, and now some reposes only last until midnight

The Funeral: Cubans want traditional funerals with metal caskets and lots of flowers. Everyone goes to the cemetery. Cubans insist on staying at the cemetery until the vault is sealed and the grave is filled in. Puerto Ricans are also more apt to take children of all ages to funerals than are Cubans. Jamaican funerals are barely distinguishable from those of native-born Americans.

The Committal Service: There has been a gradual increase in the acceptability of cremation.

Military/Fraternal Rites

American Legion Funeral

The American Legion involvement in a funeral service is generally limited to those events following the dressing and casketing of the remains.

Dressing and Casketing: The only consideration which might affect the dressing of the deceased would be the wearing of American Legion clothing.

Visitation: A flag will usually be present, either on the casket or folded and displayed nearby. If the deceased is not dressed in an American Legion uniform, the hat or other signs of membership may be displayed.

The Funeral: In most cases the Anglican Legion service is conducted at the graveside. A total of twenty-one individuals are used in the American Legion funeral. Following the service, the playing of taps and the twenty-one gun salute would take place. The funeral home staff should be prepared to participate in the folding of the flag.

Masonic Funeral

Dressing and Casketing: Normally a white lambskin apron, symbolizing membership as a Mason, is placed on the deceased. A sprig of evergreen is also usually fastened to the lapel of the deceased's coat.

Visitation: The funeral director will need to schedule the Masonic Funeral Service during some portion of the visitation period. The religious officiant will want to separate the Masonic Service from the religious portion of the funeral service.

The Funeral: It is important that the funeral director be aware of these preferences and establishes a good rapport with not only the clergy but also the leaders of the fraternal organizations to ensure a smooth and meaningful funeral service for the family. If the funeral service is to be held at the funeral home, the religious funeral service will be held first with the Masonic service following thereafter. If the funeral service is to be held in the church, you will most likely find the Masonic service held at the cemetery.

The Committal Service: Members will wear white gloves, their white lambskin aprons and a sprig of evergreen on their lapels. The white lambskin apron worn by the deceased may be left in place or may be placed on the casket during the service. A minister representing the deceased's religious denomination will normally have a scripture reading and prayer before turning the remainder of the service over to the Masons.

Military Funeral

Eligibility and availability of the appropriate military funeral detail and status (retired or active) of the deceased play major roles in the funeral. Some may not be entitled to a military funeral, but will be eligible for such benefits as a United States flag, a government headstone, or burial in a National Cemetery.

Eligibility: A Complete or graveside military funeral service is available for any active member of the armed forces. If the deceased was no longer an active member, the family would need to contact the branch of service the deceased had belonged to and request that a full or partial military service take place. The funeral director will be responsible for working with the military funeral detail to coordinate the funeral service.

Preparation of the Remains: The military would play no role either in determining the extent or the method to be used in preparing the deceased. lf, on the other hand, the funeral director is preparing a deceased on behalf of the armed forces, especially by means of a military contract, the stipulated embalming requirements should be closely followed.

Dressing and Casketing: It is possible that the dressing and casketing of the deceased could come under the auspices of the mortuary affairs unit of the armed forces. If the deceased was still on active duty, the deceased would be dressed in his or her military uniform and placed in a casket provided by the government. If the deceased was a veteran, the task of dressing and casketing the remains would generally fall to the funeral director. The funeral director would be responsible for dressing the deceased in the clothing provided for or chosen by the family and placing the deceased in the casket.

Visitation: One noticeable difference for an active member of the armed forces would be the representatives from that branch who would serve as an honor guard during the visitation period. The presence of a United States flag would also serve to remind all who attend the visitation of the deceased's service to his or her country. The flag would be used to drape the casket when it is closed. For the open casket, the flag covers the bottom portion of the casket or it can be folded into a triangle and displayed in the head panel or on a nearby pedestal.

The Funeral: The full military funeral could be held at the funeral home, the deceased's place of worship, a cemetery chapel or even a public facility such *as* an auditorium or similar type of building. A full military funeral service will combine the religious and fraternal with, the military service.

Police Rituals and Customs

BAGPIPE MUSIC: One of the time-honored views the public identifies the fallen police officer with are the bagpipes. Although the bagpipes are more known as an export from Scotland, the Irish transformed the bagpipes into an Irish-American tradition and a public safety tradition.

In the middle ages, the bagpipes were a revere musical instrument played in both Scotland and Ireland and they were used to rally the troops into battle, usually against the British. The fighting factions in Celtic lands used the bagpipes to assemble the troops just as the United States Calvary used the bugle. The English outlawed the bagpipes in Ireland (1366) and declared them an "instrument of war". Anyone caught playing the bagpipes or harp was put **to** death. The-bagpipes were also used during the funeral ceremonies when burying their fallen countrymen.

In the early days in America when a police officer or firefighter was killed in the line of Duty, the Irish forefathers within these departments ensured that their fallen brothers were buried with full honors. In keeping with Celtic tradition, the Irish in America would play "the pipes" to bury their fallen. Today, that tradition transcends ethnic, racial and religious lines and the bagpipes are played at most police and fire funerals. With more than 25% of the names on the National Law Enforcement Officers Memorial being of Irish decent, the Irish have made the playing of the bagpipes a part of the fabric of America and bagpipes are institutions in many police and fire departments across the United States.

BLACK BANDS OVER BADGES: Black armbands were worn as a symbol of mourning for hundreds of years and we believe law enforcement simply adopted that ritual as well. The black band over the shiny gold badge was a very noticeable symbol of mourning when a police officer died. The usual length for wearing this mourning symbol is 30 days. (It is suggested this be a "thin, elastic band" so the shield number can still be seen by the general public.)

BLACK SHROUDS OVER DOORWAYS OF POLICE BULDINGS: People used to shroud their home doorways when a family member died. This custom, too, we believe was simply adopted by law enforcement. Again, this mourning symbol can be displayed for a 30 day period.

FLAG-DRAPED COFFIN: While this rite is supposedly reserved only for persons who have served in the military, many police departments drape officers' coffins with the American flag since we know law enforcement protects our citizens on our home lands. It is truly a heartfelt show of concern for the surviving family if two American flags can drape the coffin. and one is presented to the surviving .spouse, with the other *being given to the surviving parent(s).* While it is customary that only one flag be presented at the burial, there is nothing keeping an agency from presenting a second flag at another time to other family members Additionally, flags that have flown over the United States Capitol in Washington, DC, are available through your Congressional representatives. You May request a flag to be flown over a specific day and a certificate will accompany that flag stating it was flown over the Capitol for the purpose you requested; i.e., "This flag was flown over the Capitol of the United States in memory of Officer James Smith who was killed in the line of duty on October 12, 2012."

FLY OVERS WITH HELICOPTERS OR AIRPLANES: Flyovers are again a military funeral salute to their men. Normally used at funerals where the officer was a helicopter/airplane pilot or a member of a SWAT team that used their air vehicles, this ritual was again adopted from the military.

HONOR. WATCH: Out of a show of respect for the fallen, law enforcement agencies have stood 24-hour watch over their dead just as military have. With large majorities of military-trained personnel leaving the service and becoming polite officers, this is another adopted custom from the military.

LOWERING OF FLAG: The American flag is usually lowered for a 30-day period when a government official dies. Again, law enforcement has adapted this ritual since the profession believes it serves as the last defense between chaos and order.

Federal legislation allows the American flags on all government buildings to be lowered on May 15th of each year, National Peace Officers' Memorial Day. Some states have also passed this same bill to allow State flags to be flown at half-staff on May 15th.

21-GUN SALUTE: Again, a ritual of the military, we believe law enforcement took on this ritual believing there is a "war" against crime.

RIDERLESS HORSE/MOTORCYCLE: Again, another borrowed military ritual that probably goes back to Civil War times.

TAPS: Again, another borrowed military ritual.

PRESENTING OFFICER' S GUN TO SURVIVING FAMILY: Knowing that many times the only immediate backups an officer has are his ability to talk himself out of trouble or his weapon, it has become custom with some police departments to present the officer's service revolver to the surviving family. It is suggested that the weapon be altered so it is unable to fire but so that it is also repairable.

Several police organizations have rituals that include prayers during the wake and at the cemetery. Check with the surviving family to see if they are interested in a police organization ceremony prior to scheduling the ceremony with the police organization.

Understanding the Need for Rituals and Family/Agency Participation in the Funeral.

- Funeral rituals help trauma survivors.
- Funeral rituals are rituals of binding and release.
  - Bind mourners together
  - Facilitate separation from the one that died

Participation in rituals by survivors allows:

- them to be helped by others
- an opportunity to help themselves mourn
- them to acknowledge the reality of the death
- gives them comfort and allows them to be comforted
- them to be listened to - ideas are acknowledged •
- for an increased sense of control — first step toward control of their lives and more....

How does participating in a funeral help a child?

- May help them understand death
- Gain a sense of belonging
- Gain a sense of value and self-worth
- Contribute to the memory of the deceased and the community wealth
- Continuity of the society
- Reorganization of life

Ideas on how children can participate in a funeral:

- Reading a poem
- Playing an instrument
- Leading a prayer
- Placing an object in the casket
- Help bury the casket

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Managing Change

POST Management Program

Instructional Goal: Upon completion of this instruction, students will have discussed the elements of change, the effect of change in the workplace, and be given tools to more effectively adjust to change.

Performance Objectives:

- List the four tenets of change
- List the four A's of coping with change
- Discuss 10 critical questions for change leaders
- List 7 essentials for managing change
- Discuss the 9 biggest mistakes in managing change
- List six practical aspects of any change process
- Discuss changes, challenges, and choices

Change-Adapt Questionnaire

By Carol Kinsey Goman, Ph.D.

Through extensive research and experience consulting with companies around the world, I've uncovered six factors (Confidence, Challenge, Coping, Counterbalance, Creativity and Collaboration) that determine whether an individual is change-adept—that is, proficient at dealing not only with transition, but with transformation as well.

This questionnaire assesses your current attitudes, aptitudes and skills for thriving on change in your business life. It is a tool that can help you recognize your current strengths and develop strategies for overcoming potential weaknesses.

Instructions: Read each statement carefully and decide whether it is true or false for you. If the statement is true, check the box next to the statement. If the statement is false, leave the space blank.

For all of the sections, a score of 1-3 "Ts" is low, 4-5 is medium, and 6-8 is high.

The higher your scores, the greater your strength in each category. Low scores indicate areas you may want to better develop.

Confidence

1. ☐ I focus on my strengths more than I focus on my weaknesses.
2. ☐ I focus on my successes more than I focus on my failures.
3. ☐ I take responsibility for my career progression and relevant training.
4. ☐ I am continuously learning and developing my talents and skills.
5. ☐ I know the market value of my skills and talents.
6. ☐ I speak up and take risks at work.
7. ☐ I recognize and reward myself whenever I do excellent work.
8. ☐ I evaluate my attitudes and behaviors to determine which will continue to serve me in the future—and which I need to leave behind.

Your Confidence Score

Low (1-3)   Medium (4-5)   High (6-8)

Challenge

1. ☐ I am an optimist.
2. ☐ I like my job and my work.
3. ☐ I like variety and change.
4. ☐ I look for positive aspects in negative circumstances.
5. ☐ I plan for the downside (of change) but focus on the opportunities.
6. ☐ I am easily bored with the status quo.
7. ☐ I am energized by change.
8. ☐ I believe there are tremendous personal opportunities in most changes.

Your Challenge Score

Low (1-3)   Medium (4-5)   High (6-8)

Coping

1. ☐ I am healthy and resilient under pressure.
2. ☐ I am flexible when "the change" changes course.
3. ☐ I understand that no one person has "the answer" or "the plan."
4. ☐ I use my sense of humor to help cope with change.

5. ☐ I focus primarily on those aspects of change that I can influence or control.
6. ☐ I recognize my first sign of stress overload and respond appropriately to reduce/release it.
7. ☐ I accept change as "business as usual."
8. ☐ I know what to expect and how to help myself deal with the emotional process of change.

Your Coping Score

Low(1-3)   Medium(4-5)   High(6-8)

Counterbalance

1. ☐ I do not smoke.
2. ☐ I sleep a sufficient amount of time to awaken refreshed and rested.
3. ☐ I exercise a minimum of three times a week for at least twenty minutes.
4. ☐ I am within five pounds of my ideal weight.
5. ☐ I limit my alcohol consumption to one drink or fewer (if female)/two drinks or fewer (if male) per day.
6. ☐ I balance my work life with a rich personal life (friends, family, sports, hobbies, etc.)
7. ☐ I eat healthfully and in moderate amounts.
8. ☐ I have a religious, spiritual, or holistic foundation.

Your Counterbalance Score

Low (1-3)   Medium (4-5)   High (6-8)

Creativity

1. ☐ I am creative and innovative in how I approach my work.
2. ☐ I keep myself informed about changes going on in the organization and how they might affect my job.
3. ☐ I keep myself informed about trends in the industry and how they might affect my job.
4. ☐ I have a good understanding of how my efforts support the organization's goals.
5. ☐ I often redesign my job to be more efficient/productive/fun.
6. ☐ I volunteer to join teams that are planning changes.
7. ☐ When making decisions, I seek and value a diversity of opinion.
8. ☐ I rely on my intuition to help me solve business problems.

Your Creativity Score

Low (1-3)   Medium (4-5)   High (6-8)

Collaboration

1. ☐ I have a reputation for sharing what I know.
2. ☐ If I were to serve as a team leader, I'd feel it was my responsibility to create and maintain an environment of trust and collaboration.
3. ☐ As a team member, I feel it is my responsibility to help create and maintain an environment of trust and collaboration.
4. ☐ I take advantage of opportunities to grow my "social capital."
5. ☐ People on my team trust me to deal openly and fairly.
6. ☐ I trust people on my team to deal openly and fairly.
7. ☐ I realize that my success is increasingly dependent on my ability to collaborate.
8. ☐ I am aware of my organization's knowledge resources. When I need information, I know where to go or whom to ask.

Your Collaboration Score

Low (1-3)   Medium (4-5)   High (6-8)

Four Change Tenets

1. Change is personal and creates some level of discomfort
2. People tend to resist change
3. Nothing significant can be changed overnight
4. Purposeful planning and effective leadership enable change

Lewin's Change Management Model
Understanding the Three Stages of Change

Unfreeze-Change-Refreeze.

Change is a common thread that runs through all businesses regardless of size, industry and age. Our world is changing fast and, as such, organizations must change quickly too. Organizations that handle change well thrive, whilst those that do not may struggle to survive.

The concept of "change management" is a familiar one in most businesses today. But, how businesses manage change (and how successful they are at it) varies enormously depending on the nature of the business, the change and the people involved. And a key part of this depends on how far people within it understand the change process.

One of the cornerstone models for understanding organizational change was developed by Kurt Lewin back in the 1940s, and still holds true today. His model is known as Unfreeze – Change – Refreeze, refers to the three-stage process of change he describes. Lewin, a physicist as well as social scientist, explained organizational change using the analogy of changing the shape of a block of ice.

Understanding Lewin's Model

If you have a large cube of ice, but realize that what you want is a cone of ice, what do you do? First you must melt the ice to make it amenable to change (unfreeze). Then you must mold the iced water into the shape you want (change). Finally, you must solidify the new shape (refreeze).
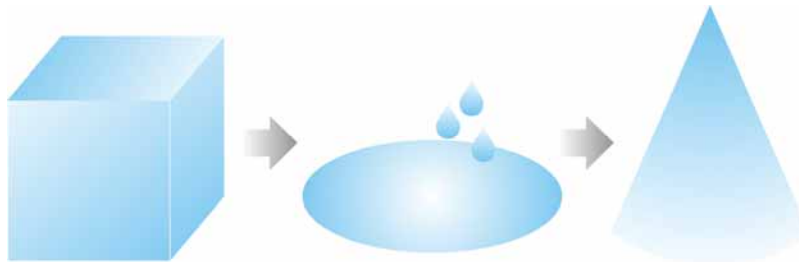
By looking at change as process with distinct stages, you can prepare yourself for what is coming and make a plan to manage the transition – looking before you leap, so to speak. All too often, people go into change blindly, causing much unnecessary turmoil and chaos.

To begin any successful change process, you must first start by understanding why the change must take place. As Lewin put it, "Motivation for change must be generated before change can occur. One must be helped to re-examine many cherished assumptions about oneself and one's relations to others." This is the unfreezing stage from which change begins.

Unfreeze

This first stage of change involves preparing the organization to accept that change is necessary, which involves break down the existing status quo before you can build up a new way of operating.

Key to this is developing a compelling message showing why the existing way of doing things cannot continue. This is easiest to frame when you can point to declining sales figures, poor financial results, worrying customer satisfaction surveys, or suchlike: These show that things have to change in a way that everyone can understand.

To prepare the organization successfully, you need to start at its core – you need to challenge the beliefs, values, attitudes, and behaviors that currently define it. Using the analogy of a building, you must examine and be prepared to change the existing foundations as they might not support add-on stories; unless this is done, the whole building may risk collapse.

This first part of the change process is usually the most difficult and stressful. When you start cutting down the "way things are done", you put everyone and everything off balance. You may evoke strong reactions in people, and that's exactly what needs to done.

By forcing the organization to re-examine its core, you effectively create a (controlled) crisis, which in turn can build a strong motivation to seek out a new equilibrium. Without this motivation, you won't get the buy-in and participation necessary to effect any meaningful change.

Change

After the uncertainty created in the unfreeze stage, the change stage is where people begin to resolve their uncertainty and look for new ways to do things. People start to believe and act in ways that support the new direction.

The transition from unfreeze to change does not happen overnight: People take time to embrace the new direction and participate proactively in the change. A related change model, the Change Curve, focuses on the specific issue of personal transitions in a changing environment and is useful for understanding this specific aspect in more detail.

In order to accept the change and contribute to making the change successful, people need to understand how the changes will benefit them. Not everyone will fall in line just because the change is necessary and will benefit the company. This is a common assumption and pitfall that should be avoided.

Tip:

Unfortunately, some people will genuinely be harmed by change, particularly those who benefit strongly from the status quo. Others may take a long time to recognize the benefits that change brings. You need to foresee and manage these situations.

Time and communication are the two keys to success for the changes to occur. People need time to understand the changes and they also need to feel highly connected to the organization throughout the transition period. When you are managing change, this can require a great deal of time and effort and hands-on management is usually the best approach.

Refreeze

When the changes are taking shape and people have embraced the new ways of working, the organization is ready to refreeze. The outward signs of the refreeze are a stable organization chart, consistent job descriptions, and so on. The refreeze stage also needs to help people and the organization internalize or institutionalize the changes. This means making sure that the changes are used all the time; and that they are incorporated into everyday business. With a new sense of stability, employees feel confident and comfortable with the new ways of working.

The rationale for creating a new sense of stability in our every changing world is often questioned. Even though change is a constant in many organizations, this refreezing stage is still important. Without it, employees get caught in a transition trap where they aren't sure how things should be done, so nothing ever gets done to full capacity. In the absence of a new frozen state, it is very difficult to tackle the next change initiative effectively.

How do you go about convincing people that something needs changing if you haven't allowed the most recent changes to sink in? Change will be perceived as change for change's sake, and the motivation required to implement new changes simply won't be there.

As part of the Refreezing process, make sure that you celebrate the success of the change – this helps people to find closure, thanks them for enduring a painful time, and helps them believe that future change will be successful.

Practical Steps for Using the Framework:

Unfreeze

1. Determine what needs to change.
   - Survey the organization to understand the current state.
   - Understand why change has to take place.
2. Ensure there is strong support from upper management.
   - Use Stakeholder Analysis and Stakeholder Management to identify and win the support of key people within the organization.
   - Frame the issue as one of organization-wide importance.
3. Create the need for change.
   - Create a compelling message as to why change has to occur.
   - Use your vision and strategy as supporting evidence.
   - Communicate the vision in terms of the change required.
   - Emphasize the "why".
4. Manage and understand the doubts and concerns.
   - Remain open to employee concerns and address in terms of the need to change.

Change

1. Communicate often.
   - Do so throughout the planning and implementation of the changes.
   - Describe the benefits.
   - Explain exactly the how the changes will affect everyone.
2. Prepare everyone for what is coming. Dispel rumors.
   - Answer questions openly and honestly.
   - Deal with problems immediately.
   - Relate the need for change back to operational necessities.
3. Empower action.
   - Provide lots of opportunity for employee involvement.
   - Have line managers provide day-to-day direction.
4. Involve people in the process.
   - Generate short-term wins to reinforce the change.
   - Negotiate with external stakeholders as necessary (such as employee organizations).

Refreeze

1. Anchor the changes into the culture.
   - Identity what supports the change.
   - Identify barriers to sustaining change.
2. Develop ways to sustain the change.
   - Ensure leadership support.
   - Create a reward system.
   - Establish feedback systems.

- Adapt the organizational structure as necessary.
3. Provide support and training.
   - Keep everyone informed and supported.
4. Celebrate success!

Key Points

Lewin's change model is a simple and easy-to-understand framework for managing change.

By recognizing these three distinct stages of change, you can plan to implement the change required. You start by creating the motivation to change (unfreeze). You move through the change process by promoting effective communications and empowering people to embrace new ways of working (change). And the process ends when you return the organization to a sense of stability (refreeze), which is so necessary for creating the confidence from which to embark on the next, inevitable change.

Coping with Workplace Change

Change evokes fear in most people because of the uncertainty it presents.

Understanding the Change

When you have a routine, you know what to expect, and even if it's difficult or boring, it's consistent and reliable. You have learned how to do your work and deal with fellow workers. But when something changes, suddenly your routine is broken and you no longer know what to expect. Even if the change is for the better, the transition can be difficult.

Practice the following four A's of coping with change:

Awareness - Since uncertainty about the future creates the most fear and stress during a change, try to find as much information as you can about your situation. Whom can you ask? What can you learn? What research can you do? The more you learn, the less uncertain you will experience. Behaviors, thoughts and actions that can be learned and developed will help you cope with change.

Acceptance - You may not like the change, but if you accept that things have changed, instead of fighting it or complaining about it, you'll experience less frustration.

It's important to accept the transition process with grace and a sense of looking forward to a new experience.

Attitude - Are you being fearful or are you thinking about the possibilities for improvement and new skills that the change might bring? To focus on the positive aspects of your change, write a list of all the possible positive outcomes.

Even though minor changes can cause stress and frustration, the good news is that change can be an opportunity for something positive to happen. When you learn how to cope effectively with minor changes at work, you'll develop the skills and positive outlook to help you deal with changes throughout your life.

Action - This is where you do have some control over the situation. It is how you prepare and respond to change.

The following positive actions can help you cope with change.

- Develop a network. Always keep in contact with your managers and fellow workers. Having positive people to talk to about changes occurring in the workplace can be very helpful.
- Learn new skills. Learn a new computer program. Take a class in communication skills. Learn to make presentations. Ongoing training will add skills to your professional tool kit.
- Change your surroundings. Do what you can to make your work area pleasant and comfortable.

- Ask questions. It is important to ask questions if you don't understand why something is being done a certain way. Being able to contact the correct person to ask a specific question is always good. Whom can you talk to? What ideas can you present to help with the change?

The key to coping with change is resilience. Resilience means knowing how to survive and making the best of change in spite of setbacks, barriers or limited resources.

For change to be effective you must have a high degree of organizational support and time for the commitment to happen.

To guide organizational change four factors must be present:

1. **People**: Team building, management development, and leadership development. (Who can tell me why these four elements are so important?)
2. **Structure**: Organizational reengineering, work team development, and strategic thinking. WHY?
3. **Processes**: Business Process reengineering, continuous improvement/total quality, performance enhancement system. (If the processes are not in place, change will not be successful)
4. **Tools**: Structured coaching methodology, train-the-trainer systems, and organization diagnostic systems.

10 Critical Questions for Change Leaders

Change managers need to ask themselves some difficult questions before they set out to "shake things up." And they need to listen to the answers.

If you are a sensitive change manager, here are some of the questions you must consider before you set out to make things better.

1. **What is the employees' perspective?**
   To mobilize a work force to transform itself, leaders must know what people in the organization are thinking, encourage them to articulate their points of view and their concerns and be ready to respond to them sincerely. Do not rely on second-hand information or make assumptions about what you think employees think. Ask them—and keep asking them until the answer becomes clear. Only then can you begin to design a strategy that builds on synergies and fills in perception gaps.

2. **Did you "set the stage" for change?**
   One of the most vital roles of leadership is to anticipate the agency's future and its place in the community arena, and then to formulate strategies for surmounting challenges that have not yet manifested. To proactively respond to these challenges, agencies must continually reinvent themselves. Leaders must encourage employees to join a constant questioning of the prevailing assumptions—and to be ready to act upon new opportunities early in the game to maintain an advantage.

3. **Are you tracking employee perceptions throughout the change?**
   As important as it is to find out what employees are thinking before the change, it is just as crucial to have a system for monitoring employee perception throughout the process. George Bernard Shaw once said that the problem with communication is "the illusion that it has been accomplished." When it comes to communicating change, leadership must be especially careful not to suffer that illusion. Strategies that include employee interaction and feedback systems help organizations track the level of work force comprehension. You will find the greatest advantages come when organizational feedback is gathered immediately after the delivery of every important message. Use this short questionnaire to query audiences before they leave the meeting room:
   - What in your view are the most important points we just covered?
   - What didn't you understand?
   - With what do you disagree?
   - With what do you agree?
   - What else do you need to know?

4. **Are you giving honest answers to tough questions?**
   In the light of economic realities that offer little in the way of job security, employees must be able to rely on their employers to give them honest information that will allow them to make informed choices about their own jobs, careers and futures. When you can't answer every question, it is best to tell people that you understand their concern but don't know the answer. Or, say that you don't have the information yet, but will get back to them as soon as decisions are made. It is even better to tell people that you have the information but can't release it than to withhold or twist the truth.

5. **Can you explain "what's in it for them"?**
   The most commonly asked or unasked question regarding change is —"What's in it for me?"

6. **Is your communication "behavior-based"?**
   Organizations send two concurrent sets of messages about change. One set of messages goes through formal channels of communication—speeches, newsletters, videos, values statements and so forth. The other set of messages is delivered informally through a combination of "off the record" remarks and daily activities. Senior management teams should begin two questions: "What do you currently do that already supports the change?" and "What do you have to do differently to align with the change?" For today's skeptical employee audience, rhetoric without action quickly disintegrates into empty slogans and propaganda. In the words of Sue Swenson, president of Leap Wireless, "What you do in the hallway is more powerful than anything you say in the meeting room."

7. **Can you paint the big/little picture?**
   Vision is the big picture (we'll look at this next), and it is crucial to the success of the enterprise. But along with the big picture, people also need the little picture:

   Big Picture—Presenting the concept of transformation.
       Little Picture—How are we going to do that?
   Big Picture—Setting long-term corporate goals.
       Little Picture—Where do we begin?
   Big Picture—Developing the overall objectives of the transformation.
       Little Picture— What are the priorities?
   Big Picture—Creating the mission of the organization.
       Little Picture—Where does my contribution fit in?

Big Picture—Communicating organizational values.
   Little Picture—What does this mean in my daily life?

8. **Is it your vision or our vision?**
Leaders understand the power of vision to imbue people with a sense of purpose, direction and energy. A compelling vision of the future pulls people out of the seductive hold of the past and inspires them to set and reach ambitious goals. Of even greater importance is the sense of meaning that people derive from their jobs when they can tie their contributions to the fulfillment of a clear, compelling vision. Leaders must therefore be able to paint the big picture. But if the vision belongs only to top management, it will never be an effective force for transformation. The power of a vision comes truly into play only when the employees themselves have had some part in its creation. So the crucial question becomes, "Whose vision is it?" Leaders must create a master narrative that coherently articulates the agency's identity and ideals and is embraced by every member of the organization. If you want employees to feel the same kind of connection to their work that the executives feel, then you have to get them involved.

9. **Are you emotionally literate?**
To be a consummate manager of change, it is not enough to engage people's logic; you also have to appeal to their emotions. As leaders gain the insight that people skills (the "soft stuff") hold the key to organizational change, human emotions take on new significance. Large-scale organizational change almost invariably triggers the same sequence of reactions—denial, negativity, a choice point, tentative acceptance and commitment. Leadership can facilitate this emotional process or, ignored, it can erode the transformation effort.

10. **Do you know what shouldn't change?**
The greatest challenge for leaders is to know the difference between what has to be preserved and what needs to be changed. The "genius" of leadership is being able to preserve an organization's core values, and yet change and adapt as times require. The product of that kind of leadership is an organization that goes on for a very long time.

7 Essentials Skills for Managing Change

Change has always been the only constant. In recent years, the pace of change has accelerated greatly, and we all need to find ways to deal creatively with this fact of modern life.

Leaders need to face and manage change in a constructive way. Leaders are adaptable and creative, responding to change in three key ways:

People who respond well to change will have a high 'ambiguity threshold.' Change is inherently ambiguous, and those who deal creatively with change will have a high tolerance for uncertainty and 'shades of gray.'

Skillful managers of change will have a constructive 'internal monologue.' They will see themselves as inherently powerful and having the ability to control elements of the situation in which they find themselves. Some circumstances cannot be changed, but the way we respond to them is always a choice, and we always have a sphere of influence, however small. By focusing on this sphere of influence, and not expending energy bemoaning the area outside it, the circle will start to expand and give us progressively more control. Solutions to problems always exist, and the 'internal monologue' should reflect the desire to find them and the certainty that they can be successfully implemented.

Those who deal well with change will have a good reservoir of emotional, physical and mental energy from which to draw when things get tough.

The above ways of dealing with change tend to be innate, with some people having a greater capacity for one or more of them than others.

However, they can be learned, and the following are seven tips for improving your skills in **managing change**.

1. **Spend time reflecting on your own core values and your mission in life.** A sense of purpose is essential to success and effectiveness, and those without a clear idea of what they are doing and why they are doing it will not have the foundation to keep going in the face of change.
2. **Be persistent.** Success is usually more to do with tenacity that genius. Persistence is only possible when you have clarified your values and when you are able to build on the bedrock of purpose. Successful people keep going in the face of change, finding new and creative ways to achieve a positive outcome.
3. **Be flexible and creative.** Persistence does not mean pushing through by force. If you are unable to achieve success one way, try another, and then another. Keep looking for more creative solutions and innovative responses to problems.
4. **Think outside the box.** Read widely, and don't confine yourself to your own area of 'expertise.' Try to see links between apparently separate and diverse elements in your life and experience.
5. **Accept uncertainty and be optimistic.** Life is inherently uncertain, so don't waste your energy trying to predict the future. Of all the possible outcomes, focus on the most positive one. This is not to be a 'Pollyanna,' but to accept that if you respond well and work to the best of your ability, a good outcome is as likely as any other. Don't waste your energy being negative.
6. **Keep fit and healthy.** Eat well, get enough sleep, and exercise regularly. Meditation can help, too. This will keep up your energy levels and allow you to keep going in tough times. Not taking care of yourself physically, mentally and spiritually is foolish and short sighted.
7. **See the big picture.** Change is inevitable, but if you take a bird's-eye-view of the landscape, the change won't be so disorientating and you will keep perspective at all times.

The Biggest Mistakes in Managing Change

Mistake #1: *Not understanding the importance of people.*

60-75 percent of all restructuring failed—not because of strategy, but because of the "human dimension."

Lesson Learned: Organizations do not change. People do – or they don't. If staff do not trust leadership, do not share the organization's vision, do not buy into the reason for change, and are not included in the planning – there will be no successful change – regardless of how brilliant the strategy.

Mistake #2: *Not appreciating that people throughout the organization have different reactions to change.*

Lesson Learned: Some people are naturally more "change-adept." We need to spot and encourage the early adaptors -- and we need to develop change-adept employee profiles to better understand how to develop these qualities throughout the organization. Change-adept people are naturally happier in their work because they have come to terms with a world that never stays the same. They move with today's chaotic workplace, rather than fighting it. They are energized by, and actually thrive on, change. The change-adept are not necessarily more competent than their co-workers, but they have distinct advantages in the attitudes they hold and the strategies they adopt. Change-adept professionals build greater resilience and not only survive, but flourish in changing times. There are five factors that determine which individuals deal successfully with change.

1. **Confidence**. Confident people are self-motivated, have high self-esteem, and are willing to take risks. Quite simply, they know how good they are.
2. **Challenge**. With any change, the danger of possible reversals coexists with incredible opportunities for personal and professional success. Leaders need employees to be excited by the opportunities in change.

When change-adept people are asked for verbal images they associate with change, they acknowledge the stress, uncertainty, pressure, and disruption, but they also emphasize the benefits -- the opportunity, growth, adventure, excitement and challenge.

3. **Coping**. Some people are naturally more flexible and better at coping with, and adapting to, a complex, fast-paced reality than others. These individuals take charge of change by accepting responsibility and assuming control. To be successful in chaotic times, the trick is not to brace yourself for change, but to loosen up and learn how to roll with it. In your organization, strategies will be planned, announced, implemented, and then-- right in the middle of execution -- they will all too often have to be altered or aborted because of external changes. What leaders need from employees is the ability to commit to a course of action and, at the same time, to stay flexible enough to quickly alter behavior and attitude.

4. **Counterbalance**. Those who are most resilient not only have a job -- they have a life. Change-adept individuals compensate for the demands and pressures of business by developing counterbalancing activities in other areas of their lives. They engage in exercise programs and healthful eating habits, they cultivate interests outside of business -- sports, hobbies, art, music, etc. -- which are personally fulfilling, and they have sources of emotional support. Because employees with counterbalance have a life that includes both work and recreation, they handle stress better and are more effective on the job.

5. **Creativity**. Buckminster Fuller once said, "Everyone is born a genius. Society de-geniuses them." Change-adept professionals have survived the de-geniusing of society to remain curious, creative, and innovative. You can easily spot creative people in organizations. They are the employees who are constantly seeking ways to improve products, services, or themselves. Typically, they question rules and regulations, and contribute ideas beyond the limits of their job descriptions -- to other functions, to other departments, and to the organization as a whole. These creative employees solicit diverse opinions that generate new thoughts, and they value any business experience that exposes them to new knowledge and skills.

Mistake #3: *Treating transformation as an event, rather than a mental, physical and emotional process.*

Lacking "emotional literacy" we disregarded the wrenching emotional process of large-scale change -- and when we began to address the emotional component, we underestimated its depth.

Lesson Learned: Large-scale organizational change usually triggers emotional reactions -- denial, negativity, choice, tentative acceptance, commitment. Leadership can either facilitate this emotional process or ignore it -- at the peril of the transformation effort.

Mistake #4: *Being less than candid.*

Under the rationale of "protecting" people, we presented change with a too positive "spin." And the more we "sugar-coated" the truth, the wider the trust gap grew between management and the work force.

Lesson Learned: Communicate openly and honestly. Today's employees are demanding it. Not everyone will thank you for your candor, but they will never forgive you for anything less. Open and honest communication goes beyond simply telling the truth when it's advantageous. You need a proactive, even aggressive, sharing of everything -- the opportunities, the risks, the mistakes, the potentials, the failures -- and then inviting people in to work on these challenges together.

Mistake #5: *Not appropriately "setting the stage" for change.*

All too often, change was announced in an environmental vacuum, with little reason or rationale for what the organization was trying to accomplish and how this change fits into the corporate vision.

Lesson Learned: To prepare employees for success, we must give them pertinent information about demographic, global, economic, technological, competitive, and industry trends. People need to know the vision, goals, and strategy of the company. They need to understand the financial reality of the business and how their actions impact that reality.

Mistake #6: *Trying to manage transformation with the same strategies used for incremental change.*

Lesson Learned: Incremental change -- continuous improvement, etc. – is linear, predictable, logical, and based on a progressive acceleration of past performance. Transformation is none of these things. Transformation is a redefinition of who we are and what we do. It's often unpredictable (responding to unforeseen circumstance, challenges and opportunities), illogical (demanding people and organizations change when they are the most successful), and most importantly, in a transformative change, our past success is not a valid indicator of future success. In fact, our past success may be our greatest obstacle.

Mistake #7: *Forgetting to negotiate the new "compact" between employers and employees.* The result was that people knew what they were losing, but didn't have a clear picture of what to expect in its place.

Lesson Learned: A new kind of relationship, grounded in mutual trust and respect, is emerging between employers and employees. This new compact is developed out of realistic expectations on both sides. It attempts to align the interests of the organization with those of its employees, to share both the risks and rewards of doing business. As leaner companies rely on fewer employees to shoulder more of the work, the developing relationship between company and worker is changing from paternalism to partnership. Companies owe it to their work force to aggressively pursue new ideas, products, services, markets, and customers. Employees expect to be treated and compensated fairly, to develop professionally, and to have meaningful, challenging work. In return, employees owe the organization their willingness to participate in personal growth, idea development, customer service, and organizational transformation. Balancing the employee-employer compact is not a matter of adding more items to one side of the balance sheet or eliminating some from the other side. Increasingly, it is a matter of finding items that are of value to both the employer and the employee.

Mistake #8: *Believing that change-communication was what employees heard or read from corporate headquarters.*

So we focused our attention on speeches, newsletters, videos, and email -- only to find out that, from an employee's perspective, the kind of communication that impacts behavior is 10 percent "traditional" vehicles, 45 percent organizational   structure (whatever punishes or rewards) and 45 percent management behavior.

Lesson Learned: A communication strategy that is not congruent with organizational systems and the actions of leadership is useless. Corporate leaders are beginning to learn the importance of behavior-based communication as a requirement for leading discontinuous change. Organizations send two concurrent sets of messages about change. One set of messages goes through formal channels of communications -- speeches, newsletters, corporate videos, values statements, and so forth. The other set of messages is "delivered" informally through a combination of "off the record" remarks and daily activities. For today's skeptical employee audience, rhetoric without action quickly disintegrates into empty slogans and company propaganda. In the words of Sue Swenson, CEO of Cricket Communications, "What you do in the hallway is more powerful than anything you say in the meeting room."

Mistake #9: *Underestimating human potential.*

And when we underestimated potential, we wasted it. This was our worst mistake.

Lesson Learned: Trust in the innate intelligence, capability, and creativity of your employees -- and people will astound you. In the Industrial Age, companies squandered immense amounts of human potential on mindless, repetitive tasks and meaningless paper work. It never occurred to leaders in those days that their assembly-line workers had the know-how to go home and rebuild entire car engines, that their "lowly cashiers" easily negotiated complicated bank loans for their families, or that their "pretty little stenographers" were perfectly capable of chairing PTA meetings, managing household budgets, organizing charity drives, sitting on hospital committees or running complex volunteer organizations in their spare time. Today, in the post-industrial Information Age no company can afford to waste human capital so rashly. Every talent, every idea, every skill is

needed urgently if companies are to survive. The potential of the work force really is the company's greatest asset.

Leading and Managing Change

Managing change has become the "silver bullet" in seeking the final component of successfully managing strategy, process, people and culture. Few people will argue with this statement, but fewer still will say their organization does a good job at managing those changes. Managing change well is a continuous and ongoing combination of art and science that assures alignment of an organization's strategies, structures, and processes.

A growing number of agencies are undertaking the kinds of organizational changes needed to survive and prosper in today's environment. They are streamlining themselves and thereby becoming more nimble and responsive. They are involving employees in key decisions. They are taking initiative in innovating and managing change, rather than simply reacting to what has already happened.

Consider the following six practical aspects of any change process:

1. **Do No Harm** – Too often, and with the best of intentions, managers change on facet of the organization without regard for the whole system. All parts of an organization are connected directly or indirectly and tinkering with one component exerts tension on other parts.
2. **All Change Involves Personal Choice** – Change is more oftened resisted than supported because people rarely are given the chance to understand the reason for the change. No one bothers to explain to the "why." Few organizations spend time thinking about "What's in it for the employees?" That is, individuals must believe that it is in their own best interest to do things differently.
3. **The Relationship Between Change and Performance is Not Instantaneous** – As far as human beings are concerned, there is no such thing as instantaneous transformation. As a result, asking an organization to change (or telling the people in the organization to change) without giving them resources to do so is a fool's errand? "Turning the organization on a dime" or "pulling the organization through a knothole" are metaphors that do no justice to the process of change. Worse, such wrenching procedures can create cynical attitudes among employees. Change often involves time and opportunity to learn.
4. **Connect Change to Business Strategy** – Change for change sake is a recipe for failure. The notion of "If it is not 'broke,' break it and improve anyway" is a waste of scarce and valuable resources. Change should only be pursued in the context of a clear goal.
5. **Involvement Breeds Commitment** – Few principles in the management of change are as well documented or understood as the idea that involvement breeds commitment, yet organizations continue to ignore this principle. Managers who do not involve their workers in decisions that affect them run the risk of stalled change efforts. "But it takes too long," is the most common complaint and source of resistance to the involvement imperative. But what is the cost of failed implementation because you went too fast?
6. **Any Good Change Effort Results in Increased Capacity to Face Change in the Future**. It is one thing to "install" a change, but it is a quite different notion to implement change in such a way that the organization is more capable of managing change in the future.

Address and reduce the fear of change. Recognize that people will complain about change. It is just human nature. It is your job to identify whether people are **complaining for the sake of complaining or whether they have valid concerns.**

There are three levels at which people are involved in change:

1. Aware of;
2. Accepting of
3. Committed to

For change to be successful you need a lot of pigs (committed people)

➢ Have clear expectations – As you manage change in the workplace it is important to:
➢ Get people to think and act like owners of the change
➢ Involve employees (study groups, think tanks, etc.)
➢ Create a clear tomorrow
➢ Empower your people by rewarding the 'right' behavior

Staying on Top of the Change Process

Engaging workplace change can be an unpredictable experience because processes and people evolve in diverse ways as they undergo change. No two individuals will respond in exactly the same way to workplace changes. In the same way, identical changes implemented in multiple areas can produce distinctly different outcomes.

These tips from Dale Carnegie show you how to stay on top of the change engagement process by thoroughly preparing for it, while allowing for various outcomes. These tips allow you to take a structured approach to organizational change and still maintain flexibility.

1. **Motivation for Change** – Change begins at the point where the organization finds a motivation for change. Sometimes external issues drive the change and other times, internal forces drive the change.
2. **Analyze the Situation** – As the organization becomes progressively more motivated to change, leadership undertakes a thorough analysis of the risks and opportunities associated with proposed change.
   * What are the potential gains in undertaking the change?
   * What are the costs?
   * What are the risks of making the change?
   * What are the risks of not making the change?
3. **Plan the Direction** – Once an organization determines that opportunities outweigh the risks of making the change, it develops a plan for change implementation. Many organizational change initiatives fail because of lack of careful, thorough planning. In this step, the stage is set for the ultimate success or failure of the change. Key elements of the plan must include:
   * Planning for the impact of the change on individuals who will be most affected
   * Planning for the impact of the change on the systems within the organization that will be most affected
   * A step-by-step plan for integrating the change into the organization
   * A review plan to measure the success of the proposed change
4. **Implement the Change** – Depending on the type and scope of the change, implementation within the organization may be gradual or abrupt. The team's most critical role in this step of the change process is to maintain open, honest lines of communication with each other.
   * Define individual responsibilities
   * Announce and launch the change
   * Adhere to timetables
   * Promote the anticipated benefits of the change.

5. **Review the Direction** – Once the change has been implemented in the organization, you should monitor the outcomes of the change. As team members in a changing work environment, you cannot assume that the change will evolve exactly as planned or that every individual affected by the change will react as anticipated. Your role is to observe review checkpoints that will reveal whether the change is working as anticipated and is producing the desired results.
   - Establish ways of measuring results
   - Communicate criteria for successful change outcomes
   - Coordinate the gathering and measuring o change effects
   - Inform key team members consistently during the review process
6. **Adopt** – When you have reviewed the change implementation and found it to be succeeding as planned, the organization adopts the change and it becomes part of the new organizational norm. The review process if not terminated, but it transitions to the ongoing monitoring of the changed within the organization.
   - How well is the change meeting planned outcomes?
   - How well have you adjusted to the new status quo?
   - What aspects of the change have not met expectations?
   - What is your role in making those aspects more successful?
7. **Adjust** – If the review process concluded that the change is not working as planned, you should adjust the change implementation. Assuming that the organization executed the change analysis and plan accurately, you should be able to adjust the implementation of the organizational change to achieve your desired results.
   - Determine where the outcomes are falling short of your plan.
   - Engage key individuals in determining adjustments that need to be made
   - Keep the lines of communication open with everyone involved
   - Make adjustments to the review process and to the change implementation

17 Ways To Survive Your Company's Reorganization, Takeover, Downsizing, or Other Major Change.

By Morton C. Orman, M.D.

Many companies today are under intense economic pressure. Reorganizations, takeovers, mergers, downsizings, joint ventures, and other major changes are extremely common, as companies try to grow and survive.

These changes present new challenges and demands for everyone, from the C.E.O to the telephone receptionist. All members of the organization must therefore learn to cope with change or suffer consequences.

When change is not handled well, additional loss of jobs can occur. In addition, demoralization of the work force; increased worker turnover; decreased cooperation and teamwork; and increased levels of stress, anxiety, absenteeism, illness, and mistakes can follow.

The purpose of this Special Report is to highlight eighteen principles that are useful for coping with organizational change. While all eighteen of these principles may not apply to your situation, please read through the entire list to find those that do appeal to you.

1. BE PREPARED FOR CHANGE
Change is--and always has been--an inevitable part of life. In today's climate, however, the pace of change has definitely increased.

Since most people normally hate to go through change, you can easily understand how today's pace of change can be stressful for many employees.

Most of us prefer established routines. We like to feel secure, stable, and familiar with our responsibilities. The one thing we hate most is uncertainty--uncertainty about our jobs, our future, our status in the organization, the role we are expected to play, and what other changes might be coming down the pike.

Thus, instead of fearing change, resisting it, or hoping it won't ever happen to you, it's much better to prepare yourself mentally for the inevitable changes that are likely to occur.

Start today by imagining how you could cope with sudden, massive change. Think about likely scenarios and then brainstorm, on your own or with others, about how you might best respond.

Assume that the "rug could get pulled from beneath you" at any time. Then, if this happens, you won't be caught off guard. You'll already be psychologically and emotionally ready.

If the changes never come, you'll still be better off. Having prepared yourself in advance will enable you to feel much more confident and secure in your normal day- to-day activities.

2.   EXPRESS SADNESS, LOSS, ANXIETY ABOUT THE FUTURE

When change does occur, don't pretend it isn't painful. Yes, change can bring new opportunities for personal growth, accomplishment, and organizational success. But it also causes feelings of sadness, loss, and anxiety about the future. These are normal human responses.

When people get laid off or fired, everybody hurts. We feel for our friends and coworkers. We empathize with their pain, anger, and sadness. In fact, we may have our own similar feelings to deal with, as new demands and responsibilities suddenly come our way.

When people get promoted, when organizational relationships change, or when our own job responsibilities become altered, there is a normal reaction of sadness, anxiety, and loss.

One of the worst things you can do when this happens is to pretend everything is "just fine." Even if you agree intellectually that the changes are necessary, emotionally you still may have some painful, negative reactions to deal with.

Unfortunately, today's business culture has little regard for honest human emotions. Expressing or even acknowledging negative feelings is considered "inappropriate." Workers are expected to be upbeat, positive, and "team players" all the time. While this is a laudable goal, there should also be room for people to express heart-felt negativity as well.

Truly enlightened business leaders know this. During times of significant change, they actively solicit negative feelings from their workers. They know that denying these feelings or trying to suppress their expression will only make things worse.

3.   WATCH OUT FOR UNREALISTIC EXPECTATIONS

Unrealistic expectations can be a tremendous source of stress and unnecessary suffering. Unfortunately, when organizations undergo downsizings, restructurings, or other major changes, a whole host of unhealthy, unreasonable expectations frequently arise.

Upper management may expect, for example, that increased productivity will quickly occur, even though the work force has been seriously reduced. Or, management may expect they can impose any changes they want, without considering how employees feel about them.

Employees, on the other hand, might expect that management should always act in a caring and compassionate manner. They might expect better communication from company leaders; more sensitivity to their feelings and needs; or more respect for their health, well-being, and family responsibilities.

While all of these things may be important for good employer-employee relationships, to expect them to be forthcoming from management (without encouragement from the rank-and-file) is to invite disappointment, resentment, and low morale.

4. DON'T LET YOURSELF OR OTHERS BE ABUSED

During times of change, it is common to let yourself and others be easily abused. When workers have been fired or laid off, there is a natural tendency to wonder if you might be next. This climate of fear might prevent you from speaking up forcefully when excessive or unreasonable demands are placed upon you. Anxiety quickly spreads throughout the entire workforce, making it even more difficult to obtain support for questioning unreasonable company policies.

But sometimes, questioning policies is healthy and appropriate. If you feel that you or fellow workers are being unfairly abused, try to tactfully broach this subject with your immediate superiors. Try to do this in a way that isn't offensive or that doesn't make you appear to be lazy, uncooperative, or unwilling to do your share. Yes, there is always a risk when you make such a move. You could easily get fired or be branded as a troublemaker. But if you truly have your company's interests at heart, you may be able to negotiate a more fair and humane work environment for all concerned.

After all, if the remaining workforce is angry and demoralized, how could this possibly be good?

5. ACKNOWLEDGE ANY INCREASED PRESSURES, DEMANDS, OR WORKLOADS

One of the biggest mistakes most companies make when they downsize or restructure is they fail to acknowledge the increased pressures, demands, and workloads that temporarily fall upon remaining employees.

Sometimes, retained workers are asked to do the work of two or three individuals with little appreciation or acknowledgement. Their salaries are not increased commensurately or perhaps even at all. The resources made available to them are often very lean or nonexistent. While at the very same time, the demands on their productivity might be significantly increased!

All of this could occur without even a word of thanks or gratitude from the company leaders who ultimately benefit from such an arrangement.

Whether your company realizes how short-sighted this failure of recognition is, you don't have to compound this mistake. Be sure to regularly acknowledge to yourself and to your coworkers if your responsibilities have been substantially increased. While it may take time for you to successfully readjust, always strive to acknowledge whatever is true for you at the moment.

Discuss your feelings with your family, friends, and loved ones. Consider discussing them with your superiors, if you think this would be appropriate. Just don't make the mistake of suppressing your feelings, denying them, or pretending they aren't really there.

6. PROTECT YOUR LEISURE TIME

When companies undergo change, there is usually plenty of extra work to be done. Suddenly, people begin working through their lunch times. They can't find time to play golf, take a vacation, or even travel to their local fitness club. They begin to come home later and later in the evening, and they often find themselves back in the office on weekends and holidays.

This is a very dangerous pattern to fall into. It can easily grow into a generally accepted mentality. Remember, just because everybody else in your organization starts acting insane, you don't have to go along.

Fight against this common trend by protecting your leisure time, as best you can. Realize that during times of change and increased stress, it's actually more important to get away from your job and have some time each day for yourself. That way, you'll be refreshed, energetic, and much more productive than all those people who spend all their time on the job.

7.   DON'T IGNORE YOUR FAMILY

In addition to maintaining time for yourself, it's also important not to forget your family. Spouses, children, and other family members can be excellent sources of emotional support when times are tough at work. But they won't be in a very loving or supportive mood, if all you do is neglect them in favor of your job.

Sure work often takes priority, but you family should be elevated to an equal priority as well. If you put too much emphasis on just one of these areas, and neglect the other, you're eventually going to find yourself in trouble.

8.   DON'T TURN TO ALCOHOL, DRUGS, FOOD OR OTHER CHEMICAL COPING STRATEGIES

During times of increased stress, people often look for rapid and easy means of symptom relief. Headaches, muscle aches, nervousness, irritability, and sleep disturbances can all be very disturbing.

Please avoid the temptation to use alcohol, drugs, or other chemical coping methods to obtain relief from these common symptoms. Also watch out for tendencies to overeat, skip meals, or drastically alter your diet in response to increased pressures or an expanded work load.

While most of these coping strategies can make you feel better in the short run, they each have serious (sometimes even fatal) long-term consequences.

It's always better to use natural, non-chemical coping methods. Try to exercise more, communicate more, and set time aside each day to relax. Don't deprive your body of sleep or proper nutrition. You'll need both of these to cope with the many new demands that you might face.

If your symptoms don't respond to these natural measures, or if you feel yourself turning toward alcohol, drugs, or other harmful behaviors, DON'T GIVE IN. Pick up the phone and make an appointment with your doctor or other trusted health professional. Be totally honest about your problems and listen carefully to what they recommend. If you don't have a family doctor, get one. Whatever you do, don't succumb to taking the easy way out.

9.   REMAIN UPBEAT AND POSITIVE

Even though you may be feeling stressed, angry, or scared about your future, you still need to remain upbeat and positive in most things you do. When organizations change, the climate should remain positive, even though individual members of the organization may be having all sorts of negative or uncertain feelings.

I know this sounds contradictory, but it's not. Acknowledging any negative feelings you might be harboring actually improves your ability to remain upbeat and optimistic! When you're willing to look at all sides of your company's reorganization or change, your ability to notice the positives, as well as the negatives, improves. Then you can choose to focus on the positives, rather than dwell on the negatives.

Please be clear about this very important point. I am not saying you should "pretend" you are upbeat when you are really feeling down. What I am saying is that if you force yourself to tell the whole truth, you'll see both the positive and negative aspects of any major change. This expanded perspective alone will almost always help you feel more positive and upbeat, without having to deny your feelings to the contrary.

You can then use your powers as a creative human being to focus on just the positives (and help others in your organization to do the same) because you know from past experiences that this is a wise thing to do.

If a few key people in each organization or department take on this role as a positive emotional leader, it will quickly spread to other employees as well. If nobody steps forward to remind people of the truth, it's easy for company employees to remain stuck in a chronic state of negativity.

10. GET CREATIVE
One of the best ways to cope with organizational change is to "rev up" your natural powers for creative intervention.

Most problems are amenable to creative, innovative solutions. The only thing that usually keeps these solutions from arising is our own internal barriers and self- imposed restrictions.

Creative problem solving always involves risks. Proposing a new idea invites criticism from others. What if the idea fails? What if business losses occur? What if things end up worse than before?

You've got to be willing to accept such risks if you're going to be free to think creatively. Trust yourself and others around you to recognize any really horrible idea before it gets implemented. Then give yourself permission to swing out and think creatively--allowing any and all ideas to come to mind. Many companies have regular "brainstorming" sessions for just this purpose. During times of reorganization and change, these creative sessions are very important. Time should be set aside to make them a common occurrence.

11. EXPAND YOUR VALUE
When times get tough and people are being laid off, remaining workers become very fearful. Instead of worrying or losing sleep over the possibility you might be let go, why don't you go into action and stack the deck in your favor.

How? Very simple. Just make yourself incredibly valuable to your company. Offer to take charge of some problem or project that isn't working. Contribute creative ideas to appropriate people in the chain of command. Become very interested in the problems your boss and company owners are facing, and see how you can help them out. Stop worrying about yourself and your future and get busy helping your company grow and prosper.

What's the worst that can happen? You might still might lose your job, but look at the bright side. You can take all that energy, drive, commitment, and creativity to your next place of employment.

Who wouldn't be delighted to find an employee like that? It's a win-win situation for you, no matter what happens.

NOTE: Give serious thought to using this strategy even if times aren't tough and your company isn't downsizing. Then, when the first wave of employee cut backs occurs, hopefully you won't be among those let go.

12. CELEBRATE YOUR ACCOMPLISHMENTS
In the world today, most people tend to focus primarily on problems, mistakes, and obstacles to future agency goals. We rarely take time to celebrate our accomplishments.

Do we take time to celebrate the tremendous effort everyone is putting in? You'd be surprised how much of a difference this can make. You don't have to spend a lot of money or hold a gala event. You can have small, spontaneous celebrations any time you choose.

If you are creative, you can find all sorts of ways to acknowledge and uplift your co-workers. You could even throw a "party" every once in a while to celebrate and acknowledge your boss!

13. IMPROVE LINES OF COMMUNICATION
In general, the more "crazy" and chaotic your work situation becomes, the more you need good lines of communication. In fact, much of this "craziness" is directly caused by ineffective communication.

Everyone must communicate more actively when organizations undergo change. This includes the boss, the CEO, and even the Board of Directors. It also includes middle managers, clerical staff, and other agents and employees.

More meetings, not fewer, will probably be needed. When employees and managers are nervous, worried, and pressured, they have increased information needs. They deserve to know what's really going on and what is being planned for the future. If you don't supply these answers to them, they will make up ones on their own. Often, they will imagine the worst, when in fact, there may be very good reasons for hope and optimism.

Evaluate your organization's communications needs and game plan. Talk to employees to see what communication they needs have. Find out what forms of communication they would find most helpful. Above all, realize how important and necessary good communication is in coping with the stress of major organizational change. But make sure communications are honest, sincere, respectful, and open- ended.

14. BECOME MORE EFFICIENT

In addition to increasing your value to the company, you'll need to find ways to become more efficient. As organizations change and evolve over time, improvements in efficiency almost always coincide.

After all, if you're going to take a leadership role, if you're going to handle bigger responsibilities, and if, at the same time, you're going to look for added ways to increase your value to your company, you are going to have to get more efficient or suffer a nervous breakdown.

Fortunately, efficiency can be learned. There's an almost endless capacity for human beings to improve upon the way they do things. Whoever said "necessity is the mother of invention" spoke the truth. When you have so much work to do that you can't handle it anymore by using your present strategies and routines, you will quickly become an innovator.

15. LEARN FROM THE EXPERIENCES OF OTHERS

Two very common mistakes people make when undergoing organizational change are: 1) they try to cope on their own; and 2) they fail to benefit from the experiences of others.

With the rapid pace of organizational change today, thousands of people have faced circumstances similar to yours. Some of your friends, relatives, and other acquaintances have probably struggled with similar difficulties.

Talk to these experienced people. Pick their brains. Find out what other people in similar companies are doing to deal with downsizings or expansions. Read books and articles. Listen to audiotapes on coping with organizational change. Attend lectures and workshops given by prominent people locally or around the country.

Get involved. Get creative. Learn from others' mistakes and successful solutions. Don't just sit there and suffer quietly. Reach out for support and you will eventually find it.

16. RISE TO THE CHALLENGE

Instead of viewing your particular situation as a problem, see if you can view it as an exciting challenge instead. Remember, change is inevitable, but being stressed by change is not. It all depends on how you look at change and how you choose to respond to it.

In every organization undergoing change, some people rise to the challenge, while others don't and get left behind. Which group do you want to be in? Think about it seriously. You've got the power and ability to end up in either one.

17. NEVER BECOME COMPLACENT

Once you've survived and successfully adjusted to a major organizational change, avoid the trap of becoming complacent. Future changes will probably occur, and you should be prepared for them--emotionally, physically, and also financially.

Keep developing your skills and enhancing your value to the company. Learn to do as many jobs as you can. Take on a leadership role in having your agency be successful. Take pride in helping others below you. And always let your superiors know you are ready and willing to help out whenever the need might arise.

Changes, Challenges, and Choices

There is not doubt that these are challenging times for our state and city governments and for those who work in it. Did you ever notice how some folks eagerly take on new changes, challenges, and choices while others seem to back out, hide out, and burn out during the same times? Research shows that the difference between those who thrive and those who "dive" often depends on three characteristics: **commitment, control, and challenge**.

Those with a sense of **commitment** are first knowledgeable and aware of who they are, what they believe in, and what goals they have. They are able to articulate these and willing to change them based on new insights. Second, they live their life in congruence with their goals and beliefs. In short, they do what they believe and believe in what they do.

The characteristic of **control** is defined by the ability to realize that there are some things we have control over and some things we do not. Those who thrive are able to focus their energy on those things they do have control over rather than futilely trying to change things they have no control over. "Circle of Influence vs. Circle of Concern"

The third characteristic, **challenge**, is exemplified by those who possess a certain level of vigor, a willingness to learn and try new things, an ability to work through problems, a knack of finding alternative solutions, and an understanding that "If I fail in what I do, I have not failed in who I am."

For a sense of challenge we need to cultivate professional "special friends." We all have one or two special friends in our personal lives with whom we can be perfectly honest and from whom we can get honest feedback. They help us learn about ourselves and become more self-aware. We need to do the same in our professional lives - if not with one special friend, then with a professional support group.

Each day, each week, each month we need to take a brief timeout - a sort of "stretch break" - with the purpose of evaluating how our current activities jive with our current goals. Doing so gives a change to redirect our activities and be better able to fell that what we are doing is congruence with what we believe or what we have set for goals.

If we want to have a better sense of control, then we also need to have a better sense of humor. Humor helps us physiologically, psychologically, and emotionally. We can maintain our sense of humor by seeking out others who have a sense of humor. We can force ourselves to do those things which, at the moment we may not feel like doing, but nonetheless, we know we will enjoy. The responsibility to keep the humor batteries charged is ours.

We can maintain a better perception of control by maintaining a better sense of perspective. It is tempting to try and convince ourselves and others that the trying times or issues we are facing are the most catastrophic. Yet, by doing so, we cause ourselves to feel powerless to deal with them. We need to ask ourselves how awful the current situation is compared to how awful it could be. We have much more control than we realize we do. The key is to use it. We can feel as controlled by our own habits, rituals, routines, etc. as we can by any outside force, yet we have complete control over these. Either use the control or lose the control.

To maintain a sense of challenge we need to maintain our creativity, for creative people cope with trying times and change more successfully. We can give ourselves permission to be creative and seek out those who are creative in order to produce a synergistic effect as we build off each other's creativity. By constantly looking for alternatives verses a single "magic" answer we can learn to think of myriad of things we could do instead of merely the one thing we "should" do. Maintaining a sense of challenge includes a willingness to take risks. We need to practice the skill of risk taking like we do any other skill. Doing so teaches us that the world will not end should we not be completely successful, and when we do succeed that the perceived "danger" is often much greater than the actual danger.

Finally, we can help maintain our sense of challenge by continuing to learn. Learning is a naturally invigorating experience. It allows us to experience people, places, events, etc. that we have never experienced before.

It is said that mental health is not the absence of problems, but rather the ability to deal with problems. The same holds during these times in state/county/city government. Being able to continue coping as individuals and as a government means being able to:

1. Maintain a sense of commitment to who we are and what we are doing;
2. Maintain a perception of control verses the misperception that we are being controlled; and
3. Foster the characteristic of challenge and vigorousness rather than clinging to the status quo

Remember, without change we grow stagnant. Embrace change

The Handwriting on the Wall

Change Happens

Anticipate Change

Monitor Change

Adapt to Change Quickly

Enjoy Change

Be ready to change again quickly and enjoy it again & again

The Stress of Organizational Change

Mistake # 1: Expect someone else to reduce your change stress.

- Put yourself in charge of managing the pressure of change.

Mistake # 2: Decide not to change

- The organization is going to change – it must – if it is to survive.
- Invest your energy in making quick adjustments

Mistake #3: Act like a victim

- Accept fate, and move on
- Do not yield to the seductive pull of self-pity

Mistake # 4: Try to play a new game by the old rules

- Study the situation intently
- Figure out how the game has changed, how priorities have been reordered.

Mistake # 5: Shoot for a low-stress work setting

- Do not fall into the trap of believing there is such a thing as a low-stress organization

Mistake # 6: Try to control the uncontrollable

- Ask yourself does the struggle make sense
- Stay in your circle of influence not your circle of concern

Mistake # 7: Choose your own pace of change

- March to the cadence that is being called by the people in charge

Mistake # 8: Fail to abandon the expendable

- Reengineer your job. Eliminate unnecessary steps

Mistake # 9: Slow down

- Speed up. Cover more ground

Mistake # 10: Be afraid of the future

- Now is the time for serious mind control
- The best insurance for tomorrow is to make the most productive use of today

Mistake # 11: Pick the wrong battles

- Pick battle big enough to matter, small enough to win

Mistake # 12: Psychologically unplug from your job

- Fall in love with your job and keep the romance alive
- Do not let the stress of change drive a wedge between you and your work

Mistake #13: Avoid new assignments

- Stretch yourself today so you will be in better shape tomorrow
- Reach for new assignments that broaden your experience base

Mistake # 14: Try to eliminate uncertainty and instability

- Develop a greater tolerance for constant changes in the game plan

Mistake # 15: Assume "Caring Management" should keep you comfortable

- High stress and heavy pressure may provide the best proof that management's heart is in the right place.

Take personal responsibility for managing the stress you feel regarding change

CHANGE MANAGEMENT MATRIX

Plot in each column where the organization stands and then try to make progress by moving up the matrix in a straight horizontal line, targeting the weaker areas first.

Awareness ⟹ *Interest* ⟹ *Desire* ⟹ *Action*

Pressure for change	Clear shared vision	Capacity (resources)	Action (and performance)
3 Policy and action plan in place Regular reviews Active commitment from top management	3 High level of awareness and support at all levels Staff highly motivated	3 Resources (staff and funding) routinely committed Cost savings re-invested for further improvements	3 Action being taken and embedded throughout the organization Monitoring and reporting of progress
2 Policy agreed and communicated to all staff	2 Representatives from all levels of management chain involved in planning process and drawing up action plan(s) All staff given opportunity to make an input	2 Key staff working on plans and projects. Staffing and funding needs identified and resources becoming available	2 Wider engagement across the organization 'Low-cost' and more 'no-cost' measures implemented
1 Board level "champion" appointed Drafting of policy	1 Key and supportive staff identified for assisting in drafting policy, taking action, and driving the process	1 "Champion" appointed at middle management level (to support the Board's "Champion"). Training & development needs assessment	1 Commencement of action at some levels of the organization. Some 'no-cost' measures implemented
0 No explicit policy 'Business as usual', no forward planning Lack of consistent leadership & responsibility (buck passing)	0 De-motivated staff kept in the dark No communication. General mistrust	0 No investment. High stress levels in over-worked and under-valued staff No training & development	0 Zero action (or limited to crisis management)

Police Leadership Challenges in a Changing World

Anthony W. Batts, Sean Michael Smoot and Ellen Scrivner

Introduction

Effective police leaders become adept at responding to challenge. Like other organizations, police agencies must balance constancy and predictability with adaptation and change. Even as they strive to standardize operations, most police leaders recognize the fluid context in which their agencies operate. They also understand that there are forces to which police organizations must adapt and evolve in order to remain effective in a changing world. It is those forces that drive organizational change and create new models for conducting the business of policing.

Several of the papers written in conjunction with the Executive Session on Policing confront these forces for change. Bayley and Nixon (2010) describe "the changing environment" for policing, including the rise of terrorism, new patterns of immigration, and increased accountability for police. Gascón and Foglesong (2010) describe the new budget realities that shape police agencies and challenge the premise of public policing. Other papers confront the changing dynamic between the police and research (Weisburd and Neyroud, 2011; Sparrow, 2011) and the idea

of a "new" police professionalism to respond to changes in the context for policing today (Stone and Travis, 2011; Sklansky, 2011).

This paper builds on the discussion of forces for change in police organizations. Our central thesis is that policing, like other industries, faces an urgent need for a new way of managing and leading police agencies that is being driven by two interdependent shifts in the world of work: the rise of a "new generation" of police officers; and significant opportunities — and challenges — in the availability of new technology. These two factors are linked to other changes within the broader context of policing, such as globalization, heightened budget concerns, the changing nature of crime, and the other forces that bear on the work of policing. By focusing our attention on these two key related changes in the work and management of policing, we hope to shed light on the broader challenges that confront police leaders and police organizations.

Beginning with a brief review of the rise of the traditional organizational model, we examine the new generation of "contemporary employees" and the related use of emerging technology that is integral to the lives of this new generation. We examine their impacts on multigenerational police organizations and conclude with lessons from other management fields as well as suggestions for preparing police leaders to confront the

challenges of a changing world within the police environment.

The Growing Irrelevance of Traditional Organizational Models

The way in which many police leaders manage is linked to the way police agencies are organized. Like most modern work structures, police agencies trace their roots to the first industrial revolution and the industrial organizations that were the foundation of manufacturing industries. Platoons of officers, organized under shift sergeants with a command staff above them, bear a striking resemblance to industrial manufacturing plants and the organization of work on the shop floor. Even the rise of police unions parallels the rise of industrial trade unions, shop stewards and organized labor in other industries. Like the auto assembly plants of Henry Ford, traditional police agencies are characterized by a hierarchical authority structure that clearly distinguishes decision-makers from line staff, emphasizes adherence to principles of structure over flexibility, and prizes uniform operations and interchangeability across staff positions.

Police organizations are further constrained by their reliance on a paramilitary model (Geller and Swanger, 1995) that does not adapt well to external demands for change or accountability. Police unions add to this mix of outdated priorities through work rules and contractual requirements that can be unyielding. Thus, despite substantial gains by police in crime fighting, there is still a widespread tendency to adhere to outdated and ineffective management practices. For example,

even the way a department's overall effectiveness is traditionally measured and tracked — typically some aspect of response time or fulfillment of calls for service — lacks relevance to current expectations of and for police.

As police agencies continued to incorporate the management models of the industrial age, the world of work began to shift away from these models. Starting in the late 20th century, driven in part by the need to compete in a global economy, manufacturing organizations have increasingly abandoned the traditional industrial work model and have sought new work structures that maximize efficiency (and profitability) and provide a more flexible structure that is less shackled to antiquated notions of work and management. Capitalizing on a 21st century workforce with skills and expectations that are as novel as the manufactured goods they produce, these new management models pay less tribute to the bureaucratic hierarchy of the old industrial plant and more attention to the inclusion of workers in a broader range of operations and policies. Senge and colleagues (2008) frame this transition as realistically questioning the wisdom of protecting the ways of the past in contrast to creating a different future.

As business and industry have moved away from older industrial systems built on hierarchies, traditions, and formal rules and procedures better suited to another era, police agencies in the 21st century are in need of a similar revolution in their organization, leadership and management models. Two sweeping changes serve as primary drivers for this revolution in policing: the new generation of

police officers and an expanded use of technology innovations.

New Generation Officers and Technology Innovations: Drivers of Change in Policing

New Generation Police Officers — Contemporary Employees

Popular literature describes generational cohorts in different ways. Although there tends to be general agreement on the Baby Boomer cohort, labels applied to younger cohorts vary from Generation X and Generation Y to Millennials, Gamers or the Net Generation. Given that all of these cohorts may exist simultaneously within a police department, in this paper, we elected to use the term "contemporary employee" as a way to capture distinctions between this latest generation of officers and all those in the organization who preceded them. Those who hire, train, supervise, manage and lead them comprise the established organization of the police agency made of a mix of earlier generations. Together, these earlier generations have blended fairly successfully within the traditional industrial style of police organizations. Not so the generation of contemporary employees.

Beck and Wade (2004) and Hicks and Hicks (1999) describe contemporary employees as conscientious, unselfish and independent in their thinking while also more tolerant of differences than those of other generations. In contrast to descriptions suggesting that contemporary employees are self-centered with a sense of entitlement, Alsop (2008) describes them as altruistic, wanting to make the world a better place, and interested in making a positive impact in their world. He also characterizes them

as highly collaborative, team-oriented, and as having a "hands on" attitude, wanting to be involved and wanting to "give back." Some of their strongest skill sets include the abilities to multitask, articulate career values, understand the capacities of technology and appreciate diversity as strength. We also examined studies from the Pew Research Center (2007) whose findings demonstrate that groups born in the 1980s and early 1990s are more accepting than their elders of issues such as affirmative action, immigration and the appropriate scope of government, as well as far more supportive of an ethnically diverse workforce and responsive to concerns of diverse communities. We see these characteristics as extremely desirable for police officers but the challenge is whether current police organizations can capitalize on these attributes.

Despite desirable attributes, both research and practice describe contemporary employees as often lacking certain essential work attributes. For instance, they may need help with focusing on single issues and seeing projects through to the end. As such, they are strong candidates for mentoring, coaching and training to help them see and reinforce how their place in the organization can help meet their personal goals and objectives. In this regard, meeting their early work development needs will require approaches that are quite different from those of their multigenerational supervisors. Yet, the supervisory group will be key to retaining this younger cohort in the organization by creating a work environment that allows their attributes to flourish. Their retention will be important to the stability of the organization and to future organizational leadership.

Beyond differences in personal characteristics, the contemporary employee also brings lifestyle changes to the workplace that may conflict with traditional law enforcement practices and present challenges to the commitment to 24-7 public safety coverage. These changes include: placing a greater value on balancing work and family, experiencing comfort with questioning authority and challenging the traditional chain of command, demanding ongoing performance feedback, expecting transparency and timely outcome measures that show what is working, and relying on instant feedback from electronic communication and social networking. All these set contemporary employees apart from those who have long subscribed to, or accepted, the paramilitary organizational model and a lifestyle that prioritized work over other elements of their lives.

One way this dynamic can be observed is in the context of collective bargaining. Both unions and managers face a new prioritization of issues and demands based upon the desires of today's younger workforce. Rather than emphasizing the traditional "meat and potatoes" bargaining issue of wages, public safety collective bargaining agreements now often hinge on issues that relate to scheduling, hours of work and overtime. For example, the most recent labor agreements between the city of Chicago and its police unions hinged on the adoption of new scheduling language that incorporated both 10-hour workday

and 8.5-hour workday provisions (Rozas, 2008).[1] Similarly, one of the most contentious issues in public safety bargaining across the country has recently become whether, and to what extent, police officers will be compensated for overtime work with time off in lieu of cash. Within the limited context of this issue, a strong difference can be observed between more senior employees' preference for pay versus younger employees' desire to be compensated with time off instead of cash. Further, in response to younger officers' demands for some, if not greater, control over their work schedules some departments have adopted "flexible time" scheduling. Such a concept was unheard of in American policing even 10 years ago.

As would be expected, this new generation differs considerably from those in the ranks at the time of previous Executive Sessions. Whereas we accept that other generations brought new challenges to their organizations, the challenges today seem to be reverberating throughout the private and public sectors, and even the federal government is feeling the impact. Rein (2010) writes that almost one in three new federal workers being hired is 29 years of age or younger and is part of the texting generation. Government personnel specialists see these younger workers

as questioning the status quo and reshaping the bureaucracy. They seek to make a difference and to help the government do better, citing response to disasters as but one example.

The full impact of contemporary employees currently remains uncertain and is a topic ripe for research. However, it is clear that they present challenges to police leadership that raise questions as to their influence. Will the new generation, like those before it, need to change in order to fit into the prevailing police culture, or will the traditional structure and the culture of policing need to change? Within that context, does the new generation of contemporary employees present a crisis for policing or an opportunity for fundamental change?

Driver of Change — Technology Innovations

We identify the second primary driver of change in policing as the rise of technology and its influences on organizational behavior, crime trends, individual work behavior and personal life styles. Beyond trends in the economy and shifts in industrial management, changes in American policing are further embedded in social transitions that have been facilitated by innovations in technology. Some examples are seen in the closures of certain types of businesses such as bookstores, record stores, and camera shops; failures of major newspaper companies; and the significant downsizing of U.S. Postal Service operations — all reflecting changes in communication brought about by technology. Other changes have become familiar symbols of modern life such as social media, instant messaging

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[1] See Chicago Police Directive E02-01, Work Day Duty Schedules, effective Jan. 6, 2011, which provides for three primary workday duty shifts for sworn officers, an 8.5-hour shift, a 9-hour shift, and a 10.5-hour shift. All shifts include 30 minutes for lunch. Available online: http://directives.chicagopolice.org/directives. See also *In the Matter of Arbitration Between the City of Chicago and Fraternal Order of Police, Chicago Lodge No. 7,* Case No. Arb. Ref. 09.281 (Interest Arbitration 2007 Agreement), April 16, 2010, pp. 137-146 (Memorandum of Understanding for Work Day Schedules, amended Nov. 13, 2009, effective Jan. 6, 2010).

and blogs, along with Twitter, YouTube, MySpace and Facebook. Conversely, the latter impact systems and present complications for police, as seen in the already strained broadband demands brought about by the marriage of cell phones, televisions, computers, and an inventory of hand-held, portable Web-connected devices that respond to desires for flexibility, speed, miniaturization and electronic efficiencies — trends that are becoming familiar constructs of modern society and embedding technological change into our way of life. But, we also see their influences in other trends such as the recent Occupy Movement activities in cities across the country.

Policing needs to be thinking about how to use these shifts to further its operational and organizational strategies and how to take advantage of the new skill sets brought to the workplace by the cohort of contemporary employees who are comfortable in the "tech" world that is revolutionizing the way people live and communicate. Already we are seeing some organizational changes, such as some police departments now conducting virtual rollcalls where officers obtain pre-shift briefing information via email or mobile data computers. This mode of information transfer, when offered as an alternative to an in-person rollcall, is often the choice of younger officers who are accustomed to, and in some cases more comfortable with, the tech-based mode of communication. But the "electronic" influence goes much further. For instance, three years ago the Los Angeles Police Protective League (LAPPL), the union for the Los Angeles Police Department's rank and file officers, pioneered a

Web-based communication system that enabled the union to hold "virtual" membership meetings. The LAPPL created its electronic communication system to engage its younger officers. Several other police organizations that are experiencing the challenge of engaging contemporary employees have followed suit. Other departments have assigned their contemporary employee officers to help manage social media for the department, a phenomenon which becomes even more critical at a time of large demonstrations and major events. Inevitably, departments are seeing the need to develop social media policies that govern the appropriate use of social media by the officers themselves. Creating the right balance of preserving evidence and information while protecting the rights of free speech is becoming a new challenge in many departments.

In the area of crime control, we again see change driven by technology. Internet crime, identity theft, and cyber influences on crimes such as fraud, stalking, bullying and child pornography represent one way that technology is influencing crime trends. Websites that offer ways to access police scanners through live audio feeds to cell phones, and social media used to agitate groups such as flash mobs represent others. Technology is also impacting changes in traditional street tactics and investigations, along with alterations in traditional crime control and prevention activities. For example, although street robberies may decline when people carry less cash, bank online, use debit cards, or buy and sell on websites such as Amazon and eBay, the increasing use of cell phones and other hand-held communications

and technological devices presents new targets for street robberies. On the upside, police departments are using their own media outlets to get information to the public about developing crime trends or to seek the public's assistance in solving a problem. Other major developments relate to property crime, which is reported to be decreasing because of these trends. The changes in the investigation of property crimes are particularly apparent in the use of cellular and GPS technology to track and recover stolen cars. In addition, the now familiar presence of surveillance cameras enhances the potential for identifying suspects in many types of crimes as well as their locations, which makes it more difficult for perpetrators of organized criminal activity to operate when they run a greater risk of detection. The converse is the evidence suggesting that future crime trends will demonstrate less localized crime and far greater incidence of crimes perpetrated by international organizations based in foreign countries such as Russia and China (Clarke and Knake, 2010).

As crime goes global, technology will be a primary driver in responding to issues that are far more complex than anything we see today. Accordingly, the generation of the contemporary employee may be central to understanding the changes needed to respond to the shifts we have outlined, shifts that will impact organizations, the nature of crime and work behavior. The most recent developments in technology have been an integral part of the lives of the generation of workers now entering policing. They bring with them a sophisticated understanding of how technology could enhance policing, communications and crime control. Their familiarity with technology may hold the promise of new, more effective strategies to combat an array of both old- and new-style crimes and to promote citizen engagement with the police. However, they could also create new demands on multigenerational police organizations and on police leaders. As drivers of change, the cohort of contemporary employees and the seemingly never ending ways to use technology will result in new ways to think about how police organizations function in a changing world.

Managing Drivers of Change in a Multigenerational Workforce

Many police executives and union leaders developed their careers in earlier times and were influenced by norms established by traditionalist and Baby Boomer cultures. Although these cohorts have initiated enormous change over the past 40 years and are not resistant to tactical and strategic change, tampering with age-old organizational structures, benchmarks for performance, or benefit and reward systems may be hard pills to swallow. Further, in contrast to the private sector, there is no financial incentive to drive changes to traditions. Because they have been trained and educated to survive in a society shaped by industrial markets, some police leaders may question the relevance, as well as the wisdom, of supporting change to fundamental organizational structures based on command and control or initiating practices that prioritize the needs of contemporary employees. Common themes noted when discussing contemporary

employees with multigenerational police managers include seeing the new generation as "whiners" who lack understanding of the business and have unrealistic expectations. Leaders often see more negatives than positives and ask whether they are simply babysitting kids who just need to grow up.

We acknowledge that similar comments have been made about previous generations of police officers. However, Harrison (2007) describes the gap between those in charge and those who follow as wider than it has ever been. As a police consultant, he calls on astute police executives to seek ways to bridge that gap and to learn flexibility. His thinking is consistent with what Sullivan (2004) refers to as "clash points" that result from applying traditional work standards to employees who have divergent viewpoints about autonomy and supervision. The focus of these discussions generally applies to new recruits, who are definitely different from those of yesteryear, but whose differences are further compounded by personal lifestyle changes as well as changes in the world around us. All present challenges that need to be considered in order to effect a successful transition to this new era.

Law enforcement has completed one successful transition through their response to the shrinking of quality applicant pools, and those efforts provide an apt illustration of the adage that crisis presents opportunity for change. Applicant shortages documented by Koper, Maguire and Moore (2001) spawned dramatic changes in police recruitment strategies including: use of cutting-edge advertising, marketing and branding new images of law enforcement as seen on

the International Association of Chiefs of Police (IACP) website, providing signing bonuses and financial assistance for relocation expenses, and the proliferation of a variety of Web-based recruiting inducements. Because recruiting a diverse, talented, appropriate future workforce has required new methods, some agencies are loosening rigid acceptance criteria and adopting the framework of a "whole person" approach to evaluating candidates (Scrivner, 2005). The next challenge will be to retain those hired in the system and to prevent their being driven away by rigid traditions and fixed structures.

Beliefs that current hiring challenges will diminish because of economic conditions and threats of job loss are becoming less common. Thus, law enforcement will need to maintain a focus not only on recruitment but also on how to retain a new generation of officers within a multigenerational environment. Profiles of contemporary employees sharply contrast with those of the generational cohorts who supervise and manage police departments and, based upon the authors' collective observation and experience, attempts to embed them in a culture that is out of step with their values and needs only tends to alienate them. There is a need to examine further how the police culture can adapt and become more agile while still responding to the ongoing challenges that accompany the expanding complexity of the local law enforcement portfolio. How can it meet demands for calls for service while still engaging the new generation to contribute their knowledge and accept different levels of responsibility? These are not easy tasks because of the

multigenerational differences in work ethic and the values endemic to the various generational cohorts that fill police ranks.

Profiling the Multigenerational Workforce

Distinctions of a multigenerational workforce are described in the following profiles of the American worker (1920-1990) (table 1). The profiles show a distinct contrast between earlier generations and contemporary employees.

The profiles suggest how respective values may play out in day-to-day functioning on the job. Although those represented in the traditional profile have long since retired, their ideas and pervasive influence remain embedded in many of the structural and operational parameters of

paramilitary public safety agencies. This influence is quite prevalent within police unions, which sometimes struggle to define their value to younger workers who enter the workforce with little, if any, historical perspective regarding wages, rights and working conditions. In fact, one of the greatest challenges facing police labor organizations today is recognizing the assumptions new members have (i.e., that they will receive fair pay, good working conditions and protective rights).

In comparing the generation of contemporary employees with those of the traditional and Baby Boomer groups in policing, it is clear that current generational issues involve more than absorbing new employees with different value systems and learning how to motivate them.[2] Rather, they affect the entire organization and

Table 1. Profile of American Workers (1920-1990)

Traditionalists: Parents born in the 1800s	Baby Boomers: Parents born in the early 1900s	Contemporary Employees: Parents born in the 1950s-1960s
• *Privacy* — The silent generation. • *Hard work* — Believed in paying your dues. • *Trust* — My word is my bond. • *Formality* — Formal organizational structure and formal values. • *Authority* — Respect for authority. • *Social order* — A belief in traditional class structure.	• *Hard work* — Value hard work; workaholics. • *Competitive* — Value peer competition. • *Change* — Thrive on possibilities. • *Teamwork* — Embrace working in social settings. • *Will fight* — They will fight for a cause.	• *Entrepreneurial spirit* — Invest in their personal development rather than that of the organization, yet have a service mentality. • *Independence and creativity* — Prefer self-management based on ongoing performance feedback framed as constructive criticism — how to do better in contrast to what you are doing wrong. • *Information* — They value lots of information and seek ongoing feedback. • *Quality of life* — Hard workers, but would rather find quicker, more efficient methods that give them time for a life outside of the job. • *Communication methods* — Social networks, emails, text messaging, short soundbites, and blogs are part of their day-to-day existence. • *Creativity* — Creative problem solvers but also see the value of analytic skills to bolster creativity. • *Skills* — Adaptable to change and computer literate, research focused, naturally inquisitive, and community oriented.

Sources: Rogler, 2002; Sullivan, 2004; Tulgan, 2000.

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[2] This point deserves a good deal of consideration within the context of retention, as contemporary employees tend to place greater emphasis on their individual families, friends and hobbies over work and give far more weight to their own professional development and career advancement than they place on organization or employer loyalty.

challenge those at all levels of supervision and management. Many of the new generation start their careers with higher levels of education than their superior officers, either by holding college degrees or meeting the requirement for two years of college now in place in many agencies. Certainly, top police executives are also better educated and have greater savvy in managing organizations and providing leadership than at any other time in our history. However, in many organizations first-line supervisors and mid-level managers, probably the most multigenerational group in the organization, have not kept educational pace with their superiors or subordinates. These middle managers often remain married to the paramilitary and command-and-control approaches with employees and can present significant barriers to change.

Consequently, as hiring processes and training academies begin to change to meet the needs of the new generation, supervision practices, movement within the organization, and leadership also will need to change. Those changes may be more challenging because they require not only change in practices but also a level of organizational flexibility that has not been part of the command-and-control model embedded in the American policing culture. Although significant progress has been made in police strategies and tactics, American policing still struggles with a 20th century assembly-line mentality that is dominated by command and control and a rules and procedure approach to performance. As such, organizational flexibility is often not considered an asset and may in fact be interpreted as disarray —an

easily understood anathema to most police commanders and their political bosses.

It may be easier for multigenerational managers to criticize characteristics and differences in work habits than to come up with constructive ideas on how to respond to the new generation of contemporary employees and the challenges they present. Criticisms that focus only on what is "wrong" may be short on facts and miss the point that contemporary employees bring a lot of what is "right" to the workforce. As such, their strengths need to be acknowledged, rather than trying to force them to adapt to a culture that worked for their predecessors but does not fit for them. In fact, that culture may no longer fit 21st century law enforcement practice or community and citizen expectations. Acknowledging strengths, however, may require first confronting existing perceptions.

A few examples of how perceptions can be altered come from participants of the Executive Session and other forums where the new generation was discussed. The following significant questions were framed as follows:

- Are they a generation that expects to be empowered and makes too many demands for information and feedback? Or, is it equally likely that they are seeking clarification of roles and responsibilities but in ways that are perceived as challenges that make supervisors uncomfortable?

- Do they want an easy, lucrative ride? Or, are they seeking meaningful work and the opportunity to advance?

- Are they risk averse and hesitant to go "hands on"? Or, are they using sensible risk management?

- Do they expect ongoing accolades for work? Or, are they seeking honesty and authenticity from superiors?

- Does their questioning of rules mean actual resistance? Or, do they want to understand the rules and learn the history as to why the rule exists?

- Are we experiencing a knowledge drain due to Baby Boomer retirements? Or, does the new generation bring an infusion of new and diversified knowledge that needs to be exploited?

Focusing on negative laundry lists of what may actually be misperceptions is not productive in any analysis. Instead, police leadership must position itself in a way that affords every opportunity to tap into valuable new knowledge that contemporary employees bring to the workplace. Failure to recognize these opportunities is likely to lead to situations that will impact their retention and could risk losing the best of the next generation of leadership. Nowhere is this more apparent than in the area of how technology is changing policing.

Rethinking Police Organizations and Accommodating Drivers of Change

We have established how new police officers are different from their predecessors and how they have a level of comfort with, and reliance on, technology that can advance the work of the police. How all this merges within the context of an organizational mindset is another matter and presents an important opportunity to begin to rethink police organizations for the future in order to accommodate drivers of change. Within that context, valuable lessons can be drawn from private industry.

Private Industry "Lessons Learned"

The need for support to change organizational mindsets and supervisory practices to accommodate the contemporary employee can be gleaned from recent "lessons learned" in the private sector.

In a Center for Creative Leadership (CCL) survey of those in leadership positions, 74 percent of the leaders believed that the generation of employees currently entering the workforce will place unique demands on their organization. Survey findings strongly suggest that contemporary employees will require businesses to go beyond current organizational norms and to develop "innovational" cultures and changes to business practices that are compatible with changing communication patterns and skills developed in the technology sector (Criswell and Martin, 2007).

Erickson (2010) discusses the need for a new generation of leaders in the private sector and contends that they will face unpredictable challenges in an environment of constant change. She identifies "context creating" leadership activities that reflect core values of the contemporary employee and which future leaders will need to adopt. "Context creating" includes increasing

collaborative capacity and working through networks, asking compelling questions to better frame the challenges, embracing complexity and welcoming disruptive information, shaping organizational identity, and appreciating diversity. Although her work addresses leadership needs in the private sector, it is not unrealistic to consider how, as these values begin to shape leadership throughout private industry, they will also influence policing, and how unique conflicts may occur when the core values of contemporary employees begin to intersect with those of others in the multigenerational workforce.

Other private sector lessons relative to organizational change and driven by the contemporary employees include:

- New skills brought to the job have the potential to change organizations. For example, an automotive survey (KRC Research, 2009) of "millennials" examined how they get and use information in their day-to-day lives (social networking, instant messaging, websites, blogs, instant mobile alerts). Survey findings suggested that consumers' desire to be technologically connected has a significant impact on how automobiles need to be marketed to this group in contrast to the types of approaches that were used with their parents.

- Multigenerational supervisory personnel will need to learn how to communicate with contemporary employees, especially about performance-based issues, if they are to be successful in changing behavior.

- Many private companies are implementing supervisor training directed at developing listening and critiquing skills, as well as how to provide more frequent performance feedback and not always at the one-to-one level.

- IBM is urging supervisors not to wait for an annual performance review to give employee performance information. Rather, they encourage supervisors to create ongoing dialogue with employees and to listen to them while using open-ended questions and letting them know what you are learning from them.

- Both IBM and Accenture Ltd. have developed training programs focused on interactive dialogue as part of critiquing skills.

- Ernst & Young has created online "Feedback Zones" where employees can request feedback at any time. They also assign mentors to new employees (Hite, 2008).

- Google is providing online "office hours" where any employee can pitch new ideas. They have also created an "idea listserv" where any employee can suggest or comment on an idea. This, they believe, is moving their organization towards virtual leadership (Criswell and Martin, 2007).

Another CCL online survey of 1,131 global leaders addressed the changing nature of leadership and primary challenges faced by management consumers.

- Among other findings, 65 percent of the respondents believed that there will be a talent crisis in the next five years and identified

talent acquisition and talent development as primary needs.

- Also cited were needs for greater emphasis on collaboration for developing a capacity to deal with change and for building effective teams (Martin et al., 2007).

The above are only a few of the examples that show how private sector industries are changing practices to respond to changing needs. Obviously, they do not function within the confines of civil service agencies so some of their more subjective undertakings may not be feasible within the public sector. However, policing can benefit by adopting some of these progressive ideas, particularly those relating to supervisory training and communication skills. Within that context, IACP is starting to include courses on managing this new generation in their training offerings.

Clearly, the best and the brightest of the new generation of contemporary employees need to be retained and groomed for leadership. The case can be made that American policing faces challenges similar to those of the private sector, and that police leadership needs to confront these issues to avoid a critical shortage of effective leaders in the not too distant future. In fact, some police executives have started to do just that and are introducing change in their organizations.

Promising Practices From Police Executives

Despite a dearth of research that specifically addresses this type of organizational change in policing, American policing is not taking a backseat in this new era. In fact, some police leaders

have started to make changes that address both the needs and the talents of the new generation, such as involving them in community engagement and problem solving and encouraging use of social media to get realtime information to the public. For example, online electronic communication tools such as YouTube, Facebook and Twitter are being integrated into many government agencies and police organizations and provide new avenues for interacting with the public (Hermann, 2009).

At the administrative and operational levels, substantive changes were described in a Roundtable Discussion on New Generation officers that took place in Seattle in October 2008, sponsored by the Office of Community Oriented Policing Services, U.S. Department of Justice. Of the 25 police executives who participated, many expressed growing awareness of the need to change their systems not only to accommodate employees but also to create more effective organizations. Many are trying new approaches that would have been unheard of just a short time ago.

Police executives participating in that discussion agreed on the following practices:[3]

- Creating new processes for recruit orientation that devote significant time to the "front end" of the system similar to college and professional "first-year experience" programs designed to prevent attrition.

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[3] This information has now been summarized in a document funded by the Office of Community Oriented Policing Services, *Practitioner Perspectives: Community Policing in a Democracy* (Scrivner, 2010).

- A statewide law enforcement training program is currently testing a two-week residential pre-academy orientation that involves team-building exercises, leadership, ethics, fiscal integrity and physical fitness. Although this represents a sizable investment in upfront staffing, the program reports that those who are unsuited for the career generally self-select out before they begin the expensive process of training and completing the probationary year only to walk away from the job.

- Finding ways to allow creative officers to do their best work and encouraging them to use problem-solving approaches and to experiment with technological tools to create more efficient and effective law enforcement responses.

- Examples of initiating internal changes so that the department is more responsive to line officers are reflected in the following:

  - Developing targeted training programs to expose officers to specialized training early in their careers.

  - Creating what one department called "renaissance" officers by equipping them with knowledge, and eventually experiences, in a range of different specialties.

  - Enhancing new officer awareness as to how law enforcement is evolving and the challenges it will present, as well as the opportunity to make a difference.

  - Creating new and different types of jobs within the profession such as predictive analytics or cybercrime units.

  - Providing early and in-depth career exposure to the skills that officers will need to develop to function in those new jobs as well as others.

- Changing discipline systems so that a goal of behavior change is achieved in contrast to the traditional "days off" model and with a stronger emphasis on strategic discipline — which emphasizes strategies to change and correct behavior rather than simply imposing a penalty.

- Making employees part of the choice to change their behavior and grooming them to accept greater responsibility.

- Teaching value-based decision-making at the academy rather than focusing only on rule-bound curricula.

- Incorporating value-based review boards that examine violations through the lens of department values in contrast to violations of specific rules or policies.

- Creating a different mindset at the executive level and requiring leadership development that stresses the need for different command-level thinking in order to facilitate progress.

- Pushing leadership down throughout the organization as opposed to being controlled solely by senior staff.

Drivers of Change: Challenge or Opportunity for Police Leadership?

Modern police leadership continues to evolve and is introducing new business models that address some of the issues important to a workforce impacted by the contemporary employee cohort and their emphasis on using technology in unprecedented ways. Many police leaders recognize that balancing complex demands is but one role of the modern leader and that multilayered bureaucratic police departments will have to learn to keep pace with information and data that move at the speed of light and with the new technologies that are changing how they do business. Just as private sector entities are being transformed to adjust to their environment, American policing will need to do the same in order to operate in ways that are consistent with the needs of the contemporary employee. This is particularly noted in the instance of union officials, who previously relied on monolithic models of power in negotiation, starting to adopt interest-based negotiation models that allow for win-win bargaining. The result of this shift in bargaining process has given employees (union members) more ownership in the terms and conditions of employment. In these situations, where healthy labor relations exist, a shared process in organizational planning is becoming the cornerstone of progress quite in contrast to past union business models.

Many police leaders also have developed an appreciation for how organizations can be informed by research that supports different types of law enforcement approaches. Departures from the past include current references to intelligence-led, evidence-based or predictive policing that attempt to introduce greater efficiencies and enhance effectiveness. These also may incorporate new skills brought to the workplace by contemporary employees or could integrate civilian personnel to reduce the cost impact of sworn officers. Further, the wave of the future for the modern police organization may be reflected in the development of new skill sets such as stronger analytic capacity, information technology specialists, forensic computer experts, strategic planners and change management specialists, many of which are consistent with the interests and skills of the contemporary employee. Other adaptations will be reflected in changes in police discipline systems, signifying a shift from harsh punishment that research tells us does not stop dysfunctional behavior to systems based on values, logic and behavior modification. Finally, the mentality of "do as I say," which once worked in factories and paramilitary settings, no longer hits the target, particularly as recruits with high potential whom leaders seek to mentor and retain come into the workforce.

We reiterate that a successful response to the changes and challenges we have discussed also will need to start with a change in the middle management (or first-line supervisory) dynamic and build from there. Increasingly, police leadership has veered away from hiring blind, paramilitary followers of decades past and now seeks to attract employees with a strong interest in problem solving, often but not always autonomously. These employees have different

expectations and anticipate that they will be mentored and given the dignity, authority and discretion to solve problems. But in many police departments, little or no investment is made in training first-line supervisors in the art and method of mentorship or coaching. Successful organizational leadership in an agency focused on community-oriented or problem-solving policing must incorporate a break from complacent first-line supervision and officer evaluation processes that measure job performance based on activity statistics or ticket quotas. Instead, a real investment must be made in training for supervisors that emphasizes guidance through mentoring. Leadership through instruction, education, logic, and persuasion are the "power tools" of contemporary police leadership … not "do as I say" … and they are consistent with the needs of the new generation of contemporary employees.

Preparing Police Leadership for the Future — Requisite Skills

Given our emphasis on police leadership challenges being driven by the growing cohort of contemporary employees and the expansion of technology in the world around us, the question follows: What type of leadership skills will be needed for law enforcement agencies of the future? The following provides a brief profile of how we see a modern police leader and the requisite skills that will be needed to advance the organization and meet challenges. Some of the information is derived from organizational theorists; some comes from discussions with Executive Session participants and other police leaders. All of these skills and characteristics

have strong implications for the future of police management training.

- **Global perspective.** In an era where technology, financial institutions and terrorist threats are constructed on global landscapes, a greater awareness and knowledge of global history, and connectivity to global issues and their impact on crime, will all be necessary in that crime of the future will also be global and supported by a strong technological base (Clarke and Knake, 2010).

- **Creativity.** Leadership authority Ronald Heifetz (1994) contends that problems that are outside the norm necessitate a thought process that demands creativity and the total re-engineering of new concepts. Future police executives will need to adapt that type of thinking and be creative to an extent not needed in the past. They will need to be "big picture" executives.

- **Change management and adaptivity.** Because the next two decades will be driven by dynamic changes to the traditional concepts of policing, future police executives will need to be aware of global shifts and technology trends and have the ability to adapt and move organizations to end points, more so than those of the past. As with other organizations, globalization, new technology and greater transparency have combined to "upend the business environment" (Reeves and Deimler, 2011). Hence, management training will need to focus on the skills needed for big picture thinking and change management in order to

prepare leaders to function in the changing environment.

- **Comfort in the midst of independence.** Effective future leaders will need to be at ease in an organization where workers demand autonomy and opportunities to be creative, signature requirements of the new generation of contemporary employees. Hence, police organizations will need to flatten to allow for creating the balance between creative autonomy and the formality of traditional culture.

- **Strong oral and written communication.** Because change will be so rapid, the contemporary executive will need to develop strong oral communication skills in order to explain complex theories in simple forms. Persuasion methods should be encouraged for purposes of allowing input and developing logical dialogue. This fine art of communication will be required in a culture where attribution questions are focused on those in authority.

- **Mastering technological trends.** The future police executive will need to anticipate how current changes in technologies will intersect with constitutional law and must prepare the agency to respond appropriately (i.e., the ability to see through walls and the concurrent impact on illegal searches and seizures; managing access to multiple databases to solve crimes while protecting sensitive information). Given these trends, it is likely that the very nature and fundamental concepts of what law enforcement does

will continue to be vigorously questioned and debated. Police leadership will need to be prepared to respond appropriately to concerns raised by these practices.

- **Architect of change.** The contemporary leader will need to be a trendsetter and innovator. Taking lessons learned from other industries will be important to creating and using societal and organizational shifts in law enforcement in ways not previously contemplated.

- **An understanding of research methods.** Successful contemporary leaders must become comfortable with research analysis and interpretation. Basic criminological theory and understanding should be supplemented by exposure to other fields of study, which may include holding progressive and advanced degrees. Moreover, stronger partnerships with colleges and universities will be required to facilitate ongoing, in-depth empirical research on operational methods and decision-making.

- **Striking a balance: Integrating strategy, culture and political influences.** The nexus of strategy, culture (both internal and external) and political influences was identified as critical to contemporary leadership by a group of prominent police executives. They framed this nexus as key to the executive mindset that is needed for solving problems, circumventing obstacles to performance, and moving organizations forward in a changing world. Considering new police strategies, reviewing use of best practices, managing community-police crises, and retaining new

talent brought by the contemporary employee to the organization all can be considered within this intersecting, dynamic framework. It provides something of a roadmap that incorporates strategy, culture and political influences into an executive model to help clarify where the organization needs to go to accomplish its mission; or, in other instances, what an organization needs to do to recover from crisis (Scrivner, 2008).

Conclusions

The profession of policing and public safety continues to confront new challenges that also present a wealth of opportunities for initiating substantive change. As evidenced by the work of the Executive Sessions, police leadership today may be better positioned to address them in ways that benefit the field and that maintain American police leaders' position at the forefront of the profession.

Today's police leaders were trained to operate in an ingrained bureaucratic structure. This training, the resulting organizational culture and fixed attitudes present conditions similar to those in the auto industry a few short years ago. Many police leaders, however, have seen the need to alter these traditions in favor of becoming more flexible and adaptive to the world we currently live in and to the people with whom we work. Their efforts will be the key to preventing systemic failure in policing similar to what has occurred in some segments of the private sector. Today's leaders and tomorrow's visionaries will continue to need a strong foundation anchored in the values

of credibility, truth, high ethical standards and sound morals. Further, leaders will always be selected for their abilities to make sound, cogent and well-thought-out decisions. Answering the wakeup call to continuously adapt and improve the profession will be one of those decisions.

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Author Note

Anthony W. Batts, D.P.A., is a research fellow with the Harvard Kennedy School of Government and former Chief of Police, Long Beach and Oakland, Calif. Sean Michael Smoot is Director and Chief Legal Counsel, Police Benevolent and Protective Association of Illinois. Ellen Scrivner is National High-Intensity Drug Trafficking Area Director, Office of State, Local, and Tribal Affairs, Office of National Drug Control Policy, and former Deputy Director, National Institute of Justice.

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Mentoring Program

POST Management Program

Instructional Goal: To provide managers/manager trainee with the information to discuss and evaluate the benefits of a mentoring program.

Performance Objectives:

- Define mentoring
- Discuss the differences between FTO and mentoring
- Review Reno Police Department Mentoring Program

Mentoring

Defined: A professional relationship in which an experienced person (the mentor) assists another (the mentoree) in developing specific skills and knowledge that will enhance the less-experienced person's professional and personal growth.

Difference between FTO and Mentoring

- FTOs train and develop effective police officers
- FTOs evaluate recruit performance on a daily basis

- Mentors are supportive and relational
- Mentoring is not performance evaluation
- Mentors teach, coach, facilitate by sharing resources and networks, challenges to move beyond the mentoree confront zone, and focuses on total development (professional and personal)

The Reno Police Department Mentoring Program

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).

Overview of RPD Mentor Program

- Inception of the program in 2000 with over 175 employees involved in the Mentoring program.
- 60 % of our Sworn Officers have been involved in the program either as a Mentor or Protégé
- Process: Begins with Mentors meeting recruits on first day of academy.
- Next, protégés completing the Mentor Program Questionnaire
- Pairing: Recommendations by advisory team, academy staff, discussion with proposed Mentor prior to actual pairing if necessary
- Details: Start date, first meeting
- Meetings: Regularly and often

What do you need most to Mentor someone?   T I M E!

Mentoring

- A developing, caring and helping relationship where one person invests time, know-how and effort in enhancing another person's growth, knowledge and skills
- Responding to critical needs in the life of another in ways that prepare them for greater productivity or achievement in the future.

Relationship Goal

1) To promote professional growth
2) Inspire personal motivation
3) Create a culture of family environment
4) Enhance job security/retention in employees

Definitions:

- Protégé = means "to protect"
  - Roles: student, apprentice, intern and peer
- Mentor = trusted counselor, guide and tutor.
  - Roles: Confidant, role model, advisor, facilitator, sponsor, promoter, protector.

Mentor Criteria

- Must volunteer to be a Mentor and be a non-probationary employee
- Must be willing to share knowledge and understanding with the Protégé
- Must be viewed as a positive role model
- Must have above average interpersonal skills and excellent verbal and written communication skills
- Must be concerned about protégé development to the extent of spending time beyond regular schedule if necessary
- Must be able to work well with others
- Must complete a Questionnaire
- Must initiate communication between you and Protégé.

Protégé Criteria

- Must request to have a Mentor
- Must hold a probationary status upon initial entry into the program
- Assist their assigned Mentor in identification of concerns and goals needed to become a police officer
- Must perform a self-assessment of personal strengths and weaknesses
- Must complete a Questionnaire
- Must work well with assigned Mentor to identify goals and career development
- Select two or three areas with long term and short term goal time frames and set dates for start/completion
- Protégé must be adaptive and willing to learn from others

Questionnaire

- Agency, Name, Age
- Home phone number:
- Cellular telephone number:
- Married single
- Children and ages:
- Where are you from?
- Law enforcement or Military service and experience:
- Do you have any friends or relatives with a local law enforcement agency (Who/explain)?
- Do you have any concerns about having a Mentor or Protégé of the opposite sex or cross cultural? Religion and denomination if applicable:
- Interests and Hobbies: List three favorite movies or TV shows:
- List three favorite foods:
- What are your expectations of the Mentoring Program
- What can your Mentor do to assist you in your career goals and planning?
- Any other applicable information that will help the staff pair you with the most appropriate Mentor or Protégé

Recommended Reading - "I Love a Cop" by [Ellen Kirschman](#)

Excerpt:

There are certain "givens" to police work: dimension of the job that probably won't change much. The first is shift work. The second is the long hours. The third is that the work itself is crisis-driven and therefore unpredictable. The fourth is that officers and their families live in the limelight of public scrutiny. And the fifth involves the physical nature of patrol work and the frequency of on-the-job injuries.

International Chief's of Police Association report

Best Practices for Institutionalizing Mentoring Into Police Departments
Authors:
Chief Harvey Sprafka, Knoxville, Iowa
Lt. April H. Kranda, (Ret), Fairfax County, Virginia

IACP Report: During the summer of 2000, the IACP 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. It is the author's belief that mentoring is an essential function in development of the next generation of police leaders.

The Reno Police Department Mentoring Task

- Contact the Protégé as soon as possible after initial assignment. Mentors must initiate the first contact.
- Answer questions and be observant of the Protégé's absorption of information
- Introduce the Protégé to various work sites/entities of the organization
- Explain the organization structure and culture
- Provide personal guidance and advice as needed (Housing, child care, etc.)
- Provide insight and overview of police academy expectations (i.e., what steps can be taken to ensure successful completion of the academy, maintain focus, good study habits)
- Address and eliminate potential distractions that would prevent the new employee from focusing on the academy
- Familiarize Protégé with the P.T.O. program
- Make contact and provide encouragement during academy training.
- Have lunch with them, meet on a regular basis.

Common Concerns of New Employees

- Personal adjustment to the work environment of law enforcement officers
- Transition to police work, on and off duty issues
- Perceptions of the department and policing
- Successful completion of, academy, PTO program, probationary period
- Achievement of career goals

Job Related Stressors

- Academy issues
- PTO program
- Shift work
- Rules, regulations and public perceptions
- Family issues/financial issues
- Physical issues
- Mental health issues
- The loss of another academy mate or officer in the line of duty
- Attainment/blockage of goals
- Layoffs due to budgetary issues

Critical Components of a Mentoring Relationship

- Friendship and support
- Provide direction
- Identify weakness and develop plans to overcome them
- Display empathy
- Express organizational concerns for the new employee
- Create an understanding of departmental goals and expectations
- Develop and understanding of operations and administration of the Reno Police Department

Mentoring-Protégé Pairing Focus

- Compatibility
- What Protégé needs
- Mentor attitude mandates success
- Mutual respect
- Develop a long lasting rapport
- Open communication
- Contact / Accessibility
- Meet regularly without prompting

Mentor-Protégé Expectations of Each Other

- Respect uniqueness
- Focus on positive results
- Sense of "self" ownership, commitment and responsibility
- Letting Protégé go, to learn experience and grow

Need for a Formal Mentor Program

- Allows making the most of a given situation
- Even the best designed training programs cannot cover everything
- Assist in coping with the speed and complexity change
- Allows every new employee in the organization equal access to a Mentor

Program Goals: Organization

- Increase employee retention
- Better assimilate new employees into the agency
- Increase job satisfaction and loyalty
- Development of professional identify
- Provide support system for employees
- Teach organizational culture

Program Goals: Protégé

- Successfully complete the Academy, Basic P.O.S.T. and the probationary period
- Smooth transition into the organization
- Enhance current skills
- Identify career goals
- Career development

Program Goals: Mentor

- Provide a critical service to the agency in the attainment of program goals
- Play a pivotal role in the Protégé successful completion of probationary period
- Professional development of junior employees
- Sense of pride and accomplishment

Communication Essentials

There are four main reasons to listen:

1) Learn
2) Understand
3) Pleasure
4) Give others an opportunity to speak

Your day is spent:

- – 45% listening
- – 30% speaking
- – 20% reading
- – 5% writing
- Listening is hard work: Many distracters that impede message delivery and or receipt
- The average listening speed allows us to hear 25 % of what is said, we only retain 50% of that after a few minutes and only 25% after eight hours

- Nonverbals are very important
- Body language
- Being able to read people
- You hear, but you don't LISTEN

Confidentiality

- Background investigation information
- Academics
- Police Academy performance
- PTO performance
- Discipline

Mentoring Program Guidelines

- Assist in the transaction of the new employee
- Provide guidance: Define the problem, give advice, use common sense, don't ignore rule violations
- Familiarize new employees with organizational structure, services, philosophy, etc.
- Be truthful and honest, explain positives and negatives while showing support
- Prepare the new employee, advise of the need to become more disciplined in life
- Be a facilitator
- Personality conflicts may occur, if so, identify the cause
- You must initiate the first contact, ALWAYS
- No sexual/romantic involvement with your Protégé
- You are not a replacement for the PTO and you should NEVER pass judgment on these matters
- Work together with PTO's to assist Protégé's throughout their PTO training
- Be a confidant for the Protégé
- Be a role model, not everyone can be a Mentor, it's an **HONOR!**

Protégé Parameters

- Keep in contact with their Mentor
- No compensation for program involvement
- Any problems with Mentor should be reported to coordinator
- No romantic/sexual involvement with Mentor
- Must work with assigned Mentor on strengths weaknesses, goals and career development
- Share responsibility with Mentor to meet regularly
- Must fulfill department expectations as a probationary employee
- Ultimate responsibility for progress lies with YOU!

Open, Honest Communication and Active Listening

- Often, the Mentor's role is simply to be there for the Protégé, to listen, to comfort and to be a friend
- Recognizing the need of a person adapting to change and responding appropriately is the Mentors challenge
- Mentors do not train, they offer STRATEGIES

Dealing with Gray Areas

- Pick up on subtle concerns the protégé begins to articulate
- Notice small or gradual changes which seem significant
- Read verbal and nonverbal signals coming from the Protégé

Hints and Suggestions

- Mentors believe that their job is to give advice, by doing, we assume we have superior knowledge, insight or wisdom related to the problem
- When dealing with the Protégé's personal problem, Protégé will likely know more, it's presumptuous and arrogant to assume we know more about a personal problem

Institutionalizing Mentoring in Police Departments

By Harvey Sprafka, Chief of Police (Retired), Knoxville, Iowa; and Lieutenant April H. Kranda (Retired), Fairfax County Police Department, Fairfax, Virginia

Mentoring is a mutually beneficial relationship in which a knowledgeable and skilled veteran officer (a mentor) provides insight, guidance, and developmental opportunities to a lesser-skilled and experienced colleague (a 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's son in the ancient Greek epic 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 handed down to the next generation.

The modern concept of mentoring, which has recently been used to recruit and retain new employees effectively in business and academic institutions, provides the law enforcement community with an opportunity to engage and anchor new employees at a time when industry competition for these employees is at an all-time high.

There are three primary goals of a mentoring relationship: to promote professional growth, to inspire personal motivation, and to enhance effectiveness of police service.

Mentoring Benefits for Mentors

Mentors can enjoy the following benefits:

- A personal sense of reward for spotlighting and developing talent
- Enhanced knowledge of department policies and procedures as well as contemporary policing practices
- Paving the way for others, thereby leaving a positive legacy in the agency
- A reputation as a valuable member of the organization and the respect of colleagues
- Varying perspectives from protégés, which foster creativity
- "Getting 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 with their help.

Mentoring Benefits for Protégés

Of course, protégés also benefit from the mentoring process in several ways:

- An increased likelihood for success; mentors help protégés gain competency and avoid failure
- Assistance in setting goals and charting career paths
- Encouragement and opportunities for new experiences and professional growth
- Help in avoiding pitfalls and learning through real-life examples
- An enhanced feeling of worth to the mentor and the organization
- A boost in self-confidence resulting from positive feedback on their achievements

Many successful people attribute their achievements to a mentoring relationship. Many "repay" their debt to the mentor and the organization by going on to serve as mentors themselves. 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, whereas others have chosen the more common method of informal mentoring. Examples of informal mentoring have occurred throughout the history of policing. Typically, veteran officers encourage friends or acquaintances to apply for positions in their departments. As a result, there is a natural tendency for these veteran officers to encourage, support, and give information to their friends during the hiring and training period. This informal mentoring relationship provides an advantage to new employees by helping them feel connected to their new departments.

However, there are some distinct benefits of formal mentoring. 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 perception that the agency is a great place to work. Whether launching a formal mentoring program or creating a mentoring environment in an organization, mentoring can improve and promote any leadership initiative.

Institutionalizing Mentoring: A Step-by-Step Plan

For law enforcement agencies interested in improving effective recruitment, retention, and personnel leadership development by initiating a mentoring program, a suggested step-by-step mentoring plan follows.

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 work group
   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 work group
   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 successor

What Mentors and Protégés Do

Before defining the roles and responsibilities of mentors, the goals of the mentoring process should be understood by mentors and protégés. For example, consider a new-hire mentoring process. Is the goal to provide a welcoming atmosphere that will anchor the new employee to the organization, to provide a career development mentoring process to help employees identify and map out career targets, to begin a mentoring program that ensures the continuity and quality of the next generation of police leaders, or all three of these? Once mentoring program goals are identified, the roles and responsibilities of mentors and protégés must be established in order to avoid confusion and potential conflict as well as to maximize program success.

- Mentors have the following responsibilities:
- Encouraging and modeling value-focused behavior
- Sharing critical knowledge and experience
- Listening to personal and professional challenges
- Setting expectations for success
- Offering wise counsel
- Helping to build self-confidence
- Offering friendship and encouragement
- Providing information and resources
- Offering guidance, giving feedback, and cheering accomplishments
- Discussing and facilitating opportunities for new experiences and skill building
- Assisting in mapping a career plan

The mentoring relationship requires commitment and shared responsibility for protégés as well. The partners should discuss mutual roles and responsibilities at the beginning of the relationship and review them periodically as necessary.

Protégés' responsibilities are as follows:

- Clearly defining personal employment goals
- Taking directions given and following through on them
- Accepting and appreciating mentoring assistance
- Listening to what others have to say
- Expressing appreciation
- Being assertive and asking good questions
- Asking for help when needed
- Sharing credit for a job well done with other team members
- Respecting mentors' 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 being personally committed to mentoring and by encouraging a total agency mentoring environment. As the lead agency mentor, chiefs can model employee value to their agency by supporting employee career planning, by providing opportunities for training, and by encouraging learning and skill building. The Knoxville, Iowa, Police Department, an agency of 18 sworn officers, serves as a model in this article for agencies embracing formal mentoring.

Goal-setting and career-planning sessions with the chief at the 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 achieved quickly, or with less frequency for employees who have not met short-term objectives. Because employee goals and interests continually evolve, the periodic review and monitoring of employee 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 both 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 meeting is preparatory: the chief explains the initial phase of the process, during which employees identify and clarify their current and future career goals. Employees are encouraged to consider the present and future in terms of short-term, 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, employees are asked to conduct a self-assessment in which they identify personal strengths and weaknesses. This assessment provides both employees and the chief with additional insight into the employees' disposition and temperament. Employees are required to document their goals succinctly on one typewritten page.

During this stage, the chief offers to include the spouse or significant other of each employee in the goal-setting and personal examination process if the employee would like that person included. This is an example of the "family-centered" policy embraced by the Knoxville Police Department.

A week later, the chief conducts a second meeting 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 the review and accomplishment of the goals.

The department retains a copy of the typewritten goal statement for reference when planning and scheduling training opportunities or specialized assignments for employees. As agency leader, the chief believes he is responsible not only for influencing and directing but also for establishing an environment for positive growth by providing resources, job-related opportunities, and experiences that will improve employees' 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 his employees determine the training and assignment needs based upon the personal assessments completed with the chief, employee work experience, previous assignment evaluations, education completed, and the employee goal plans.

The chief provides private-sector customer service and communication skills 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's 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, an environment 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 chiefs 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 new employees who are focused on work and family relationships as well as the development of job skills. Although the smaller-agency chief may have the advantage of knowing and working closely with employees, elements of this program and the chief/mentor model can be successfully implemented in agencies of any size.

Frequently Asked Questions

What is the difference between a mentor and a field training officer for new employees? The roles of the mentor and field training officer (FTO) are distinct yet complementary. FTOs train and develop effective police officers. As required during field training, FTOs evaluate recruit performance on a daily basis.

In contrast, the role of mentors is supportive and relational. Mentoring is not performance evaluation. Mentors are responsible for contacting new employees 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. Mentors maintain contact with recruits during academy training to provide support, guidance, and encouragement. Unlike FTOs, mentors do not evaluate recruit performance.

How do agencies prevent conflict between FTOs and mentors? The first step in avoiding conflict between FTOs and mentors is for chiefs to demonstrate support of the mentoring process. Second, the input of some FTOs should be included in the development of the mentor program. The last critical step is to train mentors and FTOs such that they understand the differences in their roles. Periodic review and oversight by a mentor coordinator will help diminish the potential for conflict.

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, new employees who are area natives will have fewer needs than employees hired from outside the area. New hires need time to adjust to the police department and the community. It is important for agencies to be flexible and support mentors in providing this valuable

assistance to new employees. The benefits in terms of employee retention, enhanced morale, and agency loyalty far outweigh the marginal commitment of staff time. The mentoring function can be accomplished while mentors are on duty in conjunction with fulfilling primary duties.

What resources are available to assist in developing a mentoring process for an agency? The IACP Training Division offers a class titled, "Mentoring for Retention"; for more details about this training opportunity, visit the training section of the IACP Web site at www.theiacp.org/training. In addition, the Smaller Police Department Technical Assistance Program, an IACP Research Center initiative, provides grant-funded consultation and training in mentoring for law enforcement. This project specializes in providing services for agencies with 25 or fewer officers. For more details about this training opportunity, visit the Smaller Police Department Technical Assistance section of the IACP Web site at www.theiacp.org/research/RCDSmallPoliceDept.html. ■

Note: A version of this article has been previously released as a Best Practices Guide through the IACP Smaller Police Department Technical Assistance Program, and a version is included in the IACP's Police Chiefs Desk Reference.

Chief **Harvey Sprafka** (ret.) is a 30-year law enforcement veteran. In 1995, he was appointed chief of the Knoxville Police Department and served until January 2005, when he retired. He is currently serving as mayor of Knoxville. Chief Sprafka served a number of positions in the Iowa Professional Executive Forum and has served as an advisory group member for the IACP Smaller Police Department Technical Assistance Program.

Lieutenant **April Kranda** (ret.) is a 20-year veteran of the Fairfax County Police Department. Lieutenant Kranda served in a variety of operational and administrative positions, including patrol, criminal investigations, internal affairs, and media relations. As aide to the deputy chief for operations, Kranda developed and implemented the New Hire Mentoring Program for her department. She currently serves as a mentoring adviser for several law enforcement agencies and training facilities.

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Mentoring in Police Departments. The Police Chief, vol. 75, no. 1, January 2008. Copyright held by the International Association of Chiefs of Police, 515 North Washington Street, Alexandria, VA 22314 USA.

Reno Police Department

Motivation, Rewards & Recognition, Delegation

POST Management Program

Instructional Goal: By the end of this instruction, student will be introduced to the importance of motivation, rewards & recognition, delegation, and goal setting

Performance Objectives:

- Discuss why we need motivated employees
- Discuss maintainers vs motivators
- List the productivity formulas
- Discuss ways to motivate the different generations
- List when to delegate
- List why we delegate

What is Motivation?

* Motivation may be simply defined as:
    - The forces that induce individuals to perform
    - And the factors that influence human behavior
* In the case of managers & supervisors
    - The process of inducing your team
        • To work towards the goals and objectives
        • While also satisfying their personal objectives

What Does Motivation Do?

* Is an intrinsic and internal process
* Encourages people to achieve goals
* Influences productivity
    - Without it, little will get done!
    * Emphasizes psychological, social and economic satisfaction
    * Means creating an environment
    - That avoids obstacles
    - Enables project objectives to be met
    - Enables peoples' self-satisfaction
    - That gives the thing they personally value most!

MOTIVATIONAL NEEDS QUESTIONNAIRE

Choose the statement in each set that best describes you.

1. ☐ a. When doing a job, I need feedback.
   ☐ b. I prefer to work alone and be my own boss.
   ☐ c. I am uncomfortable when forced to work alone.

2. ☐ a. I go out of my way to make friends with new people.
   ☐ b. I enjoy a good argument.
   ☐ c. After starting a task, I am uncomfortable until it is finished.

3. ☐ a. Status symbols are important to me.
   ☐ b. I am always getting involved with group projects.
   ☐ c. I work better when there is a deadline.

4. ☐ a. I work best when there is some challenge involved.
   ☐ b. I would rather give orders than take them.
   ☐ c. I am sensitive to others, especially when they are angry.

5. ☐ a. I am eager to be my own boss.
   ☐ b. I accept responsibility eagerly.
   ☐ c. I get personally involved with my superiors.

6. ☐ a. I include others in what I am doing.
   ☐ b. I prefer to be in charge of events.
   ☐ c. When given responsibility, I set measurable standards of high performance.

7. ☐ a. I am concerned about my reputation or position.
   ☐ b. I desire to out-perform others.
   ☐ c. I am concerned about being liked and accepted.

8. ☐ a. I enjoy and seek warm, friendly relationships.
   ☐ b. I get completely involved in a project.
   ☐ c. I want my ideas to be used.

9. ☐ a. I desire unique accomplishments.
   ☐ b. I don't like being left out of things.
   ☐ c. I enjoy influencing the direction of things.

10. ☐ a. I think about consoling and helping others.
    ☐ b. I am verbally fluent.
    ☐ c. I am restless and innovative.

11. ☐ a. I think about my goals and how to attain them.
    ☐ b. I think about ways to change people.
    ☐ c. I think about my feelings and the feelings of others.

MOTIVATIONAL NEEDS QUESTIONNAIRE
ANALYSIS KEY

Circle your responses for each of the 11 questions from the Motivational Questionnaire.

1. a. Achievement   b. Power   c. Affiliation
2. a. Affiliation   b. Power   c. Achievement
3. a. Power   b. Affiliation   c. Achievement
4. a. Achievement   b. Power   c. Affiliation
5. a. Power   b. Achievement   c. Affiliation
6. a. Affiliation   b. Power   c. Achievement
7. a. Power   b. Achievement   c. Affiliation
8. a. Affiliation   b. Achievement   c. Power
9. a. Achievement   b. Affiliation   c. Power
10. a. Affiliation   b. Power   c. Achievement
11. a. Achievement   b. Power   c. Affiliation

Count the number you have in each category and record below. Your highest response will indicate which motivational personality type you are (according to McClelland's needs model).

TOTAL: _____ Achievement   _____ Affiliation   _____ Power

McClelland's Theory of Needs

In his acquired-needs theory, David McClelland proposed that an individual's specific needs are acquired over time and are shaped by one's life experiences. Most of these needs can be classed as either achievement, affiliation, or power. A person's motivation and effectiveness in certain job junctions are influenced by these three needs. McClelland's theory sometimes is referred to as the three need theory or as the learned needs theory.

Achievement

People with a high need for achievement seek to excel and thus tent to avoid both low-risk and high-risk situations. Achievers avoid low-risk situations because the easily attained success is not a genuine achievement. In high-risk projects, achievers see the outcome as one of chance rather than one's own effort. High achievement individuals prefer work that has a moderate probability of success, ideally a 50% chance. Achievers need regular feedback in order to monitor the progress of their achievements. They prefer either to work alone or with other high achievers.

Affiliation

Those with a high need for affiliation need harmonious relationships with other people and need to feel accepted by other people. They tend to conform to the norms of their work group. High affiliations individuals prefer work that provides significant personal interaction. They perform well in customer service and client interaction situations.

Power

A person's need for power can be one of two types – personal and institutional. Those who need personal power want to direct others, and this need often is perceived as undesirable. Persons who need institutional power (also known as social power) want to organize the efforts of others to further the goals of the organization. Managers with a high need for institutional power tend to be more effective than those with a high need for personal power.

Implications for Management

People with different needs are motivated differently.

- High need for achievement – High achievers should be given challenging projects with reachable goals. They should be provided frequent feedback. While money is not an important motivator, it is an effective form of feedback.
- High need for affiliation – Employees with a high affiliation need perform best in a cooperative environment.
- High need for power – Management should provide power seekers the opportunity to manage others.

Motivation

Why do we need motivated employees?   The answer is survival

- Motivated employees help organizations survive
- Motivated employees are more productive
- Motivated employees reduce absenteeism
- Motivated employees reduce turnover
- Motivated employee are happier

Why should managers and supervisor motivate staff?

- Your employees are the key to your success
- Motivation affects employee performance, which affects organizational objectives
- Motivated employees make your job easier

Motivation falls into five categories

1. Understanding the concept of motivations
2. Assessing your approach to employee motivation
3. Identifying the supervisor/managers role in the motivation process
4. Applying motivational techniques (creating the environment)
5. Measuring success

Understanding Today's Staff

- ✶ Motivation is directly related to morale
- ✶ Effective supervisors motivate their staff using a variety of incentives and rewards
- ✶ Researchers often divide these into two categories
  - – Maintainers
  - – Motivators

Maintainers

Factors that must be kept at a satisfactory level in order for staff to maintain performance

- Working conditions
- Organizational policies
- Job security
- Pay and benefits
- Relationships with co-workers
- Supervision
- Status

Motivators

True motivators are the factors that create an inner desire to work by satisfying certain needs which are important to the individual.

- Achievement
- Recognition
- Satisfying work
- Responsibility
- Advancement
- Growth and training opportunities

Motivating Different Age Groups

Motivating your staff is complicated further by generational differences

- Veteran/Silent (1927-1945): formality, in-person, respect
- Baby boomers (1946-1964): primary motivators have been money, personal growth and involvement
- Gen X (1965-1980): Interested in rewarding challenges, personal and leisure time
- Nexters (1981-2000): achievement and diversity

How to Motivate Different Generations

- Veterans: Personal touch, hand written note rather than e-mail. Honor their work with records of achievement. Live phone call rather than voicemail
- Boomers: Public recognition, chance to prove themselves, ask for input.
- GenXers: Lots of projects, constant constructive feedback, ask for opinions
- Nexters: make all opportunities truly equal, open avenues for education, training, skill-building, use mentor programs, use electronic communication (text/email).

Create a Supportive Work Environment

★ **Expect the best from your staff**

Expectations of staff
+
The way you treat them =

Staff success or failure
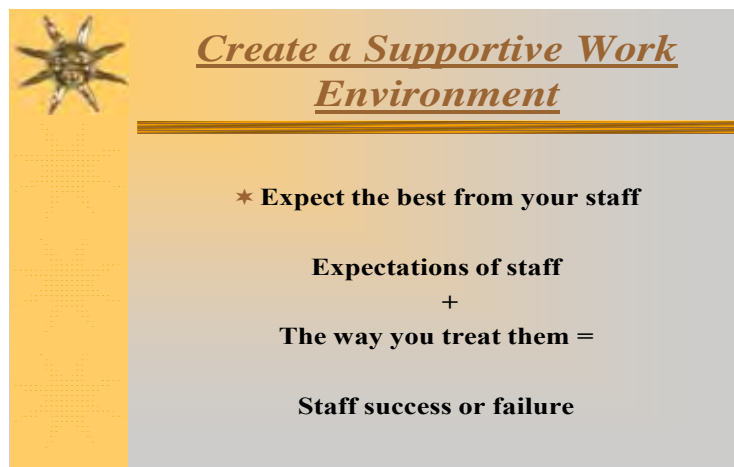
 Develop a flexible supervision/management style. Ask yourself:

- Do you use the same approach in every situation
- Do you treat everyone the same?
- Supervisors/managers should treat everyone fairly but not necessarily the same

Eliminate barriers to individual achievement

- Many people who are labeled "failures" or "incompetents" are simply being hindered by minor obstacles that supervisors have not recognized.

- Ask yourself: Does the person have the knowledge and skills to do the job? Does the person have the necessary tools?

If not, it is your responsibility to provide him/her with the necessary training, tools, encouragement, etc.

Staff need the training, information, tools, and equipment to do the job and it is your responsibility to make sure they have them.

Rewards, Recognition, Reinforcement

* The most successful reward systems make allowances for individual differences.
* Reward, recognition, and reinforcement go hand-in-hand with motivation.
* Encouragement and reinforcement need to be followed with recognition and rewards
* Rather than dangling a carrot or welding a club use more successful methods.

Power of Recognition: Resentment, low morale, slow downs, errors, endless gossip, absenteeism, and unexplained illness are all signs that you or management have been taking your employees for granted.

* Ways to recognize employee:
* Earned praise
* Recognition for performance
* Respect
* Equal treatment
* Rewards for work well done
* Tangible evidence of recognition (commendation letters, certificates, trophies, plaques, pens, key rings, cups, etc.)
* Training and development
* Awards (certificates, employee of the month, etc.)

Types of Rewards

* Informal rewards
  - Saying thank you
  - Post a note
* Rewards for specific achievements
  - Newsletter recognition
  - Letter signed by the Director, Sheriff, UnderSheriff, etc.
* Formal awards
  - Match the reward to the person
  - Match the award to the achievement
  - Be timely and specific
* Let employees reward each other

Ideas

* Written Words
  - Written thank you notes
  - Letter of appreciation in the employee file
  - Handwritten cards to mark occasions
  - Recognition posted on the employee bulletin board
  - Contribution noted in the company newsletter
* Positive Attention from Supervisory Staff
  - Stop by individual's workstation or office to talk informally
  - Provide frequent positive performance feedback-at least weekly

- Provide public praise
- Take employees to lunch
- Include your employees in decisions you make
* Encourage Employee Development
    - Send people to conferences and seminars
    - Give employees the opportunity to learn as many skills as they are able to
    - Ask people to present a summary of what they learned
    - Work out a written employee development plan
    - Make career development commitment and a schedule
    - Celebrate successes
* The Work Itself
    - Provide cross training opportunities
    - Provide more of the kinds of work the employee likes and less of the work they do not like.
    - Opportunities for empowerment and self-management
    - Ask the employee to represent the department at an important meeting
    - Opportunities to determine goals and direction
    - Participation in idea-generating and decision-making
* Gifts
    - Company/Agency logo merchandise (shirts, hats, mugs, pens, jackets)
    - Gift certificates to local stores
    - Placed in a drawing to win a prize
    - Motivational posters
    - Gift baskets
* Symbols and Honors
    - Framed or unframed certificates
    - Engraved plaques
    - Larger work areas
    - More or better equipment
    - Provide status symbols

What Can You Do?

* Set an example
    - Attitudes are crucial
* Speak clearly, listen closely
    - When an organization is under stress, rumors abound and tempers run short
* Avoid apologies
    - You will undoubtedly have to ask more of your staff. Remember that an apologetic stance can be just as unproductive as one that shows your resentment
* Enhance your Visibility
    - With your staff and with management
* Establish a climate of trust and open communication
    - Listen to and deal effectively with employee complaints
    - Point out improvements in performance, no matter how small
    - Criticize behavior, not the person

DO

- ✓ Recognize that you do not have all the answers
- ✓ Take time to find out what makes others tick and show genuine caring

- ✓ Lead, encourage, and guide staff
- ✓ Tell your staff what you think

Don't

- ✓ Make assumptions about what drives others
- ✓ Assume others are like you
- ✓ Force people into things that are supposedly good for them
- ✓ Neglect the need to inspire
- ✓ Delegate work – delegate responsibility

Three keys to Motivating Employees

1. Focus Goals
2. Common Vision
3. Management Support

Acknowledgement:

- ➢ Validates performance
- ➢ Gives employees a view of the future and
- ➢ Their place in it

When you motivate employees, YOU:

- ✴ Increase productivity
- ✴ Increase efficiency
- ✴ Reduce absenteeism
- ✴ Obtain better cooperation
- ✴ Improve communication
- ✴ Receive input and solutions
- ✴ Receive new ideas
- ✴ Improvements
- ✴ Have a more loyal staff
- ✴ Have less turnover

Reward systems that work

Informal (Spontaneous)	**Formal** (Planned)
1. Call employee to your office to say, Thanks 2. Post a note 3. Volunteer to do their job 4. Have a Manager, Executive, Director, Shreiff, etc. thank them. 5. Wash their car	1. Promotions 2. Employee of the month/year award

A well-constructed recognition system provides the single most important opportunity to **recognize** and **reward** the specific kind of behavior you want.

Remember

- ✶ Employees:
    - – see compensation as a consequence of performance and expect to be rewarded
    - – are concerned with organizational recognition
    - – want to participate in decisions that affect them
    - – value communication with management
    - – tend to have a short-term goal orientation
    - – Want work to be challenging, interesting and creative
    - – desire developmental opportunities
    - – tend to place their priorities first with leisure, then family, and finally work

Unlock the Motivation Secret

- ✶ Involve employees in decision-making
- ✶ Keep employee informed
- ✶ Be aware of the morale level of your employees
- ✶ Maintain an open-door policy
- ✶ Develop a caring attitude
- ✶ Be sure to listen
- ✶ Always treat employees with respect
- ✶ Ask for suggestions
- ✶ Give "constructive" criticism
- ✶ Recognize your employees
- ✶ Outline job responsibilities
- ✶ Maintain high standards

Summary of Motivational Techniques

Supervisors/managers should consider the following:

To motivate employees:

- ✶ Involve your team in planning and decision making
- ✶ Communicate effectively
    - – Listen more than talk!
- ✶ Delegate and show confidence
- ✶ Align delegated objectives with individual's objectives
- ✶ Emphasize working as a team
- ✶ Actively seek harmony in the team
- ✶ Be positive and enthusiastic
- ✶ Give praise and recognition for good performance
- ✶ Vary your approach to each individual needs and situations

Golden Rules for Rewarding Employees

Rule #1: Match the reward to the person

Rule #2: Match the reward to the achievement

Rule #3: Be timely, specific, and sincere

Rule #4: Say why the reward is being given

The Productivity Formulas

Ability + Training + Motivation = Employee Productivity

Ability + Training + Motivation + Communication = Sustained Productivity

Motivation, Recognition and Reward Checklist

Do you…………………….

- ✓ Personally thank staff for a job well done?
- ✓ Provide feedback that is timely and specific?
- ✓ Make time to meet with and listen to staff on a regular basis?
- ✓ Ensure the environment in your workplace is open, trusting?
- ✓ Encourage and reward initiative and new ideas?
- ✓ Share information with your staff on a regular basis?
- ✓ Involve staff in decisions, especially those that will affect them?
- ✓ Provide staff with a sense of ownership of their jobs?
- ✓ Give staff members a chance to learn new skills?
- ✓ Try when possible to promote from within?
- ✓ Celebrate the successes of individuals?
- ✓ Reward/recognize staff members based on their performance?
- ✓ Offer reward and recognize to encourage performance you place most value on?
- ✓ Praise and provide feedback generously and genuinely?
- ✓ Make sure that you criticize behavior, not people?
- ✓ Encourage suggestions?
- ✓ Use igniter phrases more often than killer phrases?
- ✓ Use appropriate positive, corrective effort such as training, performance evaluations, counseling, and instruction before taking disciplinary action?

Delegation as a Motivation Tool

Delegation

- To commit or entrust to another
- Give away work and expect a receipt

Why Do We Delegate?

- It strengthens your position.
  - o Shows you are doing your job – getting results with other.
- Too many tasks for one person
- You are measured by the results not by energy
- Delegating frees you to do supervisory duties
- Professionally develops your subordinates
- Allows you to focus on higher priority projects
- Motivates staff

Issues

- Critical skill for supervisors
- You can't do everything
- Working with employees
  - o Establish goals
  - o Granting authority & responsibility

- o Giving employees freedom
- Remaining available as a resource
- Employees assessment
- Addressing performance
- Rewarding performance

Seven Steps to Effective Delegation

1. Communicate and Define the task
2. Get a Commitment
3. Furnish Context for the task
4. Determine standards
5. Grant Authority
6. Provide Support
7. Evaluate & Give Feedback

Payoff

- Less supervision required on your part
- Delegation benefits both subordinates and supervisors when it's done correctly!

Why Supervisors/Managers do not Delegate

- Lack of confidence in employees
- Lack of self-confidence
- Poor definition or responsibilities
- Aversion to risk-taking
- Fear of subordinates as competitors
- Inflated self-image
- It takes more time to explain a task than to do it yourself
- Employees lack the necessary experience
- Subordinates may make costly errors

Delegation

- Create a Delegation Plan – don't be haphazard.
- Invest time in training to increase productivity.
- Keep in mind your subordinates may have a better or different way of doing things.
- Delegate, don't abdicate.
- Make sure the standards and outcome are clear!
- Short term errors = long term results.
- "What else do you need?"
- Delegate the objective, not the procedure.
- Get progress reports.
- Delegate to the RIGHT person!
- Don't take it back once you give it away.
- Spread assignments around.
- Get feedback.
- Delegate authority with responsibility!

Benefits of Delegation

- Relieves you of routine and non-critical tasks

- Frees your time so that you can attend to more important work
- Enhances your ability to manage
- Gives your employees the opportunity to take initiative and make decisions

Five Steps to Effective Delegation

- Examine your motive
- Define the task
- Set the Vision
- Clarify expectations
- Assign the task

Empowering Employees

- Delegate
- Grant Authority
- Encourage
  - Participation
  - Involvement
  - Creativity

Levels of Delegation

Delegation isn't just a matter of telling someone else what to do. There is a wide range of varying freedom that you can confer on the other person. The more experienced and reliable the other person is, then the more freedom you can give. The more critical the task then the more cautious you need to be about extending a lot of freedom, especially if your job or reputation depends on getting a good result. Take care to choose the most appropriate style for each situation. For each example the statements are simplified for clarity; in reality you would choose a less abrupt style of language, depending on the person and the relationship. At the very least, a "Please" and "Thank-you" would be included in the requests. It's important also to ask the other person what level of authority they feel comfortable being given. Why guess when you can get the other person's view? You don't necessarily need to agree, but you should certainly take account of the other person's opinion. Some people are confident; others less so. It's up to you to agree with them what level is most appropriate, so that the job is done effectively and with minimal unnecessary involvement from you. Involving the other person in agreeing the level of delegated freedom for any particular responsibility is an essential part of the 'contract' that you make with them.

1. **"Wait to be told." or "Do exactly what I say." or "Follow these instructions precisely."**
   No delegated freedom at all.

2. **"Look into this and tell me what you come up with. I'll decide."**
   This is asking for investigation and analysis but no recommendation.

3. **"Give me your recommendation, and the other options with the pros and cons of each. I'll let you know whether you can go ahead."**
   Asks for analysis and recommendation, but you will check the thinking before deciding.

4. **"Decide and let me know your decision, but wait for my go ahead."**
   The other person needs approval but is trusted to judge the relative options

5. **"Decide and let me know your decision, then go ahead unless I say not to."**
   Now the other person begins to control the action. The subtle increase in responsibility saves time.

6. **"Decide and take action, but let me know what you did."**
    Saves more time. Allows a quicker reaction to wrong decisions, not present in subsequent levels

7. **"Decide and take action. You need not check back with me."**
    The most freedom that you can give to another person when you still need to retain responsibility for the activity. A high level of confidence is necessary, and you would normally assess the quality of the activity after the event according to overall results, potentially weeks or months later.

8. **"Decide where action needs to be taken and manage the situation accordingly. It's your area of responsibility now."**
    The most freedom that you can give to the other person, and not generally used without formal change of a person's job role. It's the delegation of a strategic responsibility. This gives the other person responsibility for defining what projects and tasks are necessary for the management of a particular area of responsibility, as well as the task or project, and how it is to be done and measured, etc. This amounts to delegating part of your job - not just a task or project. You'd use this utmost level of delegation (for example) when developing a successor, or as part of an intentional and agreed plan to devolve some of your job accountability in a formal sense.

The Steps of Successful Delegation

1. Define the task
Confirm in your own mind that the task is suitable to be delegated. Does it meet the criteria for delegating?

2. Select the individual
What are your reasons for delegating to this person? What are they going to get out of it? What are you going to get out of it?

3. Assess ability and training needs
Is the other person capable of doing the task? Do they understand what needs to be done. If not, you can't delegate.

4. Explain the reasons
You must explain why the job or responsibility is being delegated. And why to that person? What is its importance and relevance? Where does it fit in the overall scheme of things?

5. State required results
What must be achieved? Clarify understanding by getting feedback from the other person. How will the task be measured? Make sure they know how you intend to decide that the job is being successfully done.

6. Consider resources required
Discuss and agree what is required to get the job done. Consider people, location, premises, equipment, money, materials, other related activities and services.

7. Agree deadlines
When must the job be finished? Or if an ongoing duty, when are the review dates? When are the reports due? And if the task is complex and has parts or stages, what are the priorities? At this point you may need to confirm understanding with the other person of the previous points, getting ideas and interpretation. As well as showing you that the job can be done, this helps to reinforce commitment. Methods of checking and controlling must be agreed with the other person. Failing to agree this in advance will cause this monitoring to seem like interference or lack of trust.

8. Support and communicate
Think about who else needs to know what's going on, and inform them. Involve the other person in considering this so they can see beyond the issue at hand. Do not leave the person to inform your own peers of their new

responsibility. Warn the person about any awkward matters of politics or protocol. Inform your own boss if the task is important, and of sufficient profile.

9. **Feedback on results**

It is essential to let the person know how they are doing, and whether they have achieved their aims. If not, you must review with them why things did not go to plan, and deal with the problems. You must absorb the consequences of failure, and pass on the credit for success.

10 Factors Creating Job Satisfaction: What Motivates Now?
by Dr. David Spicer

Interesting jobs, security and being appreciated are top of employees' lists for crating job satisfaction in today's workplace. And it is that second one – feeling your job is safe – that really speaks to today's job climate.

Data collected on the relative importance of 10 longstanding factors that research identifies as significant in influencing people's motivation are shown on the table below. The table compares 2008 to 2010.

Factor	Your Rating	2010	2008
Interesting work			
Job security			
Full appreciation of work done			
Good wages			
Promotion and growth in the organization			
Personal or company loyalty to employees			
Feelings of being in on things			
Tactful discipline			
Good working conditions			
Sympathetic help with personal problems			

MOTIVATION QUESTIONNAIRE: Part I

Select one of the seven responses that corresponds to the response that fits your opinion. For example: if you "Strongly Agree", select "+3". Complete every item.

+3, +2, +1, 0, -1, -2, -3

1. Special wage increases should be given to employees who do their jobs very well.

2. Better job descriptions would be helpful so that employees will know exactly what is expected of them.

3. Employees need to be reminded that their jobs are dependent on the Agency's ability to compete effectively.

4. A supervisor should give a good deal of attention to the physical working conditions of this employees.

5. A supervisor ought to work hard to develop a friendly working atmosphere among his people.

6. Individual recognition for above-standard performance means a lot to employees.

7. Indifferent supervision can often bruise feelings.

8. Employees want to feel that

9. The agency retirement benefits are important factors in keeping employees on their job.

10. Almost every job can be made more stimulating and challenging.

11. Many employees want to give their best in everything they do.

12. Management could show more interest in the employees by sponsoring social events.

13. Pride in one's work is actually an important reward.

14. Employees want to be able to think of themselves as "the best" at their jobs.

15. The quality of the relationships in the informal work group is quite important.

16. Individual incentive bonuses would improve the performance of employees.

17. Visibility with upper management is important to employees

18. Employees generally like to schedule their own work and to make job-related decisions with a minimum of supervision.

19. Job security is important to employees.

20. Having good equipment to work with is important to employees.

Part II:

1. Transfer the numbers you circled in Part I to the appropriate places in the chart below.

Statement #	Score	Statement #	Score	Statement #	Score
10	___	2	___	6	___
11	___	3	___	8	___
13	___	9	___	14	___
18	___	19	___	17	___
TOTAL	___	TOTAL	___	TOTAL	___
(Self-Actualization Needs)		(Safety Needs)		(Esteem Needs)	

Statement #	Score	Statement #	Score
1	___	5	___
4	___	7	___
16	___	12	___
20	___	15	___
TOTAL	___	TOTAL	___
(Basic Needs)		(Belonging Needs)	

2. Record your total scores in the chart below by marking an "X" in each row next to the number of your total score for that area of needs motivation.

	-12	-10	-8	-6	-4	-2	0	+2	+4	+6	+8	+10	+12
Self-Actualization													
Esteem													
Belonging													
Safety													
Basic													

Once you have completed this chart, you can see the relative strength of your use of each of these areas of need motivation. There is, of course, no "right" answer. What is right for you is what matches the actual needs of your employees and that, of course, is specific to each situation and each individual. In general, however, the "experts" tell us that today's employees are best motivated by efforts in the area of Belonging and Esteem.

Why Doesn't Cash Motivate...

ARTICLE | SUN, 07/24/2011 - 23:00 By Lorri Freifeld

If money is the root of all evil, is it also the root of all motivation? When talking about workplace performance and training, the experts' consensus is a resounding "No."

First, a look at some research:

- A McKinsey global survey on cash as a motivator found that while performance-based cash bonuses were used frequently (68 percent of respondents), employees still viewed "praise and commendation from their immediate manager" as being more effective than cash (67 percent for praise versus 60 percent for cash). ("Motivating people: Getting beyond money," Martin Dewhurst, Matthew Guthridge, and Elizabeth Mohr, McKinsey Quarterly, November 2009).
- In a LinkedIn survey of 665 respondents, 285 said the motivation of personal satisfaction has the most positive impact on their job performance, followed by potential for career growth (160) and increased compensation.
- Pay did not make the list of HR Solutions' Top 10 Engagement Drivers. Recognition checked in at No. 1, followed by career development, direct supervisor/manager leadership abilities, strategy and mission, and job content.

"The primary value exchange between most employers and employees today is time for money," note Tony Schwartz, Jean Gomes, and Catherine McCarthy in their book, "The Way We're Working Isn't Working: The Four Forgotten Needs That Energize Great Performance" (Free Press, 2010). "It's a thin, one-dimensional transaction. Each side tries to get as much of the other's resources as possible, but neither gets what it really wants. No amount of money employers pay for our time will ever be sufficient to meet all of our multidimensional needs. It's only when employers encourage and support us in meeting these needs that we can cultivate the energy, engagement, focus, creativity, and passion that fuel great performance."

Tim Houlihan, vice president of Reward Systems at BI Worldwide, which designs and executes business improvement programs, agrees. "As an incentive for above-and-beyond effort, cash is hopelessly ineffective. The reason is that cash turns the incentive into a deal—it puts us in a calculative mindset, forcing us to compare anticipated effort with anticipated returns in dollars and cents. If we start thinking about our effort in terms of the cash we could earn and we give any consideration to what we'll spend that cash on, we immediately begin to feel guilty about spending on anything other than the most utilitarian items. That leads us to ask ourselves, 'Why should I spend an extra six hours at work this week to pay my Visa bill?'" In very short order, Houlihan says, we rationalize why it's not a good idea to put in the extra effort. "We'll end up doing what we've always done because we'll rationalize (using the analytical left side of our brains) why it's not worth what's being offered to do what's being asked."

Or think about it this way, Houlihan says: "Almost every single sales job has a pay-for-performance component: The more the rep sells, the more he or she makes. Why aren't 100 percent of the reps maximizing their plan if money is such a good motivator?"

That's the crux of the issue: We're not saying money doesn't motivate. But it often may not be the top motivator. That means there are other, often more powerful sources of motivation that many organizations aren't tapping.

"Money is more like unconditional love from our employer—it's not a motivating force to get us to go above and beyond the call of duty, to go the extra mile, to really push our limits," Houlihan explains. "Money gets us in the door at the office every morning. But the stimulants that get us into high achievement are these: our ability to set challenging goals, our ability to get emotionally engaged in our work, and our ability to focus. These common tools are available to all, but only the top performers practice them on a regular basis. We can learn them from books and mentors and online learning systems, but until we internalize them, we won't exhibit top performance. In the short term, we can use extrinsic motivators, such as incentives, to help facilitate goal setting, engagement, and focus. This way, the extrinsic motivation helps us perform at a higher level, and once we recognize what it takes, we can replicate it more easily."

Elaine Varelas, a managing partner at Camden Consulting Group, notes that cash as a motivator often depends on how much someone makes: the ratio of the cash incentive vs. their full compensation. For example, she says, if they're earning $50,000 a year, then $100 might not be a big motivator. But $2,500 might be. "And after a certain threshold of earnings, there are more things to motivate people—fun things such as trips, dinners at expensive restaurants, experiences (i.e., a trip to Disney World with the family and VIP tickets). The VIP treatment may mean more than the actual cash value," she explains. "Coveted items such as tickets to a sporting event or a luxury spa may be more welcome and motivational. People like to say they got these things from their company."

Learning for Dollars?

When it comes to training, the most important part of motivating is letting people know what the value of the training is to them personally—will they be more knowledgeable about the stock market; will they learn how to deal with conflict in the office, etc., Varelas says. "You have to communicate the value of the training—that's where the motivation comes in. Trainers can make things more fun by giving out $10 coffee shop gift cards or giving out points redeemable for incentives for answering questions or coming back the second day, but the big sell is why this training is valuable to them personally."

Varelas says it really comes down to marketing or selling the training program to learners. "One key part of the marketing is including a participant quote (especially from a senior person or someone known for not liking training) explaining how valuable the training was to them and what they got out of it," she recommends.

Learning is an individual matter and draws upon personal commitment, interest, abilities, and attitudes to learn and cannot generate identical outcomes in different people just by rewarding them, agrees Roy Saunderson, author of "GIVING the Real Recognition Way" and president of the Recognition Management Institute, a consulting and training firm specializing in helping companies "get recognition right." He says research shows organizational and managerial commitment to learning will enhance individual motivation to learn. "Managers and supervisors actually have the greatest influence on transfer of learning when they meet with the learner before they start training," he notes "They can clearly convey the benefits from attending and participating in the training. Managers can establish learning goals with the learner and follow up after the course. Practical application of the instruction can occur with specific goals to be carried out following course completion. Social reinforcement and rewards then can be given as warranted."

When it comes to online training, Chad Hoke, VP of Sales and Marketing at BlueVolt, a provider of online learning management systems (LMSs) for manufacturing, construction, and service industries, says he thinks the biggest motivating factor is the inherent desire that most people have to master their job or task. "We consistently find that the top 15 to 20 percent of employees usually will find and complete training on their own, simply because they want to improve, regardless of extra help or incentives."

However, he adds, "the much larger 'middle group' of employees is more likely to get distracted from their goals. This group is very responsive to incentives and rewards that help them get on track with training. Even in these cases, though, the incentives don't have to be rich to be effective."

For example, BlueVolt recently partnered with Giftango to enhance BlueVolt's $BlueBucks incentive program, a pay-for-performance system that rewards learners as they successfully complete training through their company's LMS or online university powered by BlueVolt. The $BlueBucks program has proven to increase online course enrollments up to 10 times. The partnership gives learners the option to redeem $BlueBucks immediately for a virtual eGift card from retailers such as Foot Locker, Nike, and Amazon.com delivered via e-mail or to a smart phone, and viewed through a secure Web browser. Learners also can use their $BlueBucks to pay for additional courses offered in the BlueVolt system, including continuing education courses to keep professional licenses current.

Peder Jacobsen, vice president of Learning & Organizational Effectiveness at BI Worldwide, recommends first ensuring the training is geared toward the actual skills and behaviors that will change results. "Just distributing facts in a PowerPoint is not training," he says. "It's like taking a new basketball team and training them by giving them a PPT about the rules, then turning them loose in a competitive league. They'll get slaughtered. So first is to change or update the training to align with the skills and behaviors that will really get the results you want."

This is different than aligning training directly to business objectives, he cautions. "It can be a long leap from an individual course to a division's business objectives. The recommended approach takes into account the actual human behaviors that need to change in order to get the performance that will achieve the business objectives. It also makes it easier to draw a direct line from the training to the overall business objectives by taking it in steps—rather than one giant leap."

Second, he says, create the incentive rules to reward both the learning of the new behaviors (completing the training course) and then applying them on the job. "One idea to keep costs down is to give a minor incentive here, but use success as a gate or multiplier for actual business results," he suggests.

Third, Jacobsen stresses, include the first-line managers. "No lasting change happens without them. They provide the oversight and accountability. Include them in the incentive for successfully completing the training themselves, but also consider giving them an override for each of their employees to successfully complete the training and/or start demonstrating results. This ensures that they make their employees comply. As a variation, you also could use the percentage of their employees to complete training and/or demonstrate the behaviors as a gate to accelerate their normal business results."

In all these situations, Jacobsen believes, an accumulation system has more flexibility and power than cash or gift cards. As an example, he cites a large telecommunications client that created a voluntary incentive program for training within its customer service/sales employee base. It piggybacked on its points accumulation system that was in place to motivate sales. If learners completed courseware and were certified, they received points in their sales reward incentive system.

In the spring program, approximately 25 percent of the population voluntarily participated in the training. Certified employees' sales increased 12 percent more in one month than those of non-certified employees. The same program was used again in the fall. This time, it included an incentive for first-line managers, as well as employees. Managers received an incentive—and an override—for each employee who reported to them who was certified. Voluntary participation increased to about 50 percent, and month-over-month results were even more dramatic. "One month after certification," Jacobson says, "certified employees sold 43 percent over baseline, while uncertified reps sold 19 percent less, yielding a whopping difference of 62 percent between certified vs. non-certified."

Jacobsen does note that while there is a control group, "it's a self-selecting system and it can be argued that the best people chose to try to improve themselves. However, the improvements listed here were measured against their own individual baselines and then averaged." Nor does that criticism accommodate for such large deviations in performance, he adds.

Linking Recognition and Rewards

Research has proven that recognition can be a powerful motivator. That brings up the question: Does tying recognition to cash and other rewards have a bigger impact on motivation?

Rewards, such as cash and tangible reward items, are extrinsic and transactional in nature, Saunderson explains. "In other words, if you do 'x' then you get 'y.' A person knows they will get the reward if they deliver the desired results. Very much like getting paid a wage or salary for one's job. Recognition, on the other hand, is intrinsic and relational—and is more meaningful in nature. It also is unexpected and influences our emotions, thus impacting us psychologically and emotionally."

Effective and meaningful recognition—appreciation, praise, and social reinforcement—will directly impact the self-esteem and internal motivation of an individual, Saunderson says. "Coupled with fair and justifiable rewards, you have a winning combination."

BI's Houlihan believes recognition is a very sensitive thing and tying awards to recognition must be done without cash or cash equivalents. "Imagine yourself getting up from Thanksgiving dinner and wanting to recognize your grandmother for making an amazing meal. You say, 'Grandma, this was fabulous! How does $30 per plate sound to you?' I can guarantee you'd never be asked back to Grandma's."

Or, he says, consider the difference between monetary recognition and non-monetary recognition, both costing the same:

Scene 1: You want to express your gratitude to your team member, Susan, for completing a task with exceptional quality. You say, "Susan, you did a great job on that project. Here's a $5 gift card to Starbucks. Go grab yourself an amazing cup of coffee on the company."

Or, **Scene 2:** You say, "Susan, you did a great job on that project. Let's go down to Starbucks and grab a cup of coffee so we can talk about it."

"If you want Susan to remain an employee, to stay engaged, and to increase her already promising contributions to the company, choose Scene 2," Houlihan says. "If you don't want any of those things, choose Scene 1."

Stumped on Motivation: Just Ask

Many managers and organizations find it difficult to determine what the best form of motivation is for their particular employees, especially if members of the workforce are at different age and economical stages of their lives. Of course, one of the easiest ways to find out what motivates people is to ask them, says Saunderson. "Motivation is an inside job. Only an employee can tell you what really motivates them, and each response will be unique per individual. Ask employees what motivates them personally in their life and what would influence them to perform at a higher level for the company. Let them know the total rewards options available to you as a manager to draw upon for rewarding desired results."

These questions can be asked during performance reviews and employee engagement surveys. But be careful to avoid asking too many questions and being overwhelmed with data overload, Varelas cautions. "Figure out what do you need to know now? Where's the pain? Prioritize your questions. It also helps to ask open-ended questions as that way people will tell you what they are thinking about."

Also, she suggests that Sales work with managers to identify perks or incentives that might be shared throughout the organization. "Perhaps they get a luxury box at a sporting event that they invite customers to; if there's an extra seat, that could be given to an employee. Or give people the opportunity to attend an executive dinner. Recognize that networking opportunities some executives might not want to attend might be thrilling experiences for others in the company. For example, CEO luncheons usually have 20 empty seats—there might be 'high potentials' at the company who would see this as a networking opportunity and be flattered to be invited."

A Little Appreciation Goes a Long Way

By Joe Schumacher

For decades, managers viewed money as a powerful productivity motivator. To get more out of the workforce, you simply paid them more. But this is only part of the story. All of us are motivated by money, but money is only a short-term motivator. Looking over the last few decades, you can see more and more attention shifting up the list on Maslow's hierarchy of needs: We want not only food and health and shelter, but also less tangible rewards such as appreciation and a sense of purpose. Millennials report less interest in the traditional elements of workplace prestige such as status and "perks." Today, most workers seek more intrinsic rewards, such as on-the-job opportunities to do meaningful, creative, and independent work while enjoying a balanced lifestyle and quality of life benefits.

If money isn't the main motivator, then what is? What do workers want most from their job and manager? The answer is surprisingly simple. Workers want someone they can work alongside, who is compassionate, and who serves and protects. Someone who understands the complicated alchemy of making people matter.

Employees want a manager who leads by example, with integrity and a defined purpose. Such a leader brings meaning and direction to the team's work and helps every team member continuously improve. Employees want a leader who provides tools, training, trust, technology, and techniques, as well as opportunities to take initiative, and who galvanizes their team to achieve great results. Workers want to be respected as "talented," to be intellectually challenged, to be given elbowroom to work toward their defined purpose with ownership and accountability for the final product. Workers want to be appreciated and to have their accomplishments acknowledged, to receive accurate and timely performance feedback, to work a variety of duties, and to be on a career path with a desirable future. Workers don't want to feel like just subordinates, headcounts, or direct reports; they want to be team members and colleagues and rising talents.

The most exciting part of this: Almost all these best practices of leadership cost nothing. Small gestures of kindness, gratitude, and appreciation bring the most meaning to workers, at the least cost. So go for it! Commit deliberate acts of thoughtfulness and dish out premeditated accolades, because it's these best practices—which previous generations' money-oriented managers may have found trifling, unattractive, or troublesome—that can lead to leadership success.

Quick Tips

BI Worldwide Vice President of Reward Systems Tim Houlihan says that while a "Top 10 list of motivation stimulants will not speak to the complexities of any given situation, including the all-important corporate culture, there are some things to keep in mind," including:

1. **Help your people set goals.** Think short-term goals (30, 60, or 90 days at a time) rather than annual goals. The CEO of NetApp, Tom Georgans, said in a radio interview that he sets no more than three goals to achieve every quarter. More than that is too many to focus on and longer than that is too difficult to foresee and control.
2. **Help your people get engaged.** The workplace has a social exchange, as well as a financial exchange. Leverage the social exchange with opportunities to develop healthy relationships with coworkers, and recognize their efforts with non-monetary awards such as smiley faces, thank-you notes, or gifts that do not have explicit dollar values. Edison was already a wealthy man when he spent several years and exhausted 10,000 prototypes to develop a functioning lightbulb. He was committed beyond the dollar.
3. **Help your people focus.** Communicate clearly what one or two things you want them to do—help them focus on the most important issues only. Stephen Covey recommended we move the boulders first—the sand will fill in the gaps without any effort. Every person's day starts with a long list of things to do, and every day ends with a portion of that list unfinished. Help people finish their lists by providing clear direction on what it is they should focus on. That will improve productivity and morale.

4. **Use non-monetary rewards.** Our natural inclination to feel guilty about spending hard-earned income on luxuries turns any monetary reward into a utilitarian tool, or worse, just plain old compensation. On top of that, monetary awards create a calculative mindset, and we immediately ask ourselves: Is this a good deal? Non-monetary rewards—such as a trip or a toaster or the boss taking us to the coffee shop— allow our imaginations and emotions to get involved without any guilt. According to Harvard Professor David Laibson, "Emotions drive behavior."

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Needs Assessment

POST Management Program

Instructional Goal: To provide supervisors and managers information on how to conduct a needs assessment.

Performance Objectives: By the end of this training, you will be able to pass a written exam at or above 80% on the following:

- Define needs assessment
- List the different types of techniques to conduct a needs assessment
- List the pros and cons of each technique

Needs Assessment

After you complete this training, you will have a foundation in the following concepts:

- How to develop assessment instruments such as surveys and questionnaires
- Understanding where needs assessments fit in the project development process
- Basic steps in conducting needs assessments

Needs assessments are used whenever there is a need or a want that could be fulfilled by some sort of organizational effort. Let us take a look at where needs assessments fall into the picture from two perspectives: organizational development and instructional design.

The organization's **mission** is elaborated as a **strategic plan** with regional, state, or local focus.

The **strategic plan** contains appropriate programs and **project plans** with a local or site-specific focus.

Each **project plan** and the planning process itself focuses on specific **local issue(s) and audience(s).**

To then determine if and where there are issues for which **training** or other **tools and techniques** can help, a **needs assessment** is conducted.

Mission Statement
|
Strategic Plan
|
Project Plan or Program Area
|
Needs Assessment

and/or | and/or

Product   **Training**   **Assistance**

Definitions of Needs Assessments

- A needs assessment is a systematic investigation of an audience(s) to identify aspects of individual knowledge, skill, interest, attitude and/or abilities relevant to a particular issue, organizational goal, or objective.
- All effective training begins with needs assessment. The training needs survey measures what skills employees have, what they need, and how to deliver the right training at the right time. – American Society of Training and Development
- A Needs Assessment is a systematic exploration of the way things are and the way they should be. These "things" are usually associated with organizational and/or individual performance. – D. Stout, Performance Analysis for Training, 1995.
- Needs analysis is an examination of the existing need for training within an organization. It is a gathering of data that enables you to make an informed estimate of the changes desired or demanded by those organizations. – Stuart Dalziel, Planning and Managing Training and Development
- Needs assessment is performed to determine what training will successfully address any skill deficits. – Cornell, Technology Training Services

- Needs Assessment is a process used anytime someone carefully asks the question "How can I find out what is really happening (or needed; at the root of the problem; missing; etc.)?" – Cornell, Needs Assessment Tips and Techniques
- Data gathering methods by themselves are not a needs assessment. The needs assessment process has to result in decision-making for the process to be complete. – University of Virginia
- Needs assessments and needs analysis are interchangeable and have the same purpose and meaning: to assess and analyze. The purpose is to ensure that there is a need for training and to identify the nature of the content of the training program. – AMX, Training Needs Assessment

Now that we have seen a few definitions, let us look at what the goal of a needs assessment is. Simply put, the goal of a needs assessment is to design an effective program, product, or service that addresses the group's needs and "wants."

Too often people consider only one solution (a want) and discuss it as a need, when in truth what they really need will not be addressed. Effective questioning can reveal the need behind the want. However, it is important to remember that the "want" is often the best solution.

Two things to remember:

Needs are gaps – the space between what currently exists and what should exist.

Wants are solutions – a proposed means to filling the gap.

Examples of Wants	**Examples of Needs**
• I want to hire more staff.	• I need more staff to meet the department's mission.
• I want new equipment.	• I need to reduce injuries and need to equipment to facilitate this need.
• I want more training.	• I need better knowledge, skills, and abilities to reduce department liability in high critical areas.

Write down three wants.

_____
_____
_____

Now, write down the needs or gaps that are creating these wants.

_____
_____
_____

This seems like a simple exercise but it will help you in visualizing the difference between the two.

The goal of a needs assessment is the gathering of information for designing and creating an effective product or service that addresses a group's needs and "wants."

The objectives of a needs assessment define what the needs assessment will achieve and provide a more complete understanding of the problem to be addressed. Examples of some appropriate objectives are listed below:

- Identify existing degree of knowledge, skills, and the attitudinal characteristics surrounding a particular issue or topical area. In order to develop a relevant program, it is critical to determine current understanding of an issue from the participant's perspective, not from what the participant is thought to believe, or to be able to do.
- Identify individuals or groups of individuals who most need additional skills training or access to information and technologies. Through interviews, for example, an individual may indicate interest in a refresher seminar or workshop to enhance skills and knowledge related to a particular issue. A

geographic information systems (GIS) analyst may see the need for a specific tool to help create better data layers.

- Identify motivations and conditions that contribute to an individual's degree of interest in an issue and ability to access or purchase the final product or training course.
- Solicit opinions about content, functionality, etc. in order to draw participants into the design process, and build interest and active participation in the product, service, or training.

Needs assessments are used whenever there is a need or a want that could be fulfilled by some sort of organizational effort. Let's take a look at where needs assessments fall into the picture from two perspectives: organizational development and instructional design.

Needs Assessment	- Plan - Collect data - Analyze and report data
Concept Design	- Create objectives - Construct evaluation plan - Develop basic specification
Prototype and Test	- Create functional specifications - List project phasing and steps - Develop prototypes - Field-test project
Implementation	- Put into service - Collect evaluations from product users, students, etc. - Incorporate changes and improvements
Evaluation	- Confirm that subject matter is correct - Have stakeholders confirm adherence to established goals - Review and incorporate feedback
Planning	1. Reiterate issue and audience 2. Establish planning team 3. Establish goals and objectives 4. Characterize audience(s) 5. Search for information and literature 6. Select date collection methods
Data Collection	7. Determine audience sampling scheme 8. Design and pilot data collection instrument 9. Gather and record data
Data Analysis	10. Analyze data 11. Manage date 12. Synthesize information and create report

Sources of Information

Supervisors - **Administration**

Employees -

Management -

Content Experts -

Sources of Information

reports

surveys

interviews

journals

discussions

assessments

observations

questionnaires

Needs Assessments – 4 steps

Step 1: Summarize the actual and optimal situation

Needs Assessment

Actual	current situation (what is)

Optimal	desired situation (what should be)
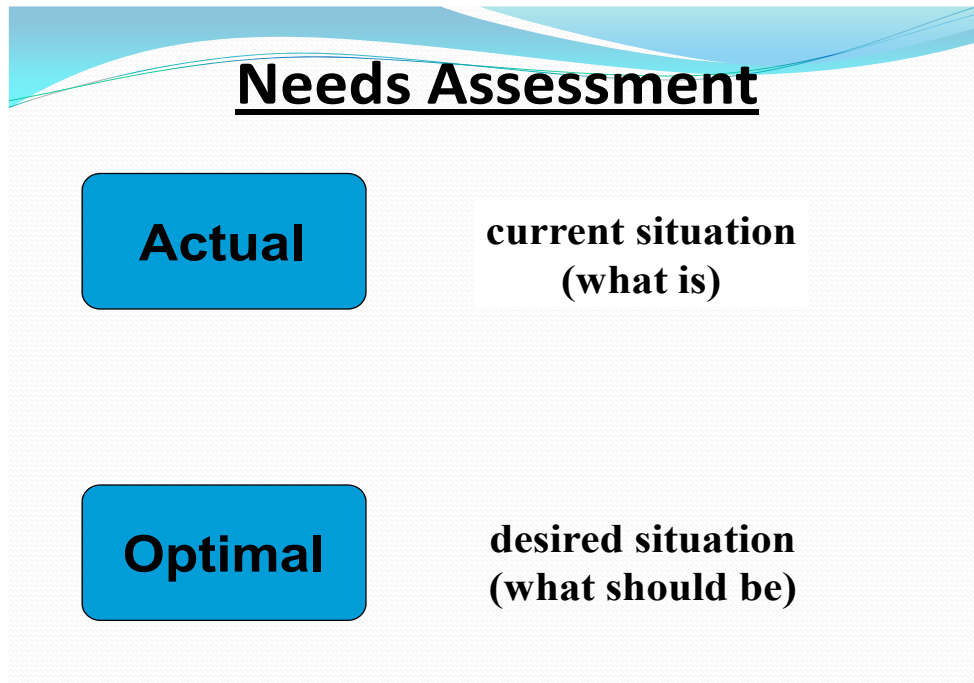
Step 2: Identify the gap and need

Needs Assessment

Actual	current situation (what is)

gap   **the need**

Optimal	desired situation (what should be)
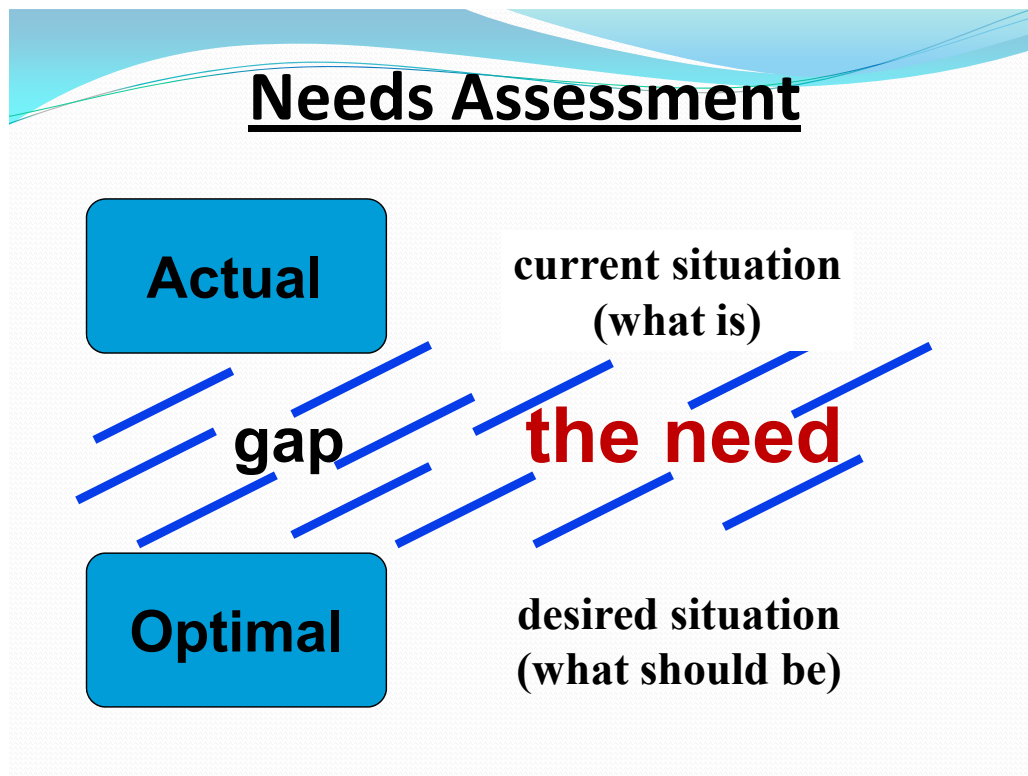
Types of Needs

Normative Need

- Comparing the target audience against a national standard

Comparative Need

- Comparing target audience against an external standard (benchmarking)

Felt Need

- Is a desire or want that an individual has to improve either his or her performance or that of the target audience (not acted upon)

Expressed Need

- A felt need turned into action (something someone has done to express a need, i.e. enrolled in a class).

Anticipated or Future Need

- Identifying what people need to know in the future

Critical Incident Needs

- Failures that are rare but have significant consequences

Step 3: Determine performance problems and causes

- Lack of skill or knowledge
- Flawed environment
- Few or improper incentives
- Motivation
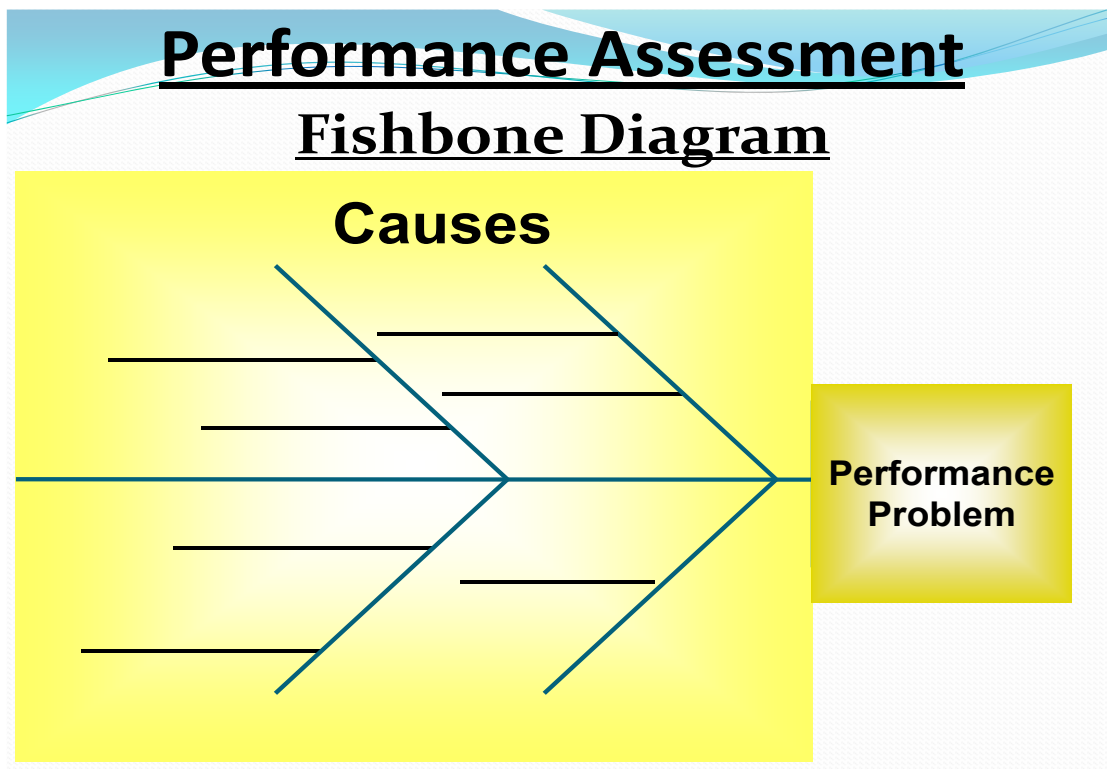
Performance Assessment
Fishbone Diagram
Causes
Performance Problem

Performance Assessment

Fishbone Diagram

Skills and Knowledge

Environment

Motivation

Incentives

Performance Assessment

Fishbone Diagram

Skills and Knowledge

Environment

Does not understand changing work environment

Very chaotic

Too loud

Resisting change

New Procedures are not well defined

Current incentive system is not working

Lack of available training classes

High Employee Turnover

Motivation
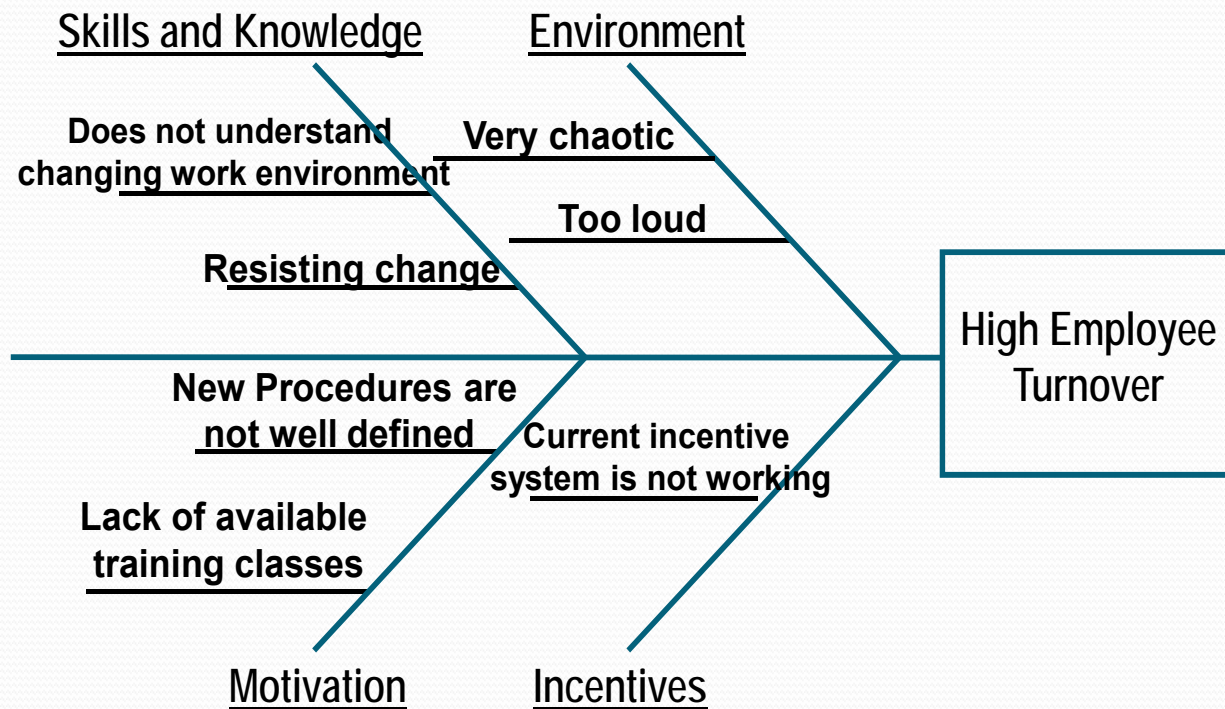
Incentives

Step 4: Determine Solutions

- Lack of Skills/Knowledge
  - Training
  - Job Aids
  - Selection
- Flawed Environment
  - Improved tools
  - Improved forms
  - Workplace re-design
  - Job re-design
  - More or better equipment
- Improper Incentives
  - Improved Policies
  - Better supervision
  - Improved incentives
- Unmotivated Employees
  - Training
  - Information
  - Coaching
  - Better Supervision

Needs Assessment – 12 Steps

Step 1: Confirm the Issues and Audience

Summary	Questions	Risks
In this step you will establish the purpose of the needs assessment, determining if it is a legal requirement, a company requirement, or simply desired for general knowledge.	Is this a new issue or audience for the organization? Is there widespread agreement up the organizational chain that this issue or audience needs to be addressed?	Unknown stakeholders; political blunders; content blunders Lack of support for the results of needs assessment

Notes: Always address your goals and objectives in synthesis. An executive summary is often helpful.

Step 2: Establish the Planning Team

Summary	Questions	Risks
In this step, you will establish the planning team while also determining the resources available for the needs assessment, including: • Time • Money • Number of individuals required for statistical purposes • Research or prior studies • Expertise of researchers	Are the stakeholders and partners new or well known? How geographically or organizationally dispersed is the team? Is there expertise within the team?	Not instilling ownership in the final product. Communication difficulties. Can spend a lot of time without getting much accomplished.

Notes: All steps should be conducted as part of a group effort and in the form of a planning team. The planning team ideally will consist of members from different stakeholder groups, as well as individuals with expertise in

the area of research. Good communication between planning team members is essential. The team must establish protocols and job duties.

Step 3: Establish the Goals and Objectives

In this step, based on the available resources confirmed in step two, you will establish goals and objectives.

Summary	Questions	Risks
This step has three phases: Identify the optimum (desired) and actual levels of knowledge or skill. Identify the cause(s) for the lack of knowledge or skill. Devise a solution or series of solutions.	Are the goals widely shared by the audience? Are your objectives measurable? Will the project be considered a success if the objectives are met?	Different priorities from different team members or supporting organizations; people will disengage from the process. You will not know if you have achieved them and to what degree. Long-term support for doing needs assessments

Notes: Ensure goals and objectives drive the outputs (statistical analysis and reporting). This will prioritize the rest of your steps and determine the amount of effort you spend on the needs assessment

Step 4. Characterize Your Audience

In this step you will determine the following audience characteristics:

Summary	Questions	Risks
• Number of individuals present (i.e. sample size) • Skill and knowledge level • Educational level • Organizational niche • Cultural characteristics and possible biases • Attitudes and biases • Ability to access or attend	How long have you worked with the audience? How much variation is there within the audience?	Assumptions can backfire Stereotypes don't always work

Notes: The needs assessment can also validate or demonstrate weaknesses in perceptions. This should be used to check critical characteristics.

Step 5. Conduct Information and Literature Search

Summary	Questions	Risks
In this step you will review information and literature regarding the issue by looking at studies from management plans, public records, strategic plans, reports, and articles.	Has this audience or issue been surveyed in the past? What other kinds of reports would shed light on the audience or issue?	Results may be outdated Wasting time and effort to do something that has been done before Not knowing about information that would make the job easier or better

Note: Surveys are often used to clarify or answer questions that have surfaced through reviewing reports

Step 6. Select Your Data Collection Methods

Summary	Questions	Risks
In this step you will decide how you will collect data, from choices ranging from personal interviews to written tests.	Have all of the methods been considered? Do the audience's characteristics provide insight into what methods they would be receptive to? How much expertise is there in-house?	The two most popular are also the two most intrusive Upsetting your audience Less experience means more time designing and analyzing and less concrete results

Notes: Your decision here will affect much of the time and resources you have for your project.

Step 7. Determine Your Sampling Scheme

Summary	Questions	Risks
Sample more than you think you need. The biggest threat to a survey is that the results are inaccurate because of the sample size not being representative	What's statistically recommended? What is the population size of your audience?	Results may be invalid for "academics" Too many or too few in your sample

Step 8. Design and Pilot the Collection Instrument

Summary	Questions	Risks
Always pilot your questionnaire! Better data requires more time, money and resources.	How will you pilot your instrument? What kind of expertise is on your planning team? How important is statistical precision? How will data collection be standardized?	Instrument will not be clear or gather necessary data The audience will not be receptive to the survey instrument Asking too many questions may irritate the respondents

Step 9. Gather and Record Data

Summary	Questions	Risks
Always pilot your questionnaire! Better data requires more time, money and resources.	How will you pilot your instrument? What kind of expertise is on your planning team? How important is statistical precision? How will data collection be standardized?	Instrument will not be clear or gather necessary data The audience will not be receptive to the survey instrument Asking too many questions may irritate the respondents

Step 10. Analyze Data

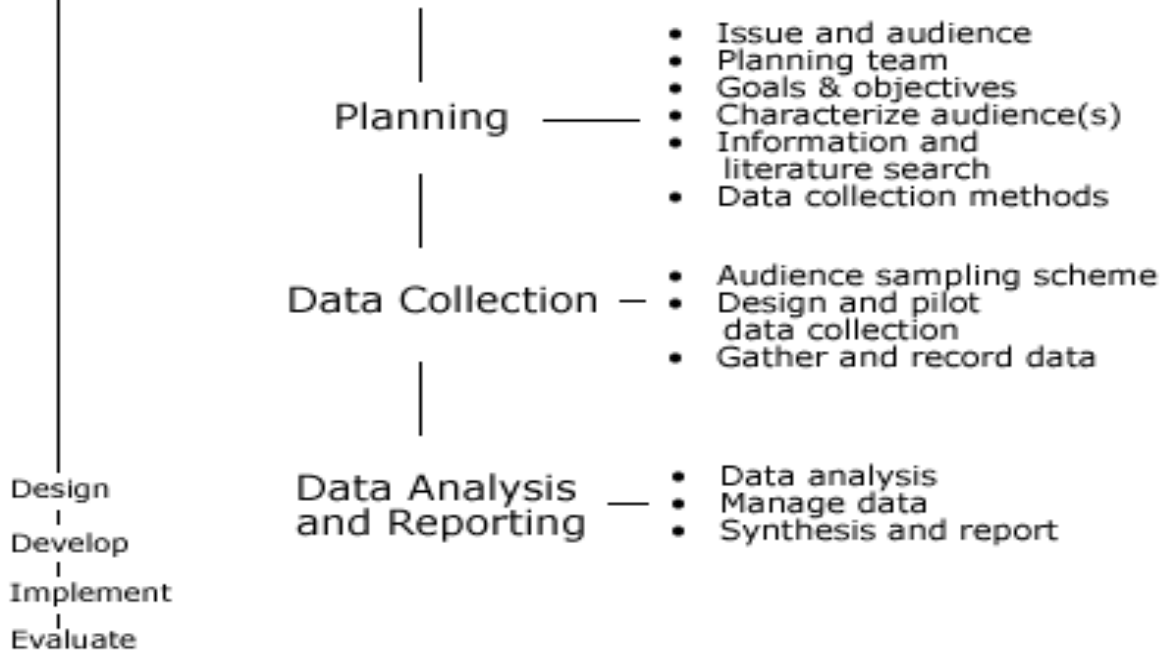| Summary	Questions	Risks
Keep findings and interpretation of findings separate in reporting.	How much statistical analysis do you do? Is the gap or issue best addressed through training? Is the data analyst the same as the data gatherer? What statistical tests will be run? How will non-responses to individual survey items be dealt with?	Under- or overwhelming your audience with your report Missing trends or patterns Not accounting for other possible critical barriers Letting bias slip into the process

Step 11. Manage Data

Summary	Questions	Risks
This step involves determining how data will be organized and archived. The importance of this step is often not recognized until it is too late.	Will you ever need to refer to these data again? Will the raw data be retained? How will it be stored? If contracted, who owns the data?	There may be unforeseen reasons that would necessitate the data being used again Inadequate metadata

Step 12. Synthesize Data and Create Report

Summary	Questions	Risks
Always address your goals and objectives in synthesis. Report must include problems or errors with the design and the implementation of the survey. An executive summary is often helpful.	Who is your audience for the report? Did you address your objectives?	People who are making the decisions not understanding process or results Not reaching your goal

A key to any successful needs assessment project is the gathering of complete and accurate data and information regarding your target audience. There are seven basic assessment methods that can be used to gather data and information. Each has its own set of benefits and limitations. Depending on time and other logistic issues you may not be able to utilize what might be your first choice of method. Often you will need to use more than one method to obtain the information you need.

Needs Assessment Process

Planning —
- Issue and audience
- Planning team
- Goals & objectives
- Characterize audience(s)
- Information and literature search
- Data collection methods

Data Collection —
- Audience sampling scheme
- Design and pilot data collection
- Gather and record data

Data Analysis and Reporting —
- Data analysis
- Manage data
- Synthesis and report

Design
|
Develop
|
Implement
|
Evaluate

Assessment Methods

- **Observation** - Watching and observing
- **Interviews** - Interviews can be conducted via telephone, video conference, or even on-line via the web
- **Focus Groups** - You might be familiar with focus groups by some other term such as roundtable discussion
- **Oral Surveys** - Read a list of questions from a survey form and fill in the answers the participants give you
- **Questionnaires** - are a survey instrument through which individuals respond to printed questions (mail/email)
- **Existing Data** - looking at information already gathered by the organization.
- **Tests** - Testing your target audience will give you a good idea of the knowledge gaps that exist

Methodology

- **Mail Surveys**
- **Telephone Surveys**
- **In-Person Surveys**
- **Focus Groups**
- **Online Surveys**

Characterizing your Audience

Characterizing your audience means figuring out the essential traits, abilities, and knowledge of the members of that audience. Conducting a target audience assessment will help you decide who needs what. The information below details the types of questions and information you will ask in characterizing your audience:

Knowledge	What degree of knowledge does the target population have relating to the issue?
	Do they have an understanding of current events related to the issue?
	Are they familiar with any special terms or acronyms?
Training	What type of prior training or skills does the population have related to the issue?
Tools and Techniques	What tools and techniques does the population currently use or have access to?
Benefits	What are the personal benefits to the population in learning about this or changing tools/techniques?
Attitudes and Biases	What attitudes and biases does the audience have towards the issue?
	How does the population feel about training opportunities or any changes required in tools/techniques?
	What training technologies will work best with this audience?
Ability to Attend or Access	Are there any factors that will affect the ability to access, attend or utilize any training or other tools/techniques?
Cultural Characteristics	Are there any cultural issues?

Sample Size

Sample size refers to the number of questionnaires, interviews, surveys, etc. you will distribute or conduct during the needs assessment process. Having a large enough sample to prevent one sample from skewing the results is important. But, the size of your sample is not nearly as important as the proper design or the survey instruments. However, if there is bias in the data, it is unlikely to go away as you collect more data.

It is more important to obtain a representative sample than a large sample. Identify the groups you need and put more effort into getting a high response rate (e.g. by phoning, or sending reminders) rather than sending out huge numbers of questionnaires and letting a few undefined volunteers return them.

If you have the time, contacts and/or resources to be more rigorous about a sampling scheme, you might identify someone familiar with determining things like margin of error, degree of accuracy, standard deviation, mean degree of accuracy, etc. With pilot data in hand, a resource person with some experience could help you work out the total sample size you need for the kind of accuracy you choose.

The size of sample you need depends upon two things:

1. How accurate you want the summary data to be. If you want no sampling error at all for example, you would need to measure each entire population.
2. How variable the data are. If you started measuring something and found that every measure was the same, you obviously wouldn't go on very long repeating the measurements to increase your accuracy. On the other

hand, the more the data vary, the more data you need to collect to get a reasonably accurate measure of the mean.

A third consideration is acceptability to participants and audiences. For example, in collecting the views of staff, it might not be acceptable to sample, even though a sample would appear to be statistically adequate. Every staff member might need to be heard so that no one feels left out and there is no suspicion of bias.

- Sample sizes over 30 have certain advantages, statistically.
- Correlations are very unstable on samples smaller than 50 - 100.
- Often you will simply use the largest sample on which you can collect high quality data within the constraints of time and money available.

One of the most consistent problems with surveys is a low response rate. The method of surveying you select has a lot to do with the response rate. The effects of nonresponse on surveys depend on the percentage not responding and the extent to which those not responding are biased (different from the whole population).

There is no minimum set or standard response rate that would be seen as acceptable in every circumstance. The federal government generally asks for a response rate in excess of 75 percent. The desired rate of any survey is 100 percent. But getting higher response rates usually involves more effort. The greatest response rate happens when you have a "captive audience" where everyone taking the survey is in the same room.

Phone interviews and mailed questionnaires are the two most popular methods,

For mailed questionnaires, keep in mind the following:

- Questionnaires tend to be biased toward people who have a strong interest in the subject matter and are more likely to return the questionnaire
- Better educated people usually return mail questionnaires more quickly
- Accurate mailing addresses are critical!
- Anything that makes the survey more professional-looking, personalized, or more attractive has a small positive effect on the response rate
- Ideas to increase response rates include printing on colored paper, using an impressive letterhead and leader endorsements, paying people, or providing other gifts
- Follow-up postcards or phone calls can be effective. If not done carefully, follow-up contacts can reduce the perceived confidentiality of the survey

Keep in mind the following when conducting phone interviews:

- Unavailability is an important source of non-response
- Less-educated people and those over 65 years old tend to be more willing to be interviewed in a random phone survey
- Interviewers with flexible schedules are helpful so that they are able to call at a convenient time for the respondent
- Participation in an interview is always voluntary; the interviewer needs to be persistent without being annoying

No matter how careful you are, errors made by respondents, and respondents not answering specific questions will always happen. **Non responses and errors can be a result of any of the following:**

- Poor form design
- Inadequate attention to survey administration procedures
- Carelessness or lack of motivation on the part of the respondent
- Faulty assumptions on the part of the survey respondent or administrator

Since invalid responses will happen on any survey, you must have some protocols in place for determining how to cope with them prior to tabulating data. It is important to deal with invalid responses consistently.

Invalid responses may include the following:

- Multiple items marked (when respondent was asked to mark only one)
- Changes to survey items (respondent edits an item to reflect what he or she wants to address)
- Middle marks (deliberately puts a mark between two answers)
- Mismarked responses (marks a response other than what is intended)
- Misaligned responses (marks intended response but for the wrong item)
- Skipped question (does not mark any response at all)

Note: One way to eliminate nonresponses is to use a "Not Applicable" option to give respondents a method of indicating that the question is not personally relevant. "Not Applicable" responses are characteristically treated in the same way as missing data.

Remember that any data cleaning and data editing you perform should be documented and handled systematically. When dealing with errors and non-responses you should calculate the percentage of error or nonresponse to the number of valid responses. This will help you compensate for nonresponses and errors. If the number of non-responses to certain questions, or the error rate is high, the validity of the data can be significantly impacted.

Questions

Developing questions is difficult. We all have our biases, plus we wish questions to prompt the information we are looking for.

When you are given the opportunity to ask questions in person, face to face, be sure to ask directly about any issues or problems. Interviewing someone in person permits you to adjust wording, clarifying meanings, and ask additional questions to elicit more detail — things that just are not possible using written instruments or web surveys. Some examples are shown below:

| What training do you need? | This question directly solicits solutions from the interviewee. |
| What issues do you deal with? | This questions directly addresses their problems. |

Person to Person Interviewing

Active listening means to focus both on the words being spoken and to the person himself in order to better understand what he or she is saying. As you listen you should also communicate your understanding and show nonjudgmental acceptance of what is being stated. The following are some other tips for active listening:

- Ask non-leading questions: "can you tell me more about that?"
- Rephrase what the speaker said in your own words
- Reflect underlying feelings: "when that happens to me, I feel really bad"
- Avoid analyzing what was described
- Use personal disclosure: "I'm not sure I fully understand what you are saying"
- Avoid using probing questions
- Face the speaker
- Watch the speaker and listen
- Keep your mind on what the speaker is saying

Written questions

Written questions present unique challenges but at the same time can be advantageous. You can test multiple iterations of questions to ensure there is no bias and can hone the grammar and sentence structure as well.

The main thing to ask yourself about any question as you write it is whether it will measure what you are trying to measure.

Negativity	Can be very difficult to understand
Repetition	• Can make respondents angry • Irritates people when they think you are playing games with them • At a minimum, change the wording (most folks will catch on)

Structuring questions can means not only how the question itself is written, but also how the responder is guided to answer. The way a question is worded can reveal or suggest bias on the part of the interviewer. Especially in the case of multiple choice type response options, the question can also unintentionally guide the interviewee toward a certain answer, or not allow him or her to answer the way they would like.

There are two different types of questions you can use that will elicit very different responses. These two types are called open-ended and closed questions.

Open-ended questions are used when longer and more thoughtful answers are required. Typically these questions:

• Ask the interviewee to think and reflect
• Will provide the questioner with opinions and feelings

Open Ended Question Example	Describe two examples of interpreting results of your research coastal management applications.

Closed questions are typically those that can be answered with one word. For example, "Yes/No" questions are closed questions. These questions are useful for testing comprehension and when long essay answers are not required. Typically these questions:

• Provide facts
• Are easy to answer
• Can be answered quickly.

Closed Question Example	What methods have you utilized in the past year to interpret the results for your research for coastal managers? ___ Workshops ___ Field Demonstrations ___ Interpretive materials (signs, etc.) ___ Posters at professional conference ___ Presentations at meetings

When structuring questions, agree/disagree type responses can reflect bias on the part of the questioner, or be interpreted as bias. An alternative scheme that uses a ranking structure of some sort is much better as it does not reveal any biases. In the example on this page, the Better allows the interviewee to rate the health of the bay on a continuum as opposed to focusing on one particular aspect of bay health.

Example of Bad Structure	Statement: The bay is polluted.
	Do you …
	___ Strongly agree ___ Agree ___ Disagree ___ Strongly disagree
Example of Better Structure	Question: How would you rate the health of the bay?
	___ Excellent ___ Very good ___ Good ___ Fair ___ Poor

Sensitivity in structuring questions refers to creating questions that will not somehow embarrass or cause the interviewee to divulge personal information he or she does not want to have on record. For example, when asking about a person's salary, providing a range of values to choose from can seem less invasive.

Example of Bad Structure	What is your salary?
	_____
Example of Better Structure	Please select the salary range associated with your position.
	___ 15-25K ___ 26-35K ___ 26-45K ___ 46-55K ___ 56K +

The way you word your questions can have implications on the type of response you will received. Poorly worded questions will get vague, unintended, or false answers.

Incomplete wording, such as trying to abbreviate the details of a question, can cause respondents to not understand the question properly.

Example of Incomplete Wording	Question: Experience?
	___ 0-2 ___ 3-5 ___ 5-10 ___ 10 +
Example of Better Worded Question	Question: Number of years in current position?
	___ 0-2 years ___ 3-5 years ___ 5-10 years ___ 10 + years

Specialized wording, such as using acronyms or terminology not universally understood, can also create confusion. In the example below, the term "outreach" means different things to different organization. To some it means marketing and communications. To others it means community involved projects but not necessarily publications and communications.

Specialized Wording – Bad Example	Question: Do you have outreach staff? ___ Yes ___ No
Specialized Wording – Better Example	Question: Do you have staff dedicated (1 Full Time Equivalency) to the promotion and marketing of your office's programs? ___ Yes ___ No

Sometimes in the effort to get precise answers we can structure questions with too many variables. In other words, we can force the responder to make a distinction that he or she does not necessary want to make, nor have the ability to make. The examples below provide some insight.

Example of Too Many Variables	Question: Do you feel that using water quality monitoring kits helps students to understand chemistry in order to meet state curriculum standards? ___ N/A ___ Not enhanced ___Somewhat enhanced ___Enhanced ___Significantly enhanced
Better Use of Variables	Question: In your experience, has the use of water quality monitoring kits enhanced students understanding of water chemistry? ___ Unsure ___ Yes ___ No

Important questions when planning needs assessments

1. Who is the assessment attempting to inform, influence, or persuade?
2. What purpose is the needs assessment intended to accomplish?
3. Whose needs are to be assessed?
4. What questions need to be asked? Do you already know the answers? Can you do anything to change the situation?
5. How will the information be used?
6. What resources are available to do the needs assessment?

Selecting your assessment strategy

- ✓ What resources do you need (time, money, materials)
- ✓ Who will take part
- ✓ What type of needs are addressed
- ✓ How confidential
- ✓ How comfortable is the method

Validation

- ✓ Well grounded, sound
- ✓ Produces the desired results
- ✓ Measure what it is supposed to measure

✓ Percentage of return indicates the need

What are the advantages of using a needs assessment?

- ✓ New ideas
- ✓ Alternative for dealing with the needs
- ✓ Allows employee to voice their concerns in a safe environment
- ✓ Empowers employees
- ✓ Makes employees feel that their opinion matters

Planning and designing a needs assessment

1. Be creative, efficient and effective
2. Determine the purpose for conducting a needs assessment (awareness, aid in decision making, promote action, find out cause and effect)
3. Define goals and objectives. Who will be your target audience? Make it a broad survey in order to receive input from everyone involved. Be specific.
4. Select the approach you will take in collecting the data.
5. Design the instrumentation and procedures. "Keep it simple" Long and complicated discourages response.
6. Prepare an estimated time line and budget for the needs assessment
7. Conduct a pilot test of the instrumentation and procedures
8. Collect the information. Limit the collection time to no more than six weeks.
9. Analyze the data and the information
10. Prepare a report of the findings
11. Evaluate your efforts. Judge its merit and worth.
12. Prepare an action plan to submit for consideration to meet the need.

Six Key Advantages of Online Surveys
(and Three Potential Problems)

Ashley Popham, Analyst

Abstract: With the emergence of the Internet, enormous possibilities have opened for the research community. Now that the Internet can be used to reach individuals as research subjects, there is a benefit in knowing the pros and cons of online surveys. It is important to select the appropriate data collection technique to accommodate the objectives of the research. If you have established that online research is going to be the best approach for your research needs, make sure you are familiar with the benefits and disadvantages before making a final decision.

Six Key Advantages of Online Surveys
(and Three Potential Problems)

Advantages of Online Research

There are already many advantages to conducting surveys online, and these advantages will only increase with the growing use of the Internet. According to the U.S. Census, the majority of households have personal computers and Internet access. In 1984, 8 percent of households had a computer and in 2003 this number was up to 62 percent (Cheeseman Day, Janus and Davis 2005). It is becoming increasingly popular for individuals to be reached as research subjects via the Internet.

Advantage #1: Online Surveys are Cheaper

Many researchers choose online surveys because they are typically less expensive than non-electronic surveys. They do not require interviewers, printing or transcribing. It is much cheaper to send the survey itself via email and also cheaper to send participation reminders. When researchers choose to have the postal service send these, they will probably incur the cost of letterhead, envelopes, postage and the time it would take a person to generate these items.

Advantage #2: Online Surveys are Flexible — for the Researcher and Participant

Online surveys can be relatively easy for researchers to create, and are typically very "user -friendly" for respondents. When researchers are creating these surveys, errors can be corrected easily without having to reprint or redistribute. These errors can be fixed in real time, and the survey results can also be presented in real time.

Since online surveys are self-administered, often respondents have the ability to begin the survey and pause at their convenience. This also allows them the time to think about what feedback they want to share. Giving them this chance to think about their answer will generate more detailed and accurate responses. Respondents won't feel as rushed since they are participating at their convenience. Since they have more time to respond, they can give more elaborate answers.   Also, the answers will not be summarized by interviewers, which answers collected by phone often are. Similar to mail surveys, online surveys can be perceived as unobtrusive as compared to other methods, since respondents can complete them from the comfort of their home or any other desired location.

Advantage #3: Online Surveys are Fast and Accurate

Large amounts of data can be collected in a short amount of time through the use of online surveys. Hundreds or thousands of respondents can answer the questions simultaneously which can also offer a quick turnaround on reporting. As data is input by the respondent, web-based questionnaires can automatically validate their responses. If the user enters data incorrectly, the system can be set to alert them of this error so they can resubmit. This will catch missing or out-of-range responses without the researcher having to watch for these.

Data collected from online surveys can be loaded directly into data analysis software. This saves time and resources associated with the data entry process. It lowers the probability of data errors because it eliminates the need for manual entry. It also eliminates interviewer error. In some cases such as a telephone interview, the interviewer could influence the respondent through their attitude, tone of voice, or their perceptions. Also, respondents may be more willing to answer questions based on what they think about the interviewer. This improves accuracy and reduces response time. In some cases, research companies can provide statistics automatically upon the respondent's completion of the survey. Online surveys also allow researches an easy way to track quota fulfillment.

Advantage #4: Online Surveys are Versatile

There are a few functionality and aesthetic benefits of choosing the Internet as a means of conducting a survey. The overall structure of the questionnaire can be very complex. The online aspect gives the researcher control over the order of the questions presented, and how they are presented. It makes offering open-ended questions much more feasible because the respondents are literally completing the data entry process themselves. Online surveys can offer the capability of pull-down lists. Researchers can use branching techniques, randomization, skip patterns, and piping with simple point and click programming. There are other techniques and statistical methods that are most easily administered online, such as MaxDiff.

Another benefit, from a functionality standpoint, is that online survey questions can be set to mandatory, optional, or a mixture of both. This allows the researcher the opportunity to force a response out of participants. In some cases, it is advisable to keep mandatory questions at a minimum, but if some type of incentive is being offered to respondents for completing the survey, researchers may gain valuable information from these forced responses. Either way, having this control is a great benefit of the online avenue.

Online surveys can be very aesthetically pleasing because they can easily incorporate graphics and sound. Brands hoping to leave a lasting impression can customize brand colors and graphics onto the online survey. They can also include a function that other methods cannot. They can allow respondents the ability to visually compare different graphics. For example, visual comparisons are easily presented on screen when testing new product packaging or considerations for new car models. While it may be feasible for a focus group to accommodate new packaging options, an online approach would usually be better for comparing objects more challenging to present, such as cars. In some cases, the survey can also provide automatic completion statistics with charts and graphs that allow the respondent or the company seeking the research a visual representation of results.

Advantage #5: Respondent Control

Online surveys can include a unique identifier, which prevents a person from submitting a survey more than once. Each participant can have an exclusive number assigned to them that can be entered at the beginning of the survey. This can be easily tracked by the

researcher, or can be left anonymous. The unique identifier will strengthen the survey because the information will be more representative (i.e. not skewed by the same people completing multiple times).

Advantage #6: Larger Sample Sizes are a Possibility

Larger sampling possibilities are a big benefit of online surveys. Not only does this allow the researcher to collect responses from all over the world (making the study more representative), but it also gives access to rare populations. These hard-to-reach populations could include people participating in deviant practices, people with specific diseases taking certain medications, or other specific criteria that are not concentrated in one area. If the researcher has very targeted intentions, online research may be the best methodological choice.

Disadvantages of Online Research

Online data collection has many features that may be appealing to researchers, but it also has its drawbacks. If the following points would be detrimental for the information you plan to attain, it may be best to stick with a more traditional collection method.

Potential Problem #1: Sampling Bias

Online surveys typically do not reflect the general population, so there will likely be sampling bias. The U.S. Census Bureau's Population Survey conducted in 2003 found that Internet users are more likely to be non-black, non-Hispanic, and under the age of 65. Respondents that had completed "some college" or had obtained a "bachelor's degree or higher" were more likely to be Internet users than those with a "less than high school" education. In addition, the 2003 study found that households earning an annual income of $50,000 or more were more likely to be Internet users compared to those earning less than $25,000 annually (2003).

Therefore, online surveys are best when the desired target population consists of Internet users. If the researcher is conducting employee satisfaction research, they may know that each of their employees has Internet access and time allotted to complete the survey. In some instances, they may not be certain that this is the case. Statistically, we know there are certain populations whose Internet usage is not as high as other demographics. Younger people are more likely to use the Internet than older people (Pew Internet studies). If a retirement home wants to capture information from its residents on opinions toward cafeteria food, an online survey may not be the best choice. The basic concept here is online research is only a good method when your audience is online and can read and enter data. Another drawback is that it is difficult to know whether the person who says they are taking the survey is actually the one who took it because it is almost impossible to check a respondent's identity.

Another thing to keep in mind is that not everyone has an email address. Of those that do, many do not want to offer their personal information or even their opinions online. While online surveys are considered less obtrusive than other methods to some people, others

Potential Problem #2: Compliancy Laws

There are certainly privacy concerns with information transferred through online portals, and these privacy laws make data collection more difficult. The Children's Online Privacy Protection Act of 1998 (COPPA) states that personal information collected online from children under the age of 13 must have consent from their parent or guardian and this consent must be verifiable. This becomes tricky because data collection agencies cannot guarantee that the personal information they collect actually had parental consent. The Privacy Act of 1974 was also created, which requires agencies to follow "fair information practices" and states that records cannot be disclosed to an agency without the consent of the individual sharing their information. As Internet data collection becomes increasingly popular, opt-in privacy policies are becoming more common. It is crucial for researchers to familiarize themselves with the voluntary guidelines and codes of conduct associated with online data collection. Many organizations reference a code of ethics and practices established by the American Association of Public Opinion Research (AAPOR).

Potential Problem #3: Operating System and Web Browser Consistency

Other things to consider are how the survey will support multiple platforms and browsers. Oftentimes web surveys will look different depending on browser and computer monitor characteristics. Some people keep their web browsers at full screen, and others keep their window smaller, which means the survey will look different to different respondents. When designing a survey, it is usually the researcher's intent to keep each screen of the survey as short as possible, and avoid forcing the respondent scroll. These scroll bars give the impression that the survey is long, and attrition rates will be higher. This makes online surveys tricky because unlike paper surveys, it is difficult to know exactly how the survey will appear on different screens. The best way to test this is for the survey designer to set their monitor resolution to a very low setting (the lowest common denominator). This will give the designer the best idea of what the majority of respondents will see.

Survey Methodology Comparisons

As a follow-up to this account of the online approach, the following table offers a short summary of the characteristics of mail, telephone and in-person surveys, as well as focus groups. The following information can aid your decision should you still be unsure about using the online route after reviewing these pros and cons.

For example, since mail surveys are self-administered, interviewer bias is avoided. Respondents have time to construct their answers, much more time as compared to some other methods. However, mail surveys yield a relatively low response rate and a long turnaround time. This method does not allow for the ability for interviewers to further probe respondents, which is an advantage of other methods such as in-person surveys and focus groups. Telephone surveys are a reliable way to acquire information quickly and typically have a good response rate, but certain populations will be difficult to reach. Face-to-face surveys also have a good response rate, but similar to focus groups, can be expensive. If the researcher wishes to include product visuals or demos, focus groups can be a good starting point before beginning quantitative research. However, these focus

Contact: Polaris Marketing Research, Inc., 1455 Lincoln Parkway, Suite 320, Atlanta, GA 30346
404-816-0353, email: research@polarismr.com, web site: www.polarismr.com

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group samples are typically very small and therefore cannot be generalized to larger populations.

Methodology	Pros	Cons
Mail Surveys	• No interviewer bias • Can be repeated • Respondents have time to produce thoughtful answers • Least "intrusive" methodology	• Low completion rate • Poor turnaround time • Inability to probe for reasons for responses
Telephone Surveys	• Fast turnaround time • Ability to probe • Good response rate	• Possibility of interviewer bias • Difficult to reach certain populations
In-Person Surveys	• Can ensure a qualified respondent • Ability to probe • Good response rate	• Possibility of interviewer bias • Travel can be expensive • Poor turnaround time
Focus Groups	• Allows for brainstorming • Can include product demos/visuals • Good starting point for qualitative research	• Can be expensive • May not be representative
Online Surveys	• Typically cheaper than non-electronic surveys • Easy to create and user friendly • No interviewer bias and data can be collected very quickly	• May not be representative • Research must adhere to compliancy laws

Conclusion

Whether the advantages of choosing the online route versus another means of data collection outweigh the disadvantages will really depend on what the researcher seeks to accomplish. The subject matter, the demographics of the population being studied and the timeframe the researcher has to work with should all be considered. As technology continually improves, the number of online techniques for obtaining this type of information will also grow. Give adequate time to consider which methodology will be most successful for your study. This paper should serve as a starting point to educate and aid readers about this type of decision-making.

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Four Survey Methodologies:
A Comparison of Pros & Cons

Kelly Kwon, Analyst

Abstract: Today, there are four major modes of collecting data in marketing research: Mail, Telephone, Online, and In-person. For questions that require anonymity, Mail surveys provide the best advantage. Telephone surveys provide quick collection of data with trained interviewers to probe for underlying reasons. Online method is a powerful way for using different media types (pictures, sound, video, etc.) and also for collecting data quickly. With In-Person methodology, the interviewer can acquire more qualitative data from hard-to-reach populations. Hybrid methods or using a mixed-mode strategy can help increase response rate and faster data collection. With all methodologies, there are disadvantages using one mode over another, such as interviewer bias in telephone or in-person interviews, time in collecting data for mail surveys, or legitimated studies tagged as SPAM-mail for online surveys. Time frame and budget are major factors for choosing a methodology, but each method depends in terms of your sample size, desired accuracy of the data, and/or the complexity of your questionnaire.

Contact: Polaris Marketing Research, Inc., 1455 Lincoln Parkway, Suite 320, Atlanta, GA 30346
404-816-0353, email: research@polarismr.com, web site: www.polarismr.com

Four Survey Methodologies: A Comparison of Pros & Cons

Before the Internet boom in the early 1990s, making decisions for collecting the best information, such as length of survey, sample size, timing and budget, were much simpler than today. This paper will explore the pros and cons of four basic types of quantitative survey methodologies: mail, telephone, online, and in-person to guide you in choosing the best methodology for your study. As telemarketers disguised as marketing researchers are proliferating and as getting respondents for legitimate research is becoming more difficult, we will also mention some hybrid techniques used today to help increase your survey response rate.

Method #1: Mail

According to author Thomas Magione in <u>Mail Surveys: Improving Quality</u>, it is a good idea to consider mail surveys "when your sample (or respondents) is spread out geographically and your budget is modest." In survey design, Magione mentions that there are two broad classes of questions – open-ended questions and close-ended questions. With close-ended questions, the respondent is given a series of alternatives to pick the answers. However, in an open-ended question, no specific categories of responses are given and the respondent must answer the question in their own words. When designing a mail survey questionnaire, the questions should be designed with close-ended answers. Also, since mail surveys are convenient for respondents to complete in their own place and time, its anonymity and privacy makes mail surveys the most appropriate methodology for sensitive information.

Mail Surveys

Pros	Because they use paper and pencil instruments, mail surveys are the least expensive way to collect data from large number of people. Also, because of the convenience of completing the survey at their own pace, a longer questionnaire design is plausible.
Cons	Since mail surveys are self-selected and self-administered by the respondent, there's no follow-up from the researcher. They also have the least amount of control over all other survey methodologies in terms of questionnaire design and clarification of questions. The time getting back the survey by mail, the time entering the data, and time analyzing the data are extensive. Completion rate is very low.

Method #2: Telephone

When discussing telephone survey methodology, we cannot overlook the sampling methods associated with it. Unlike mail surveys, where self-selective bias is high, telephone surveys provide a more accurate result to the study due to the random dialing feature. In telephone methodology, sampling methods consist of list-assisted, random digit dialing

(RDD) or multiple-frame sampling methods. In early telephone sample design or list-assisted design, researchers used telephone directories because they were readily available and considered to be a general representation of the U.S. household population. However, with increased levels of unlisted numbers, (Los Angeles being on the extreme side of 56% unlisted numbers, Survey Sampling Inc., 1989) concerns about the accuracy of the sample became prevalent. Defined by James M. Lepkowski in Telephone Survey Methodology, RDD can reach both listed and unlisted numbers by generating telephone numbers at random. Multi-frame sampling method, introduced by Lepkowski in 1993, combines both list-assisted design and RDD to generate telephone numbers in a select sample frame. An important point to note for RDD is that the sampling frame used for RDD can have a significant impact on cost and scope of the study if a substantial portion of households from random generated telephone numbers are ineligible to take the survey.

With a good telephone sample, either from a customer database or multi-frame sampling, surveys are conducted by trained interviewers with computer-assisted telephone interviewing (CATI) software. CATI can display the questionnaire to the interviewer with skip patterns and rotation of the questions. As investigated by Groves and Mathiowetz in 1984, collecting quantitative data using CATI results in "higher quality" data when a complex set of questions is surveyed on both types of paper and pencil and CATI methodologies. Other capabilities of CATI system include sending emails on the fly during an interview or redirecting a respondent to an IVR system. An IVR, Interactive Voice Response, telephone survey is administered by the respondent answering pre-recorded questions using touch-tone key pad to record their answers and there is no live interviewer. For those still using dial-tone telephones, the system can also capture and digitally store their voice responses. For open-ended questions, responses are recorded and then transcribed and included in the research report.

IVR is most commonly used to measure customer's reactions to service they just received, also known as a transactional survey. For example, you may be asked if you'd like to take a short survey at the end of the call with an agent. When the service is complete, the agent disconnects the caller, and the caller is transferred to a survey. Common IVR applications, other than for marketing research, include bank balance inquiry, call center routing, stock lookup and quotes, order entry and tracking, and Movie schedules. IVR is one example of a hybrid methodology. For example, a restaurant or retail store will give receipts with a toll-free number encouraging customers to take a survey for a discount or coupon incentive.

Although IVR surveys have a high fixed cost, there is very little variable cost. Western Wats, Polaris' telephone partner for telephone data collection, can have 2,000 lines available 24/7, which can be used to collect large volume data quickly and on a budget since a pre-recorded voice surveys the respondent. IVR's speed of data collection is its most striking advantage. Within 5 minutes after a service interaction is finished, a company can get feedback from the customer about his experiences. Also, although there is no interviewer bias, the question design is very limited to simple scale questions.

With both CATI and IVR systems, respondents who have unresolved issues and/or request immediate attention, can request for contact or Action Report at the end of the survey. Action Reports provide an excellent opportunity to mend dissatisfaction and turn these contacts into successful long-term relationships.

Computer Assisted Telephone Interviewing (CATI)

Pros	High quality control with trained interviewers and CATI technology to assist in complex questionnaire. Clarification of unfamiliar words and questions are carried out by interviewers. Data collection is quick and less prone to errors. It's easier to reach "low incidence" respondents, as in a segment of population that is small in size. It is also less prone to "non-response" bias and more likely to represent the true opinions of the population than any other method-ology.
Cons	In general, the telephone survey needs to be short, usually less than 15 min-utes, for respondents to be engaged and to complete it. It's difficult to ask sensitive and personal questions. Hurdles such as FTC's Do Not Call List for telemarketers and inexpensive gadgets like TeleZappers make reaching re-spondents more difficult. Cost per telephone interview can be expensive if the completion rate and response rate is low. There's also possibility of inter-viewer bias when probing for answers.

Interactive Voice Response Surveys (IVR)

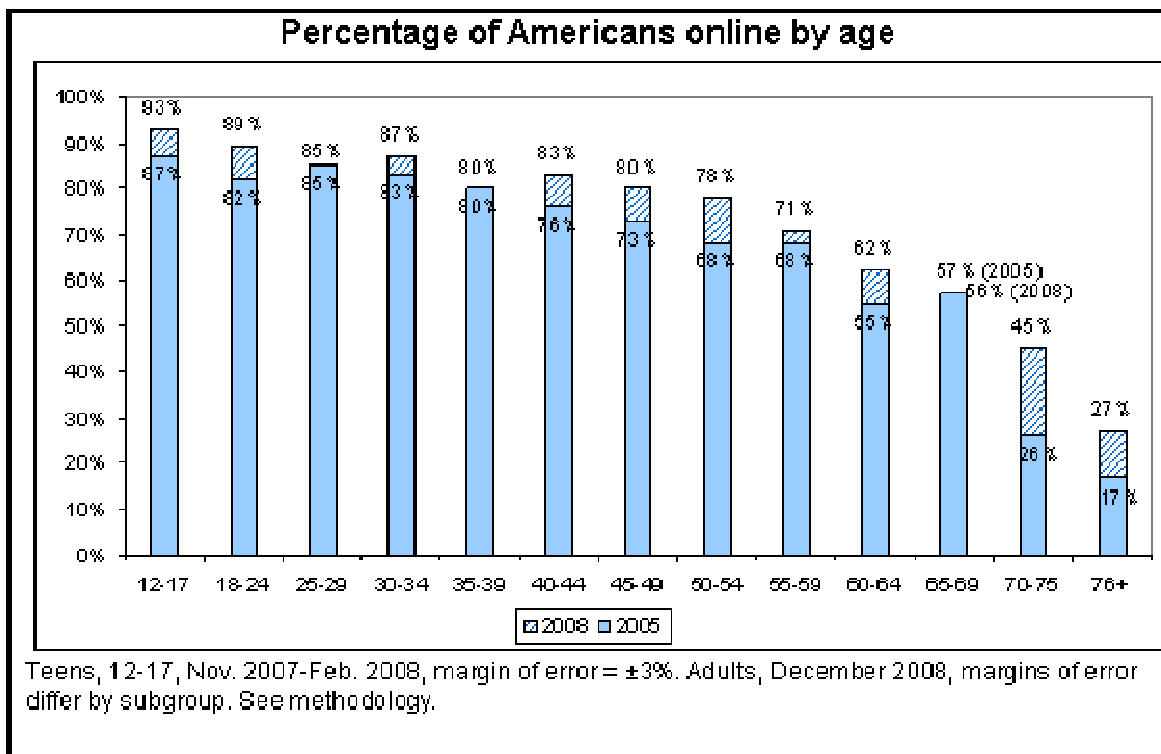|	
Pros	No interviewer results in low cost and no interviewer bias. Convenient for re-spondent to dial in anytime at his convenience. Used in transactional surveys, IVR provides fastest feedback after interaction with an agent/company.
Cons	Survey needs to be very short, 5 minutes or less. It tends to have low initial cooperation rates and high break-off rates. No clarification of questions and probing for reasons by interviewer.

Method #3: Online Surveys

With more companies trying to reach international markets, online surveys fill the need for sampling an array of languages and populations. Web questionnaire design can vary from complex skip logic to placing images, videos, and sound-clips for new brand concepts and designs. Unlike telephone interviews, there is no interviewer bias or even interviewer dia-lects/accents that can lead to misunderstanding the questionnaire. Data collection is quick and easy, and tracking where respondents break-off in the survey is possible due to data pip-ing-in to a database in real-time.

The obvious downside of online surveys that most expect is the problem of skewed data. Only the participants with Internet access are expected to respond with these respondents being in the Gen Y or Gen X generation. However, in a recent article by Pew Research Center "Generations Online in 2009," "the biggest increase in Internet use since 2005 can be seen in the 70-75 year-old age group. While just over one-fourth (26%) of 70-75 year olds were online in 2005, 45% of that age group is currently online." The following chart is a representation of Americans online by age.

Probing in online surveys is also a concern with this methodology. However, new soft-ware integrated with online surveys, such as iModerate and SurveyGuardian, are able to use interactive chat features, like a pop-up window during the survey, by a trained e-interviewer to probe for more clarity and accuracy of answers from the respondents in real-time.

Percentage of Americans online by age

Teens, 12-17, Nov. 2007-Feb. 2008, margin of error = ±3%. Adults, December 2008, margins of error differ by subgroup. See methodology.

Like telemarketing, SPAM-mail is a hurdle in this methodology. Because email invites for survey are sent through software in large email batches at a time, it can trigger a respondent's mail box to label it as "junk" or SPAM mail. To overcome this hurdle and increase response rate, sending an initial email about the survey from a trusted address domain is important. Mail invites, rather than email invites, with incentive offers are also used to initiate respondents to log on to online surveys.

However, advances in online surveys are not limited to clicking a survey link from an email invite or typing in a web address from a mail invite. "People are just not paying attention to their email like they used to," said Mark Houston, PeanutLab's Vice President for Marketing. Companies like Peanut Lab are targeting respondents of specific web communities or social networks, such as facebook.com, where incentives to taking surveys on your facebook page is fake online money for games and applications. The method used by Peanut Lab also can be used for recruiting an online panel, since social networks include demographic profiles used to segment respondents.

There's also an option to online surveys where you do not need an actual sample. For example, a "pop-up survey" window can be programmed to appear every n:th time the web site is visited. This online survey method can be used in order to avoid self-selection bias and to gain a little more control over the sample visiting the website. This method allows a good number of completes in a short period of time if the site has a lot of traffic. However, this type of methodology has been reported somewhat annoying to web users.

Hybrid methods are also used with online surveys to help you attain better, faster, and more responses. Respondents are recruited, screened, and instructed by a phone interviewer to go onto to a web page for the actual survey. Bill MacElroy in the article "Measuring response rates in online surveys," however, mentions a downside to using hybrid methods for telephone-recruit to web. He states that "telephone pre-recruitment can cost up to 70 percent of the cost of doing the entire interview over the phone, so there has to be a very compelling reason to use the Internet if you must call ahead of time."

Online Surveys

Pros	Although there is a high software and hosting start-up cost involved with launching your own online survey (unless professional marketing research firm like Polaris is used), the cost of online is less expensive than a CATI survey overall. Time collecting data is greatly reduced since data is automatically entered in a database and can be exported to other programs. Online surveys are as powerful as CATI, cover international population, and can display many different media types.
Cons	Coverage that is representative of the population is still inferior to telephone sampling. Email invites can end-up in junk mail boxes and people are paying less attention to emails as they used to. There's still self-selection bias unless pop-up surveys are used.

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404-816-0353, email: research@polarismr.com, web site: www.polarismr.com

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Method #4: In-Person/Household Surveys

Until the 1970s, face-to-face survey was the dominant methodology for data collection. However, with technology to cut down cost of interviewer's travel expenses, time, and training, why would you need to conduct face-to-face surveys? In the article "Intensive One-on-One Surveys" by Granite Bay, in-person or household surveys are most commonly used when interviewer and respondents are discussing personal situations with extensive probing and exploration. Respondents are able to reveal themselves and tell a story that is more genuine and pointed. The interviewer can record the responses into a computer or tape the interview while determining whether the respondent is giving false answers to the questions from his facial expressions and body language, etc.

In-Person Surveys

Pros	The completion rate is high. Respondent is unlikely to "drop off" before completion. The interviewer can acquire more qualitative data, and explore answers with respondent. It's optimal for difficult to reach populations.
Cons	Cost is very high due to interviewer training, traveling, and offering respondent incentives. Face-to-face surveys have almost become extinct due to cost compared to telephone or online methods. It has the highest degree of interviewer bias, in verbal and also in this case, non-verbal. Also, respondents may feel reluctant to share truthful answers to sensitive topics and give a more socially acceptable response to the interviewer

Now that you have the knowledge of four basic survey methodologies, we have to ask general, but insightful questions to determine which approach is most appropriate for your situation:

1) Depending on what you want to know, who should be in your sample and who should respond to the survey? Do you have the phone numbers, addresses, or email to reach your respondents?

2) Do you need the results right away? Time frame is an important factor to methodology consideration. Do you need to consider hybrid techniques and increase your cost to collect the data you need and as soon as possible?

3) How complex are your questions? Do they require probing from the interviewer? Does your survey need to show graphics and/or audio?

4) How many responses do you need to feel confident about the results? For example, at a 95 percent confidence level, the margin of error of n=200 responses is ±7 percent. This means that if 60 percent of your respondent answered to having a preference to Coke over Pepsi, you can be 95 percent sure that 53 – 67 percent of your entire sample population actually does prefer Coke over Pepsi. Depending on your ideal confidence level, you can increase or decrease your sample (n) to increase or decrease the margin of error.

All these factors taken into consideration not only affect the accuracy of your study, but also your budget. However, budget should never overweigh selecting the best option to achieving your research objectives.

For more information about survey methodologies and data collection, please contact us at http://www.polarismr.com/contact.html or call us at 678-323-3261.

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Questionnaire Design 101: Getting Started

Abstract: Creating a questionnaire requires as much science as art. It takes a good bit of experience to develop questionnaires that clearly and comprehensively address the goals of the project while considering both the nature of the target respondent and the particular survey methodology chosen. However, following a few basic principles of good questionnaire design can get you started in designing basic surveys. It also will help you with insight for evaluating the effectiveness of questionnaires designed by third parties.

Questionnaire Design 101: Getting Started

Creating a questionnaire requires as much science as art, and incorporating those two elements into a high-quality survey that will draw a good response rates while effectively collecting accurate data often takes time and experience. It is highly recommended that you and your team go through the entire questionnaire design process to make sure that any survey instrument you create will be an effective tool for gathering the information you need. Key steps in the design process include:

- Determine the information needed
- Determine which survey methodology is most appropriate for your needs
- Specify individual questions to be asked
- Decide what question structure, rating scale, and wording is appropriate
- Properly order the questions within the questionnaire
- Proof and pretest survey with small sample to check performance
- Make changes based on pretest and execute survey

You should consider the nature of the target respondent group when wording questionnaires. The methodology (for example, phone vs. online), also dictates what types of questions can be included and how they can be asked. A few general rules that should be followed include:

- ✓ Make sure your response categories cover most plausible responses and include an "other" category.
- ✓ Be very specific and keep it to one concept per questions. If necessary, break a complex question into several simpler ones.
- ✓ Create a logical order to the questionnaire with similar topics together and in context.
- ✓ When creating a list of response categories for multiple choice questions, make sure that each response is clearly different from the others with no confusing overlap. Build questions that are clearly understood.
- ✓ Write clearly and avoid unfamiliar words, jargon, technical terms and jargon that may be unfamiliar or confusing to your respondents.

✓ Don't use leading words and biased questions.

✓ Respect your respondents' privacy and allow them an out to skip answering personal questions (religion, education, income level, politics) if they so choose. Forcing a response can lead to hang ups and terminates.

Most important of all, remember that respondents are doing you a favor by participating and you should always respect their time, sensitivity, privacy and opinions. A respondent who was treated courteously and respectfully is likely to participate in other marketing research surveys.

When creating a survey questionnaire, there are basic types of scale questions to have in your tool box. They are:

Nominal — when numbers are used to identify objects, such as social security number, license numbers or daily customers. In this case, the number acts mostly as a data tag, typically for identification.

Ordinal — when numbers are used to indicate the relative position, but not indicate the magnitude of the difference between those positions. An example of this would be rankings in which items are listed by priority, say first through fifth, or competitive events where the quantifiable difference in perception between #1 and #2 is unknown.

Interval — when a rating scale is used and the zero point is arbitrary. An example of this is satisfaction scores (satisfaction of 3 on a scale of 1 to 5) as well as most other attitude and opinion questions, regardless of the scale used (3, 5, or 10 point). Unlike ordinal, the difference between each data point is fixed.

Ratio — the most useful of all of the scales in creating a questionnaire, ratio scales allow the researcher to incorporate each of the above listed scales into one (nominal, ordinal and interval). The key difference with ratio is that unlike the interval scale, it is anchored with an absolute zero point. Examples of ratio questions are market share, income group, age group, etc.

If you are creating a questionnaire from scratch, it is important to be mindful of these scales as each one lends itself to a particular type of data analysis.

For more information about questionnaire design, please
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Problem Solving

POST Management Program

Instructional Goal: Provide managers/manager trainees with problem solving skills

Performance Objectives:

- Discuss the Simplex 8 step problem solving model
- Practice the six thinking hats technique to improve creativity in problem solving

Problem Solving

WHAT
- What (exactly) do I want to achieve?
- What are the facts?
- What would happen if no decision was made or solution found?
- What do I need in order to find a solution?

WHY
- Why do I want to achieve a solution?
- Why did the problem or opportunity arise?
- Why do I need to find a solution or way forward at all?
- Ask 5 Whys

HOW
- How will the situation be different?
- How relevant is the information I am gathering?
- How can I find out more?
- How can I involve relevant people?
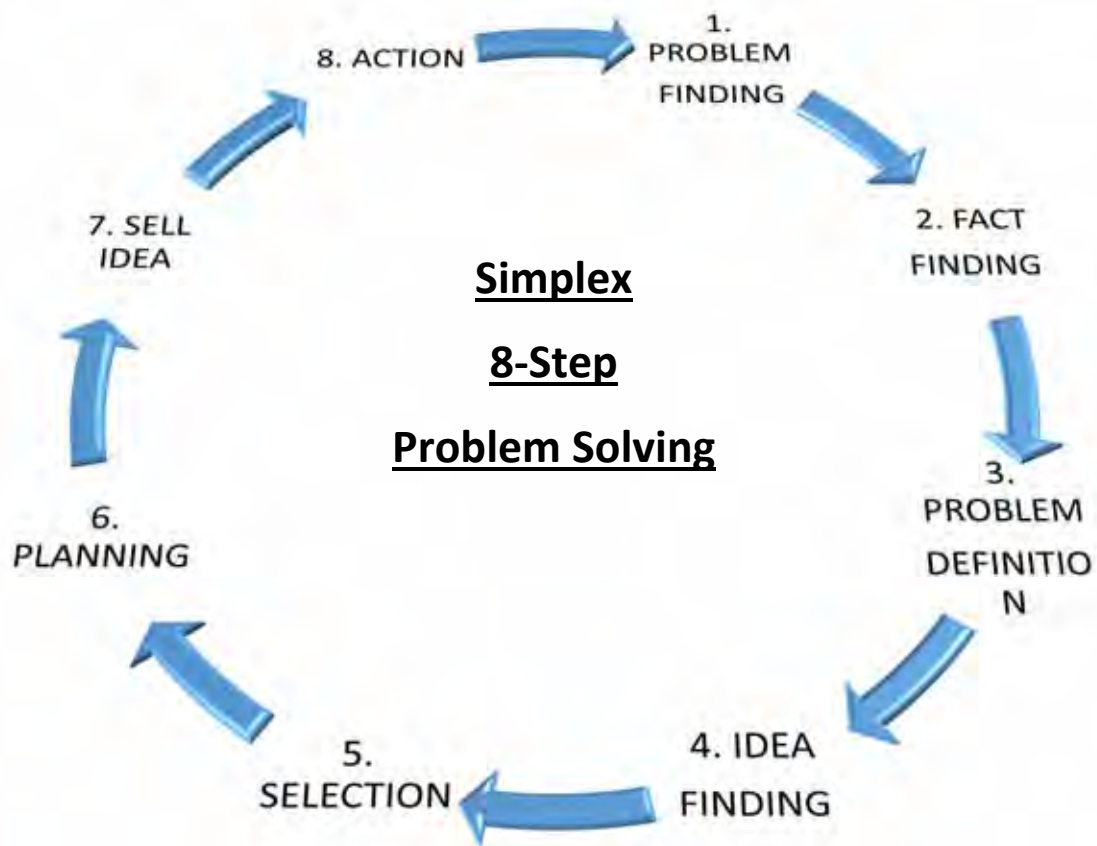
WHERE
- Where did the issue arise?
- Where does it impact?
- Is the "where" important?
- If so why?

WHO
- Who am I trying to please?
- Who cares about this situation? Who is affected?
- Who is involved (information, help, action)?
- Who needs to be informed?

WHEN
- When did the issue arise?
- When do we need to act?
- By when must it be resolved?

Simplex

8-Step

Problem Solving

Problem Solving Technique: 4 Steps to Improve Your Processes

This tool contains a useful problem solving technique to help you improve your processes. "Critical Examination" is a structured questioning process.

The questions in this tool are designed to help you examine your business processes, and to help identify possible improvements. The tool uses what, why, when, how, where, and who.

This problem solving technique is part of the comprehensive Seven Step Problem Solving process. Starting with the flow-diagram (below), it will help guide you from an assessment of the current situation, to challenging why things are done in a particular way, to option generation, and finally to the selection of appropriate solutions.

Next apply the systematic, structured, questioning technique, detailed below. Think about the task yourself, and then involve team members. Encourage creativity but ensure each step is taken in a thorough and disciplined manner.

The Critical Examination Technique

Read the questions in this problem solving technique then follow these 4 steps:

1. Answer the questions in the first column. These summarize the present process method, asking: what; how; when; where; and who.
2. Challenge each of your answers by asking "why?"
3. Use column three to help you generate a range of improvement options.
4. Use column four to help you decide on the best option.

Present method	Challenge	Improvement options	Best option
What is achieved?	Why is it necessary?	What else could be done?	What else should be done?
How is it done?	Why that way?	How else could it be done?	How else should it be done?
When is it done?	Why then?	When else could it be done?	When else should it be done?
Where is it done?	Why there?	Where else could it be done?	Where else should it be done?
Who does it?	Why them?	Who else could do it?	Who else should do it?

(Adapted from Michael Tucker's Successful Process Management in a Week)

Tips to Implement the Critical Examination Technique

To make improvements to a process, work with the team responsible for that process.

Use step 1 to:

- identify the purpose of the process;
- explore what citizens and stakeholders expect the process to deliver

Use step 2 to:

- analyze how the process works, and its resource requirements;
- explore ways of measuring its efficiency and effectiveness.

Use step 3 to:

- examine ways to improve the process;
- assess the implications and consequences of these improvements

Use step 4 to:

- decide on the best option, given available resources

A final tip: Look for the small changes to the process which could have a big impact as a whole.

Basic Guidelines to Problem Solving and Decision Making

Much of what managers and supervisors do is solve problems and make decisions. New managers and supervisors, in particular, often make solve problems and decisions by reacting to them. They are "under the gun", stressed and very short for time. Consequently, when they encounter a new problem or decision they must make, they react with a decision that seemed to work before. It's easy with this approach to get stuck in a circle of solving the same problem over and over again.

Therefore, as a new manager or supervisor, get used to an organized approach to problem solving and decision making. Not all problems can be solved and decisions made by the following, rather rational approach. However, the following basic guidelines will get you started. Don't be intimidated by the length of the list of guidelines. After you've practiced them a few times, they'll become second nature to you – enough that you can deepen and enrich them to suit your own needs and nature.

1. Define the problem/opportunity

This is often where people struggle. They react to what they think the problem is. Instead, seek to understand more about why you think there's a problem.

Defining the problem: (with input from yourself and others)

Ask yourself and others, the following questions:

a. What can you see that causes you to think there's a problem?
b. Where is it happening?
c. How is it happening?
d. When is it happening?
e. With whom is it happening? (HINT: Don't jump to "Who is causing the problem?" When we're stressed, blaming is often one of our first reactions. To be an effective manager, you need to address issues more than people.)
f. Why is it happening?

g. Write down a five-sentence description of the problem in terms of "The following should be happening, but isn't …" or "The following is happening and should be: …" As much as possible, be specific in your description, including what is happening, where, how, with whom and why.

Defining complex problems:

a. If the problem still seems overwhelming, break it down by repeating steps a-f until you have descriptions of several related problems.

Verifying your understanding of the problems:

a. It helps a great deal to verify your problem analysis for conferring with a peer or someone else.

Prioritize the problems:

a. If you discover that you are looking at several related problems, then prioritize which ones you should address first.
b. Note the difference between "important" and "urgent" problems. Often, what we consider to be important problems to consider are really just urgent problems. Important problems deserve more attention. For example, if you're continually answering "urgent" phone calls, then you've probably got a more "important" problem and that's to design a system that screens and prioritizes your phone calls.

Understand your role in the problem:

a. Your role in the problem can greatly influence how you perceive the role of others. For example, if you're very stressed out, it'll probably look like others are, too, or, you may resort too quickly to blaming and reprimanding others. Or, you are feeling very guilty about your role in the problem; you may ignore the accountabilities of others.

2. **Look at potential causes for the problem**
   a. It's amazing how much you don't know about what you don't know. Therefore, in this phase, it's critical to get input from other people who notice the problem and who are affected by it.
   b. It's often useful to collect input from other individuals one at a time (at least at first). Otherwise, people tend to be inhibited about offering their impressions of the real causes of problems.
   c. Write down what your opinions and what you've heard from others.
   d. Regarding what you think might be performance problems associated with an employee; it's often useful to seek advice from a peer or your supervisor in   order to verify your impression of the problem.
   e. Write down a description of the cause of the problem and in terms of what is happening, where, when, how, with whom and why.

3. **Identify alternatives for approaches to resolve the problem**
   a. At this point, it's useful to keep others involved (unless you're facing a personal and/or employee performance problem). Brainstorm for solutions to the problem. Very simply put, brainstorming is collecting as many ideas as possible, and then screening them to find the best idea. It's critical when collecting the ideas to not pass any judgment on the ideas – just write them down as you hear them.

4. **Select an approach to resolve the problem**
   When selecting the best approach, consider:
   a. Which approach is the most likely to solve the problem for the long term?
   b. Which approach is the most realistic to accomplish for now? Do you have the resources? Are they affordable? Do you have enough time to implement the approach?
   c. What is the extent of risk associated with each alternative?
   (The nature of this step, in particular, in the problem solving process is why problem solving and decision making are highly integrated.)

5. **Plan the implementation of the best alternative (this is your action plan)**
   a. Carefully consider "What will the situation look like when the problem is solved?"

b. What steps should be taken to implement the best alternative to solving the problem? What systems or processes should be changed in your organization, for example, a new policy or procedure? Don't resort to solutions where someone is "just going to try harder".

c. How will you know if the steps are being followed or not? (these are your indicators of the success of your plan)

d. What resources will you need in terms of people, money and facilities?

e. How much time will you need to implement the solution? Write a schedule that includes the start and stop times, and when you expect to see certain indicators of success.

f. Who will primarily be responsible for ensuring implementation of the plan?

g. Write down the answers to the above questions and consider this as your action plan.

h. Communicate the plan to those who will be involved in implementing it and, at least, to your immediate supervisor. (An important aspect of this step in the problem-solving process is continually observation and feedback.)

6. **Monitor implementation of the plan**
   Monitor the indicators of success:
   a. Are you seeing what you would expect from the indicators?
   b. Will the plan be done according to schedule?
   c. If the plan is not being followed as expected, then consider: Was the plan realistic? Are there sufficient resources to accomplish the plan on schedule? Should more priority be placed on various aspects of the plan? Should the plan be changed?

7. **Verify if the problem has been resolved or not**
   One of the best ways to verify if a problem has been solved or not is to resume normal operations in the organization. Still, you should consider:
   a. What changes should be made to avoid this type of problem in the future? Consider changes to policies and procedures, training, etc.
   b. Lastly, consider "What did you learn from this problem solving?" Consider new knowledge, understanding and/or skills.
   c. Consider writing a brief memo that highlights the success of the problem solving effort, and what you learned as a result. Share it with your supervisor, peers and subordinates.

7-Step Problem Solving

1. **Find the Right Problems to Solve.**
   Too often our approach to problem solving is reactive, we wait for the problems to arise. Firstly in our 7 problem solving steps, we advocate taking a proactive approach, go and find problems to solve; important and valuable problems. The real starting point then for any problem solving process is to find the right problem to solve.

2. **Define the Problem**
   It is very tempting to gloss over this step and move to analysis and solutions. However, like the first step, it is one of the secrets of effective problem solving. Combining problems that are valuable to solve, with defining exactly what you are trying to solve, can dramatically improve the effectiveness of the problem solving process. The secret to defining the problem, is really about attitude. Try to see every problem as an opportunity.

3. **Analyze the Problem**
   Analysis is a process of discovery of the facts, finding out what you know about the situation. In doing so you are breaking down complexity, stripping away the superficial and getting to the causes/issues.

4. **Develop Opportunities**
   There are always more than one way to solve a problem, so take time to develop plenty of creative possibilities to solve the problem.

5. **Select the Best Solution**

Selecting is about making choices, about deciding. To do this you need to weigh up the competing value and risk of the different options you generated in the previous step.
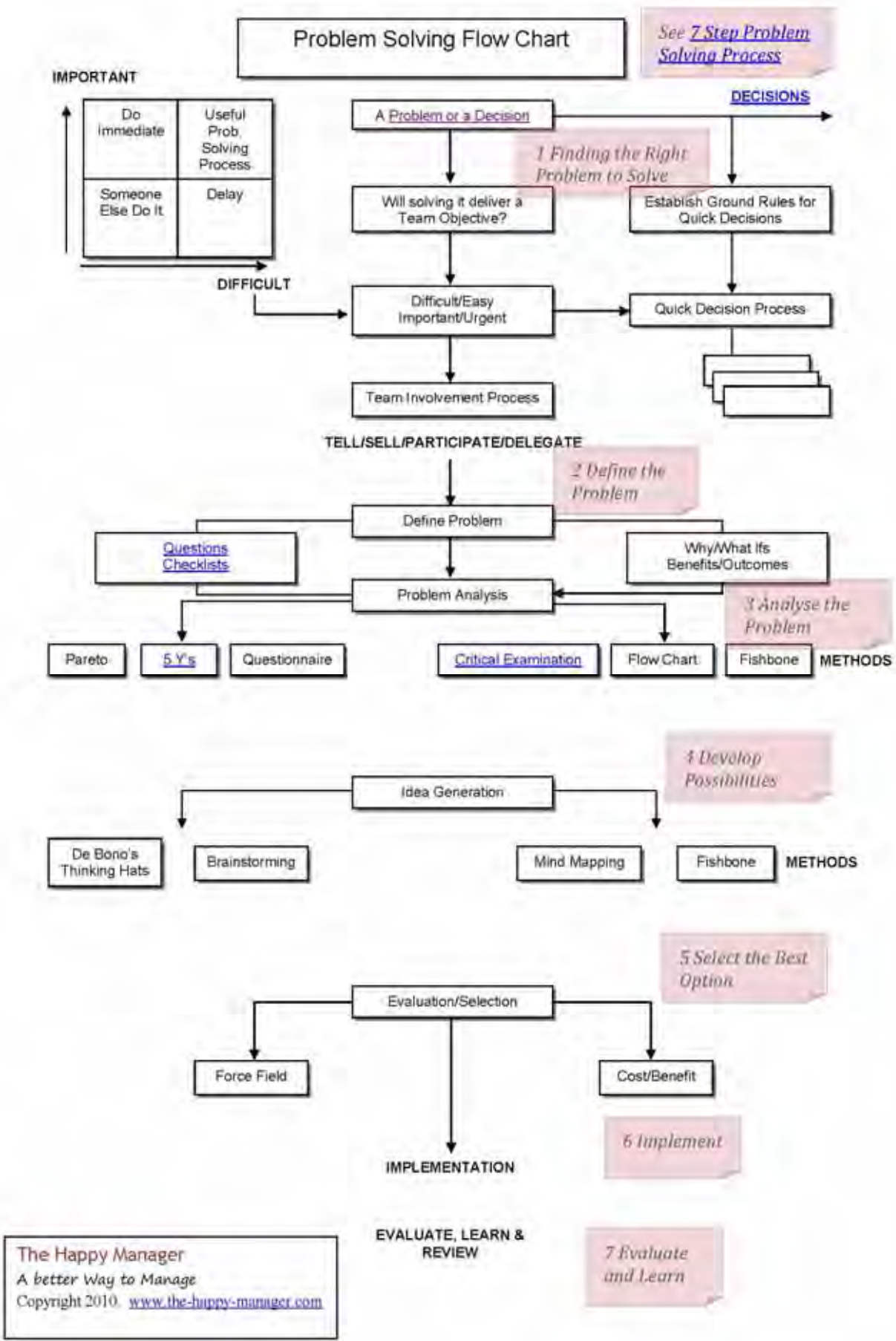
6. **Implement**

    Good solutions are often only as good as the way they are implemented. Implementation requires project management and a determination to deliver the outcomes essential to solving the problem you originally defined.

7. **Evaluate and Learn**

    You will have done some things really well through this seven step problem solving process. It would be all too easy to forget them in rushing to solve the next problem, or to implement the solution. You should evaluate at least two areas:

    - How you carried out the seven step problem solving process
    - The effectiveness of the solution you implemented. Did it deliver the outcomes you expected?

Problem Solving Flow Chart

See 7 Step Problem Solving Process

IMPORTANT

Do Immediate	Useful Prob. Solving Process
Someone Else Do It	Delay

DIFFICULT

A Problem or a Decision

DECISIONS

1 Finding the Right Problem to Solve

Will solving it deliver a Team Objective?

Establish Ground Rules for Quick Decisions

Difficult/Easy Important/Urgent

Quick Decision Process

Team Involvement Process

TELL/SELL/PARTICIPATE/DELEGATE

2 Define the Problem

Define Problem

Questions Checklists

Why/What Ifs Benefits/Outcomes

Problem Analysis

3 Analyse the Problem

| Pareto | 5 Y's | Questionnaire | | Critical Examination | Flow Chart | Fishbone | **METHODS** |

4 Develop Possibilities

Idea Generation

| De Bono's Thinking Hats | Brainstorming | | Mind Mapping | Fishbone | **METHODS** |

5 Select the Best Option

Evaluation/Selection

| Force Field | | Cost/Benefit |

6 Implement

IMPLEMENTATION

EVALUATE, LEARN & REVIEW

7 Evaluate and Learn

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A better Way to Manage
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Six Thinking Hats
Looking at a decision from all points of view

Take different perspectives.

'Six Thinking Hats' is an important and powerful technique. It is used to look at decisions from a number of important perspectives. This forces you to move outside your habitual thinking style, and helps you to get a more rounded view of a situation.

This tool was created by Edward de Bono in his book '**6 Thinking Hats**'.

Many successful people think from a very rational, positive viewpoint. This is part of the reason that they are successful. Often, though, they may fail to look at a problem from an emotional, intuitive, creative or negative viewpoint. This can mean that they underestimate resistance to plans, fail to make creative leaps and do not make essential contingency plans.

Similarly, pessimists may be excessively defensive, and more emotional people may fail to look at decisions calmly and rationally.

If you look at a problem with the 'Six Thinking Hats' technique, then you will solve it using all approaches. Your decisions and plans will mix ambition, skill in execution, public sensitivity, creativity and good contingency planning.

How to Use the Tool:

You can use Six Thinking Hats in meetings or on your own. In meetings it has the benefit of blocking the confrontations that happen when people with different thinking styles discuss the same problem.

Each 'Thinking Hat' is a different style of thinking. These are explained below:

White Hat:

- With this thinking hat, you focus on the **data available**. Look at the information you have, and see what you can learn from it. Look for gaps in your knowledge, and either try to fill them or take account of them.
- This is where you analyze past trends, and try to extrapolate from historical data.

Red Hat:

- 'Wearing' the red hat, you look at problems using intuition, **gut reaction**, and emotion. Also try to think how other people will react emotionally. Try to understand the responses of people who do not fully know your reasoning.

Black Hat:

- Using black hat thinking, look at all the **bad points** of the decision. Look at it cautiously and defensively. Try to see why it might not work. This is important because it highlights the weak points in a plan. It allows you to eliminate them, alter them, or prepare contingency plans to counter them.
- Black Hat thinking helps to make your plans 'tougher' and more resilient. It can also help you to spot fatal flaws and risks before you embark on a course of action. Black Hat thinking is one of the real benefits of this technique, as many successful people get so used to thinking positively that often they cannot see problems in advance. This leaves them under-prepared for difficulties.

Yellow Hat:

- The yellow hat helps you to think **positively**. It is the optimistic viewpoint that helps you to see all the benefits of the decision and the value in it. Yellow Hat thinking helps you to keep going when everything looks gloomy and difficult.

Green Hat:

- The Green Hat stands for **creativity**. This is where you can develop creative solutions to a problem. It is a freewheeling way of thinking, in which there is little criticism of ideas. A whole range of creativity tools can help you here.

Blue Hat:

- The Blue Hat stands for **process control**. This is the hat worn by people chairing meetings. When running into difficulties because ideas are running dry, they may direct activity into Green Hat thinking. When contingency plans are needed, they will ask for Black Hat thinking, etc.

A variant of this technique is to look at problems from the point of view of different professionals (e.g. police officer, public, administrators, etc.) or stakeholders.

Example:

The directors of a property company are looking at whether they should construct a new office building. The economy is doing well, and the amount of vacant office space is reducing sharply. As part of their decision they decide to use the 6 Thinking Hats technique during a planning meeting.

Looking at the problem with the **White Hat**, they analyze the data they have. They examine the trend in vacant office space, which shows a sharp reduction. They anticipate that by the time the office block would be completed, that there will be a severe shortage of office space. Current government projections show steady economic growth for at least the construction period.

With **Red Hat** thinking, some of the directors think the proposed building looks quite ugly. While it would be highly cost-effective, they worry that people would not like to work in it.

When they think with the **Black Hat**, they worry that government projections may be wrong. The economy may be about to enter a 'cyclical downturn', in which case the office building may be empty for a long time. If the building is not attractive, then companies will choose to work in another better-looking building at the same rent.

With the **Yellow Hat**, however, if the economy holds up and their projections are correct, the company stands to make a great deal of money. If they are lucky, maybe they could sell the building before the next downturn, or rent to tenants on long-term leases that will last through any recession.

With **Green Hat** thinking they consider whether they should change the design to make the building more pleasant. Perhaps they could build prestige offices that people would want to rent in any economic climate. Alternatively, maybe they should invest the money in the short term to buy up property at a low cost when a recession comes.

The **Blue Hat** has been used by the meeting's Chair to move between the different thinking styles. He or she may have needed to keep other members of the team from switching styles, or from criticizing other peoples' points.

It is well worth reading Edward de Bono's book **6 Thinking Hats** for more information on this technique.

Key Points:

Six Thinking Hats is a good technique for looking at the effects of a decision from a number of different points of view.

It allows necessary emotion and skepticism to be brought into what would otherwise be purely rational decisions. It opens up the opportunity for creativity within Decision Making. The technique also helps, for example, persistently pessimistic people to be positive and creative.

Plans developed using the '6 Thinking Hats' technique will be sounder and more resilient than would otherwise be the case. It may also help you to avoid public relations mistakes, and spot good reasons not to follow a course of action before you have committed to it.

"Houston, We Have a Problem": Leadership in Times of Crisis

By: Winston Scott

Perhaps you've never been called upon to lead in a situation as fraught with potential peril as the manual capture of a $10 million, 3,000-pound, out of control satellite in outer space (the mission faced by the crew of the space shuttle Columbia in 1999), but business leaders face major crises all the time: a scandal involving senior management, fall-out from an economic downturn, product malfunction and recall or the loss of a key employee.

Leadership under extreme conditions, like those encountered aboard the Columbia, requires adherence to key principles that guide you, your team and your mission to success. The Columbia mission did ultimately succeed, and using the same principles of leadership that worked on this space mission, business leaders too can learn to turn obstacles into opportunities.

Space Mission Lesson #1: Prepare for the Unknown
A leader needs to anticipate any potential problems. The original Columbia mission was to launch a research satellite called Spartan, but the satellite malfunctioned almost immediately. The effort to retrieve it for repair went awry when the shuttle's robotic arm inadvertently tipped the satellite, setting this object—roughly the size and weight of an automobile—spinning unpredictably in space. Because NASA and the Columbia crew had already prepared for potential problems, they immediately knew what to do next. Two spacewalking astronauts—one on his first space flight—had to perform a dangerous manual capture of the satellite.

When an unanticipated problem occurs in business, leaders, like the astronauts, should be so thoroughly prepared that they already know what options and resources are available to help solve it. Otherwise, valuable time is wasted, during which the crisis may become even more dire.

So in your business, determine what possible factors could cause your company to suffer, and then devise action plans for dealing with each scenario. Should that problem ever occur, you will be able to react quickly and lead your team to victory.

Space Mission Lesson #2: Conquer Communication Barriers
Get to know the members of your team well. Ascertain their communication strengths and weaknesses, particularly in times of crisis. Don't assume that even the people closest to you will understand your plans. It's never more important for everyone to be on the same page than when you're confronting a problem. To ensure that your message is communicated correctly, solicit feedback, asking "Do you understand what I mean?" to encourage clarifying questions and honest responses from your team.

English was the second language of one of the spacewalkers, so the lead spacewalker spent a lot of time with him to ensure they were speaking the same language, literally, before they attempted to capture the satellite. What's more, in space, all direction is relative to something else, so to facilitate the manual capture of a satellite while cruising at 18,000 miles an hour, everyone on the team needs to know what "up" and "down" mean in that context.

In the world of international space flight, there may be literal language barriers to overcome, and in an organization, even if everyone speaks the same language, the filters of culture sometimes put up major communication obstacles. Men and women may communicate differently, for example, and business leaders must ensure that communications' meaning and intent are clearly understood by everyone, especially when trying to solve a problem.

Space Mission Lesson #3: Be Alert to Non-verbal Communication
A good leader will pick up on cues to potential problems and misunderstandings before they arise. For example, while both the robot arm operator and one spacewalker on the Columbia mission were highly qualified individuals, both were on their first space flights. The lead spacewalker observed that the other spacewalker

talked very little and kept to himself, away from the group. In response, he shared his own experiences on his first spacewalk, reassuring the other man that he empathized with his nervousness but was confident he would do well.

As a business leader, you must know how key team members act on a normal basis so that you can recognize behavioral changes. When a crisis occurs, does your usually social VP of Marketing lock himself in his office? Does your usually mild-mannered CFO begin barking orders like a drill sergeant? These are telltale, non-verbal cues that you must step in and take the lead.

Space Mission Lesson #4: Ask for Help

A leader must demonstrate an immediate understanding of the problem. You can't appear wishy-washy, even if, at the moment, you don't have a clue what's going wrong. You need to demonstrate self-assurance to show that you're in control. People follow confidence.

Keep in mind, however, that confident doesn't mean omniscient. You must solicit input and feedback from the experts both on your team and outside the team. NASA rehearsed the satellite's capture on the ground and sent images up to the shuttle. The spacewalkers constructed a Spartan simulator for practice, and the team leader rehearsed the terminology to use in the capture and to direct the commander where to fly the shuttle to get it close enough to the satellite so they could reach out with gloved hands and manually direct the satellite back into the shuttle.

You don't need to know every single nut and bolt involved in every single person's job, but there are people on your staff who are more expert in certain areas than you are. Acknowledge that and benefit from it when planning and problem-solving.

Space Mission Lesson #5: Earn Real Experience
Business leaders, like astronauts, obviously need technical training in their fields, but equally important are maturity and experience at making difficult real-time decisions. There's a reason you never see 22-year-old astronauts! You must have complete confidence in your ability to make critical judgments and to take action in tough situations—and the only way to acquire that confidence is through real-world experience.

While mounted in foot restraints on the edge of the shuttle, the Columbia spacewalkers spent 3½ hours safely manipulating the satellite into the single orientation that would fit it into the payload bay. The leader had never before attempted this particular mission, but he did have a vast array of experience—even some mistakes—that gave him the focus and determination that were essential to keep 3,000 pounds of mass from getting out of control, where it might injure the spacewalkers or damage the space shuttle.

As you came up through the business ranks, decisions you made may have cost your department money, set back a safety record, or otherwise affected some critical aspect of the business, but all of that is part of your essential on-the-job education.

Leaders Reach for the Stars
As NASA knows, one of the main considerations for hiring or promoting senior management must be their level of experience, training, and education in problem solving, especially in a crisis situation. Have they turned critical circumstances around? Do they thrive or shrink in the face of disaster?

Whether walking in space or walking into a boardroom, good leaders must not only be prepared for everything that might go wrong, they must come alive when faced with a thorny situation, large or small. Great leaders have confidence, can communicate what's necessary to handle a problem, and know how to best utilize the skills of each member of their team to solve it. The ability to lead in the face of a crisis separates the great leaders, those who have "the right stuff," from those who don't.

About the Author(s)

Winston Scott is a speaker, consultant and retired astronaut who has logged a total of 24 days in space, including three spacewalks. He is the author of *Reflections from Earth Orbit*, based on his experiences in space. For more information contact him at jazzairllc@aol.com or visit www.winstonescott.com.

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Risk Management

POST Management Program

Instructional Goal: Provide a refresher on risk management and the responsibility of the manager and supervisor.

Performance Objectives:

- Discuss the cost of accidents in the workplace
- Discuss accident prevention
- List the manager's/supervisor's role in risk management
- List the three factors safety
- Discuss OSHA requirements
- Discuss liability issues

Risk Management

It is all predictable and preventable!

Risk Management Definition: Any activity that involves the evaluation of or comparison of risks and the development, selection and implementation of control measures to change outcomes

To carry out risk analysis, follow these steps:

1. Identify Threats
   - Human – from individuals or organizations, illness or death, etc.
   - Operational - From disruption to operations
   - Reputational - Damage to reputation
   - Procedural - From failures of   accountability, internal systems, organization, fraud, etc.
   - Project - Service quality
   - Financial - Budget cuts, loss of staff
   - Technical – from advances in technology, technical failure, etc.
   - Natural – threats from weather, natural disaster, accident, disease, etc.
   - Political – from changes in regimes, public opinion, government policy, etc.
   - Others
2. Estimate Risk – estimate the probability of the event occurring and multiply this by the amount it will cost you to set things right if it happens
3. Manage Risk – by using existing assets, contingency planning, investing in new resources
4. Review

Risk = probability of event X cost of event

Risk Management/ACCIDENT COSTS
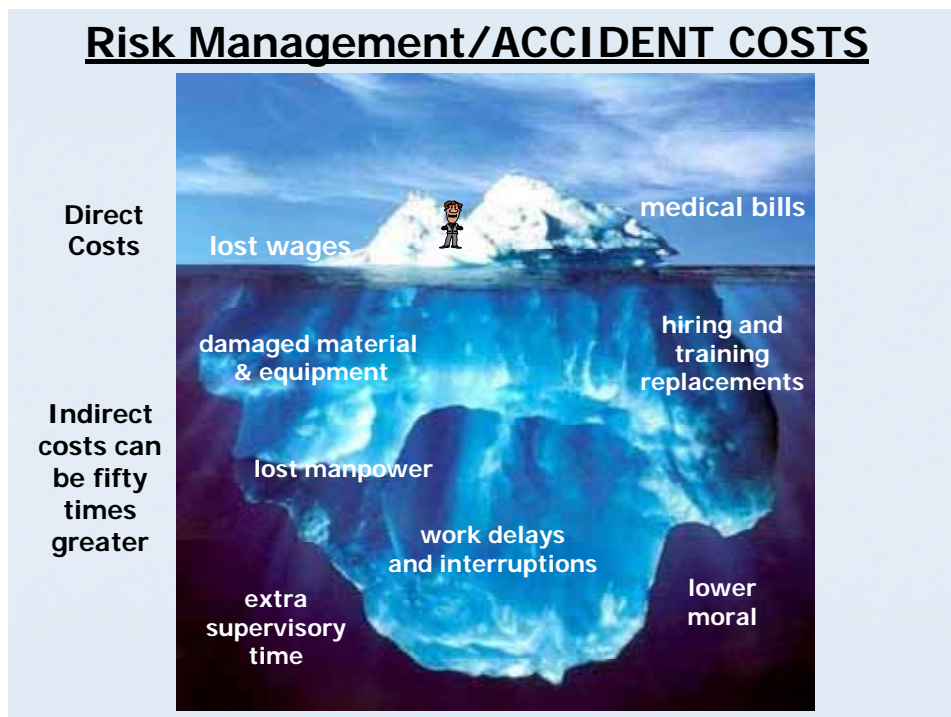
Accident Prevention

- Preventing accidents is critically important
- Supervisors play a key role
- Supervisors need to deal with many issues
- Certain techniques are useful to effectively lead others

The Manager's/Supervisor's Role...influencing safety

TRAIN PERSONNEL

INVESTIGATE ACCIDENTS

COMMUNICATE

ENCOURAGE POSITIVE BEHAVIOR

SET THE EXAMPLE

ENFORCE THE RULES
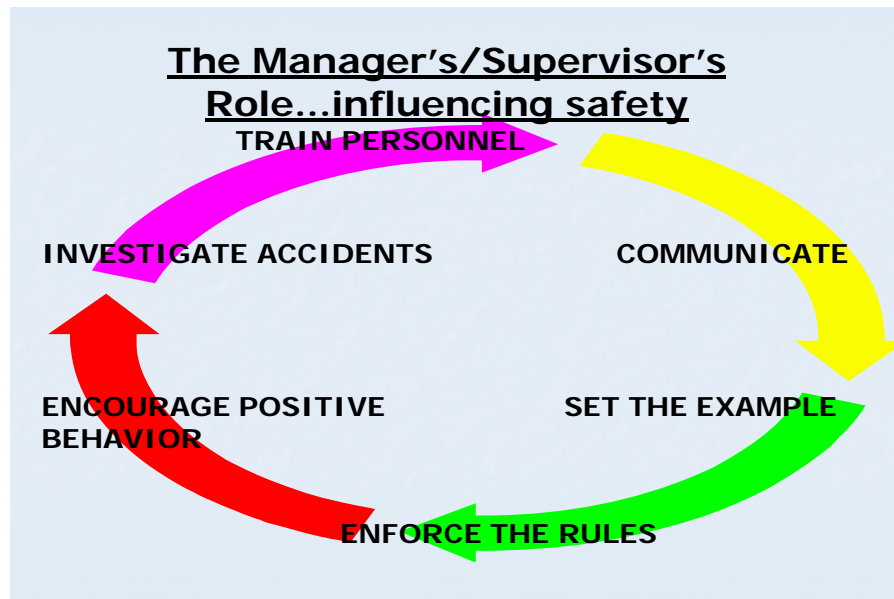
Signs of a Leader

- Commands respect
- Shows respect for others
- Uses clear communication
- An effective trainer
- Has good listening skills
- Provides feedback
- Performs follow-up
- Understands human behavior

Factors Influencing Safety

- Management Systems - Policies, Procedures, Pro-Active Safety Culture
- Work Factors -Facilities, tools, equipment and materials, housekeeping, physical hazards
- Human Element - Behaviors, Skills, knowledge, abilities, intelligence, motives

Human Element

- Most safety programs deal with physical factors
  - easiest to identify and correct
- Can only do a partial job at best
  - human element is always present
- Examine human behavior as it relates to Safety
  - how & why workers commit unsafe acts
  - correct the human behavioral aspect

Human Factors

- Arrogance: Rules do not apply to me
- Ignorance: I have no idea what the rule are
- Complacency: I have always behaved like this and I do not plan on changing my behavior

Focus on Behaviors, Not Attitudes

- Unsafe Behaviors should be your focus
  - failure to use PPE, safe guards, procedures. These are observable and can be changed
- Most Safety programs try to change attitudes
  - carelessness, laziness, "bad attitude" …. not directly observable, hard to change

Correcting Habits

- Reminders and repetitions of 100% safe behavior
- Enforcement is required
- Use disciplinary action if needed – 'Up to & Including…Termination'
- Positive reinforcement is the most effective method
- Praise the employee for safe behavior
- Set a good example "yourself"
- Catch your people doing something right - rewards

EFFECTIVE TRAINING

- Employees need to know safe job procedures
- Important part of supervisor's duties
- Trial & error is a poor method of learning
- Organized training is necessary
- Follow a step by step approach

SHOW

TELL   TRAINING STEPS   OBSERVE
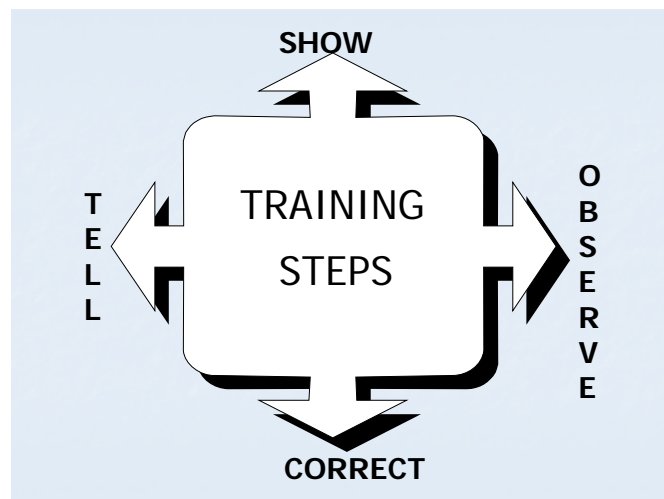
CORRECT

Training Guidelines

- Explain the job procedures
- Show the job procedures
- Employee explains it and shows you
- Praise for what is done correctly
- Correct the technique if necessary
- Employee explains and shows again
- Praise for correct technique / procedure
- Follow-up and repeat if necessary

Setting the Example

- Follow the rules yourself
- Be consistent in your approach
- Even small things count
- Do not make exceptions & do not play favorites
- Your actions say a lot more than your words
- Employees will watch you to see if you "lead by example."

Accident Investigation

- Accidents are investigated, not to find fault or to blame, but to find out the Root   Cause
- Get the who, what, when, where & why
- Careless is unacceptable "cause"
- Develop a plan for preventing the accident in the future

Manager's/Supervisor's Responsibility

- Besides an ethical and moral duty, you have a legal responsibility for safety supervision
- Managers/Supervisors can be held criminally liable for serious injury or death of an employee if they have been negligent in their duties

OSHA Requirements

- Effectively implement the Safety Program
- Enforce all safety rules
- Monitor safety equipment use
- Correct & report hazards as soon as possible
- Document all safety activities
- Be sure that all your employees know that they can come to you with safety concerns
- Always cooperate with outside inspectors

Record Keeping

- New hire training
- Safety meetings
- Safety warnings / disciplinary actions
- Correct & report hazards as soon as possible
- Document all safety activities
- Be sure that all your employees know that they can come to you with safety concerns
- Always cooperate with outside inspectors

Five Items Necessary for Management Liability Reduction

- People (Getting and Keeping)
- Policy (Reviewed & Updated annually, Knowledge)
- Training (Initial and ongoing)
- Supervision (Pre-Incident)
- Discipline (Prompt, fair and impartial

One Last Point

- As long as you follow through on your duties and do not ignore safety issues/problems; and
- As long as you take the time to properly train and monitor your workers; and
- As long as you document all safety activities you should not have any legal problems
- It is when you ignore your duties and do not take safety seriously that trouble might erupt

Summary

- Accident prevention saves money and improves productivity
- Supervisors have a key role in the safety program
- Understand human behavior
- Be a leader - set the example, enforce the rules
- Train, communicate, motivate & do not play favorites
- Follow through on your responsibilities – make & take the time!

Risk Management Key Points

- Risk analysis allows you to examine the risks that you or your agency face.
- It is based on a structured approach to thinking through threats, followed by evaluation of the probability and cost of events occurring.
- Risk analysis forms the basis for risk management and crisis prevention. Here the emphasis is on cost effectiveness.

Updating Ethics Training—Policing Privacy Series: Managing Risk by Reducing Internal Litigation

By Thomas J. Martinelli, Adjunct Professor, Wayne State University, Detroit, Michigan; and Lawrence E. Shaw, Inspector, Florida Department of Law Enforcement, Investigations and Forensic Science Program, Tallahassee, Florida

For years, ethics trainers have taught that all illegal behavior committed by a sworn member is unethical, but that not all unethical behavior is illegal. Still, policy noncompliance involving department investigations into members' private lives remains a dicey business. Invariably, department policies and procedures dictate that sworn members, and sometimes the non-sworn, must conduct themselves both on duty and off duty in accord with their organizations' expectations, citizen expectations, and ethical expectations, and not according to their own subjective privacy expectations. These are training issues that must be addressed at an academy level as well as during annual in-service training sessions.

Time and time again, officers accused of policy noncompliance for unethical behavior claim that they did not know that legal, but questionably moral, behavior would subject them to department discipline. The law enforcement profession demands the highest standards of duty and credibility in its members in order to accomplish its mission to protect and serve. This demand implies that the mission strictly adheres to the tenets of the profession and is carried out constitutionally, ethically, and legally. This philosophical template of professionalism is the cornerstone of productive community-policing relations. In the end, citizens are the stakeholders of policing services, and reducing department internal litigation, specifically unethical misconduct and privacy issues, is a mandatory organization-wide challenge.

Minimizing Litigation Is Managing Risk

Renowned lawman, lawyer, and annual IACP conference presenter Gordon Graham travels the country speaking about what managing risk entails in law enforcement circles.[1] He uses a succinct definition for risk management, describing it as "any activity that involves the evaluation or comparison of risks and the development, selection, and implementation of control measures that change, reduce, or eliminate the probability or the consequences of a harmful action."[2]

He has several risk management catch phrases applicable to law enforcement, such as "every identifiable risk is a manageable risk"; "the errors that he will make can be predicted from the errors he has made"; "things that go wrong in life are predictable, and predictable is preventable"; and "discipline is a form of training."

Graham understands policing and is adamant about supervisory proactive prevention as he lectures on the costly mistakes made by supervisors failing to adequately supervise. More times than not, department liability is the result of "a supervisor not behaving like a supervisor."[3] Graham repeatedly emphasizes that running a police department is a systemic team effort, and when tragedies occur, management drops the supervisory ball and fails in its supervisory duties.

Examples of dropping the supervisory ball include failures to adequately educate sworn personnel regarding department expectations of both on-duty and off-duty conduct regarding unethical behavior. In police training circles, there is a distinct disconnect between training blocks regarding "coffee shop ethics" and gratuities and training blocks regarding officer privacy expectations. Specifically, there is a lack of attention and policy implementation to both off-duty activities and department-related information technology oversight.

Graham's wisdom regarding managing risk can be applied to the astronomical costs associated with internal litigation. These are the lawsuits employees engage in regarding labor law issues and discipline. To reduce liability, attorneys' fees, and hours spent in defense of lawsuits, law enforcement executives must repeatedly provide notice through training of department expectations for officer behavior. An agency can markedly reduce its liability from internal lawsuits (police officers supplementing their incomes by suing their departments) if designated blocks of training address organizational expectations pertaining to officer privacy issues. Training curriculums must explain what "keeping one's private life unsullied as an example to all" means in today's policing values. Minimizing internal lawsuits through notice reduces or eliminates costly litigation. In these times of having to do more with less, this is a cost-saving managerial tool that can provide only positive dividends for the future.

Others have mirrored Graham's definition regarding the organizational duties associated with departmental liability, which states that "risk management is a process that also includes basic managerial functions: planning, organizing, and leading, as well as controlling agency losses at a reasonable cost. It uses accepted managerial techniques in order to preserve the assets of an organization or entity."[4] This systemic accountability demands department-wide training in the agency's expectations of officer behavior both on duty and off duty; policy implementation; vigilante supervision; and strict, swift, and certain discipline for policy noncompliance. Middle management buy-in for identifying potential risk, coupled with the use of early warning systems, is critical for success. Otherwise, organizational dysfunction results and can prove costly in civil court, win or lose.

When a member of a police department sues the department, the ultimate losers are the stakeholder citizens. This is an inexcusable cost that must be avoided. Failing to follow a risk management template for success, which must commence with a block of training comprehensively discussing systemic notice in training, can result in protracted internal litigation. What is worse is the problematic reality of having to reinstate a poor employee, with back pay, because a policy was void for vagueness or was inadequately addressed in training curriculums. Maintaining written records of training curricula and attendees is a strong defense against an officer's "I didn't know" defense.

Lastly, prioritizing potential risks is the key to successful risk management.[5] There are plaintiff attorneys who make their livings suing departments regarding fatalities resulting from police shootings and pursuits. These are

priorities that agencies historically have had to address due to their relative frequency and are generally forgiven by civil juries in wrongful death actions. Time and time again, the dangerousness of the job, the tragic situations officers confront on a daily basis, and the split-second decision-making processes officers have to engage in cause juries to side with police departments. These lawsuits, though a part of the public service professions, must be minimized at all costs.

Civil trials for internal litigation involving unethical officer behavior and privacy issues may find that taxpayers are not as forgiving of the police in their jury verdicts as the disciplined officers would like them to be. Taxpayers are the clientele of the police department, and knowledge of their officers' off-duty promiscuity, on-duty derelictions, and sexual trysts may not result in their blind-faith forgiveness. Agencies have a duty in assessing their risk management priorities to minimize or alleviate the potential for all types of costly internal litigation.

Privacy Expectations and Off-Duty Sexual Trysts
Labor law literature is rife with examples of officers involved in off-duty sexual trysts. For years, police ethics trainers have referred to a wrongful discharge lawsuit wherein an officer involved his wife, his 18-year-old sister-in-law, his scout car partner, and tangentially, his entire department in a sex scandal that resulted in his termination.[6]

Rumors were rampant throughout the department that the 18-year-old was engaged in nefarious relations with numerous officers. The woman's parents complained to the chief, the mayor, and eventually to the media. Once the internal investigation was finalized, it was discovered the officer in question solely orchestrated sexual trysts with his scout car partner and his wife in order to seduce his 18-year-old sister-in-law.

The key to this case was the court's conclusion that the terminated officer knew, or should have known, that his legal but unethical off-duty behavior could cost him his job. His actions constituted unbecoming conduct, brought discredit to the entire department, and gave the citizenry, through extended media coverage, the perception that their police officers spent more time pursuing sex than protecting the streets.

In upholding the officer's termination, the court rejected the defense that the officer did not know his off-duty unethical behavior would deprive him of his job and police pension. In fact, the court used the IACP Code of Ethics as the template of notice, stating that the officer knew he was to 'keep his private life unsullied as an example to all' if he wished to be a part of this noble profession. In a paramilitary structured organization, such unethical behavior is dysfunctional and tarnishes the good image of the agency in the public's eye.

Further, thousands of taxpayer dollars were used by the department to defend the lawsuit. In this case, one can conclude that the agency's termination process took many hours to investigate; litigate (in department labor hearings); and eventually defend in civil court. These internal law enforcement lawsuits are counterproductive, inefficient, and require significant time and money. In the end, the citizens the agency is tasked to serve are the losing faction.

Internal litigation is a management risk that is predictable, preventable, and can usually be avoided, or minimized, with adequate training, policy implementation, and middle management buy-in. There must be an organizational understanding, between rank and file, as to privacy expectations of the department and written policies supporting that understanding. Organizational training mandates limiting employee privacy expectations, coupled with department policy compliance measures, are the keys to successfully diminishing internal lawsuits.

Information Technology, Privacy Expectations, and Internal Litigation
In this age of information technology (IT), there will always be the organizational challenges of expediting law enforcement services through technological means and employee privacy expectations associated with these IT tools. One could argue it is a dereliction of duty for a law enforcement agency to not embrace this modern age of technology in order to better serve its constituents. But as the tools of the trade become more sophisticated, the rules of law associated with the use or abuse of those tools becomes more challenging.

Police administrators must employ a comprehensive IT privacy policy that instructs all sworn personnel using agency-supplied technological equipment that this equipment is to be used solely for police matters; that all communiqués will be randomly audited for work-related purposes; and that there exists no employee expectation of privacy for the use of such technological equipment. In this way, misconduct allegations are reduced, internal investigations are minimized, discipline in this regard is practically nonexistent, and plaintiff lawyers will have less causes of action to sue departments.

Organized policy implementation reduces departmental risk, but poorly drafted or vague policies have forever provided internal litigation headaches in policing. The wording in the policies themselves, coupled with assumptions, implications, and a blind faith that employees will always do what is morally right, have cost agencies time, money, and sometimes a drop in morale with increased employee cynicism. The "supervisory logic of good faith"[7] presumes that subordinates will comply with policies and procedures and can police themselves in regard to policy compliance issues. As Graham said at IACP 2009 in Denver, "Show me a tragedy in law enforcement—and almost without exception (and there are some exceptions) I will show you the fingerprints of a supervisor not behaving like a supervisor."[8] The U.S. Supreme Court recently had to adjudicate a poorly worded and poorly implemented department IT policy in deciding Fourth Amendment privacy issues.

In the case City of Ontario, California, et al. v. Quon, the Ontario, California, police department provided its special weapons and tactics (SWAT) team members with alphanumeric pagers, as the court put it, "in order to help the SWAT team mobilize and respond to emergency situations."[9] The agency purchased 25,000 text characters (letters and spaces) a month for each member's pager, and the text messages from the pagers were subject to the agency's computer policy. That policy stated that the city reserves the right to monitor and log all network activity including e-mail and Internet use, with or without notice, and that "users should have no expectation of privacy or confidentiality when using these resources."[10] Subsequent training at a staff meeting for the SWAT team and a memo from the chief further stressed that the texts sent on the SWAT pagers were considered departmental e-mail and were subject to random audits. The plaintiff, a sergeant on the SWAT team, fully acknowledged the computer policy, the relevance of the pager's use with that policy, and the 25,000 character limit per month.

Despite this departmental policy of notice and officer acknowledgement, the sergeant filed a Fourth Amendment privacy rights violation suit against his employer after he was disciplined for his improper use of the SWAT pager.

The sergeant's discipline resulted from an internal affairs investigation regarding his on-duty use of the pager for personal matters. The chief audited the team's text messages to see if the department needed to purchase more monthly characters. The internal affairs investigation concluded that the plaintiff, in the month of August alone, sent or received 400 personal messages while on duty, which had nothing to do with the duties associated with the SWAT team. His record for one day at work was 80 text messages, and his daily average for sent or received personal messages was 25 texts. The investigation also discovered that some of the on-duty personal messages were sexually explicit in nature. After the sergeant was disciplined, he filed his privacy violations lawsuit.

Despite the presence of a written computer policy; further training on that policy; and a memo from the chief stating that all departmental networking, including the text messages from the SWAT pagers, were subject to random audits, the plaintiff argued his privacy expectations to the on-duty texts were violated. He argued that a subsequent verbal agreement between the team and its lieutenant nullified the computer policy, at least in regard to the SWAT pagers. The lieutenant assured the team members no one from the agency would audit the team's text messages as long as they personally reimbursed the city for all monthly overages exceeding the allotted 25,000 texts per month, per pager. The court ruled in favor of the department.

Though the U.S. Supreme Court's analysis is long and arduous, reading between the lines facilitates a swifter conclusion. The court concluded that the plaintiff had a limited expectation of privacy, if any at all, and that the search was reasonable under the circumstances and under any Fourth Amendment application.

The majority relied heavily on the facts of the case. The plaintiff was a supervisor. He knew the policies and the agency's purpose behind those policies. He was on a special tactical team, held to higher standards than street-level supervisors due to the dangerous nature and duties of a SWAT team. The purpose behind the acquisition of the pagers was to facilitate work-related communications between the team members.

The court concluded that the plaintiff was a veteran officer and knew, or should have known, that department-issued communication technologies are many times subject to (1) review for performance evaluations; (2) reasonable Freedom of Information Act requests by citizens or the media; and (3) the lenient discovery rules used in civil lawsuits, especially lawsuits in which SWAT team members most likely would be involved. For these operational realities, coupled with knowledge and notice of the computer policy, the court rejected the plaintiff's expectation of privacy argument.

In this discussion of managing risk by reducing internal litigation, how did such a case, as costly as it was to the taxpayers of that community, ascend to the U.S. Supreme Court? On its face, the sergeant did not seem to have much of a legal leg to stand on from the outset. This is where poor policy drafting and poor policy implementation can cost an agency the multitude of hours and attorney fees associated with such internal litigation.

First, as previously mentioned, the plaintiff hung his privacy expectations argument on the lieutenant's subsequent verbal assertions that the department would not audit the SWAT team's text messages as long as the team members paid for their own overages. The lieutenant lacked the authority and the policy-making powers to circumvent a written departmental policy, and the court recognized that. This is an issue that must be addressed in supervisory training circles. Verbal, additional, or implied changes to written departmental policies cloud misconduct issues and disciplinary procedures and may fail in labor law hearings.

Secondly, the computer policy and subsequent text message training for the SWAT team never specifically addressed personal usage of the pagers, whether used on duty or off duty, and the discipline to be meted out for any policy noncompliance. It seems that as long as the team members did not exceed the 25,000 characters allotted, personal use, both on and off duty, was permissible. But had the plaintiff never exceeded his monthly characters, would the chief have been justified in ordering an audit of the text messages? The answer is yes; all random audits in policing have a special needs purpose in the professional administration of a department, and employee privacy should never be an issue.

Why, then, was a costly jury trial held to determine the chief's intent in ordering and auditing the team's text messages? The departmental technology policies themselves never mentioned that the chief, the internal affairs department, or anyone with the authority to audit those messages had to rely on a Fourth Amendment exception to read those employee messages. Random audits in the workplace are just that: random, with no need for reasonable suspicion, probable cause, or allegations of misconduct. A random audit policy gives administrators carte blanche authority to audit all technological communication associated with department-issued equipment. Random audits of in-car videos, in-car lien communications, and Internet audit trails are specifically intended to deter employee abuses. The philosophy behind random audit policies is to deter any employee temptations to abuse their access to the specific technology available. This should have been explicitly written in the computer policy in order to deter the very behavior the plaintiff engaged in: his personal texting on duty.

A time-consuming, costly jury trial was held to decide the chief's intent in auditing the team's text messages. Written random audit policies alleviate any causes of action for bad faith, illegal searches, or maliciousness on the part of a chief of police or the internal affairs unit.

Though the jury ruled in favor of the chief, concluding that his audit had a legitimate, work-related purpose, thousands of taxpayer dollars were spent on this trial, as well as the monies spent for the appellate case and eventual U.S. Supreme Court proceedings. Focused policy verbiage regarding the agency's intent to conduct random audits, coupled with frequent random audits and appropriate disciplinary measures, most likely would have deterred the sergeant's abuse of the pager and eliminated any internal litigation paid for by taxpayer

dollars. Notice, through training curricula, of how policies will be implemented and supervised is the key to limiting costly litigation.

Taxpayers are the stakeholders in the police business. The majority of justices, in this case, questioned what society accepts as proper behavior in regard to technological privacy expectations in the workplace. The answer is most likely that private citizens have little expectation of privacy at the workplace regarding their employer-issued desktops, laptops, and networking tools. In order to decrease extraneous Internet surfing, following sporting events, and excessive personal e-mailing during work hours, private employers issue directives informing their employees that audit trails are randomly conducted to prevent such wasteful uses of their work time and their computers.

In his concurrence with the majority, Justice Antonin Scalia reiterated his position from a previous employment privacy case wherein he wrote "that government searches to retrieve work-related materials or to investigate violations of workplace rules—searches of the sort that are regarded as reasonable and normal in the private employer context—do not violate the . . . Amendment."[11]

The laws of privacy continue to evolve in criminal courts and in labor law courts. As technological advances continue to enhance police services, agencies must revisit their own policies and procedures related to informational technology and employee privacy expectations. Only through training programs can department notice be established regarding policy implementation. Additionally, comprehensive ethics training curriculums must emphasize the sanctity of privacy issues in policing, both as applied to target citizen investigations and to internal affairs issues. Internal lawsuits are counterproductive and costly in relation to the overall agency mission to protect and serve. ∎

Thomas J. Martinelli, MS, JD, is a practicing attorney and an independent training consultant for both the Institute for Intergovernmental Research, Tallahassee, Florida, and Michigan State University's Intelligence Toolbox Program, East Lansing, Michigan. He trains in police ethics and liability and intelligence-led policing, specifically addressing privacy issues. He is a member of the IACP Police Image and Ethics Committee.

Lawrence E. Shaw coordinates the flow of criminal information and intelligence between federal, state, and local law enforcement agencies, using automated information systems. He has more than 23 years of diversified law enforcement and criminal investigative experience and seven years of emergency response experience.

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Fundamentals of Risk Management by Steve Ashley & Rod Pearson

What is Risk Management?

Risk Management (at its simplest) is a "process for managing the risks that you can identify -- and insuring those you can't manage." It uses accepted managerial techniques in order to preserve the assets of the organization or entity. The Risk Management process is comprised of two separate, but equally important components, risk control and risk financing.

Risk control involves identifying the organization s risk exposures, examining the various alternatives available to either eliminate those risks that can be eliminated or mitigate the effects of those that cannot be eliminated, selecting the best alternative or combination of alternatives to deal with each risk exposure, implementing the chosen techniques, and monitoring the process for the purpose of altering or improving the program based on the observed results. Risk financing is the method or methods by which an organization chooses to pay for those losses that result from the various risk exposures the organization faces.

Because the decision as to how to finance losses is generally left to the elected officials within each particular municipality, you (and your department s administrators) will have little control or influence on this aspect of the risk management function. The area where your efforts will best impact, where your influence and control will be felt, and noticed, is in the risk control arena. For this reason, the remainder of this article will focus on the risk control aspects of your municipality's overall risk management program.

Definitions Terms to Know

Before proceeding further, it is important that we all know and understand the terms and their meanings, as used frequently within the risk management profession.

- *EXPOSURE:* An exposure is any circumstance, item or situation that has the potential to cause a loss.
- *LOSS:* An actual expenditure as a result of an incident. An expenditure does not necessarily require a monetary outlay. The lost service of an employee is a loss.
- *RISK:* The degree of likelihood that a loss will occur.
- *HAZARD:* A condition or situation that has a high probability of causing a loss.
- *INCIDENT:* An occurrence with a potential for a resulting loss.
- *CLAIM:* A formal notification that an incident has occurred.
- *LIABILITY LOSS:* A loss arising when an individual or organization files suit alleging wrongdoing. A loss is incurred whenever funds are expended as a result of the lawsuit to investigate or defend the suit, and to pay a settlement, judgment or award whether the suit has merit or not. A loss results irrespective of any judgment or award.

Dispelling the Myth

All too often, people mistakenly believe that risk management is something created by, and for the benefit of, insurance companies. Nothing is further from the truth. Controlling risk is a management function, created by management to reduce its need for, or reliance on, traditional commercial insurance companies as the sole means of paying for losses.

In fact, most professional risk managers judge the success of their efforts based on the amount of insurance they are forced to purchase after implementing their program. The less insurance they need, the more successful their efforts. The theory is that although risk cannot be entirely eliminated, the frequency and severity of those losses that do occur can be minimized. This, in turn, allows the organization to finance losses by alternative methods such as retaining them rather than by paying the seemingly exorbitant premiums charged by traditional

commercial insurers. The entity can invest the monies saved or use them to grow and expand the organization. This philosophy is completely compatible with the needs of municipal government. With more tax dollars available, the municipality can more effectively, with increased cost efficiency, provide the services the community has come to expect. The increased savings can be used to purchase patrol cars, increase manpower, pay for sidewalk reconstruction, or finance any other priority item.

Due to this increased awareness of the need to manage risk, many public entities are joining together to form risk management pools, which are very unlike traditional commercial insurers. Most pools are tax exempt, non-profit, quasi-governmental organizations that provide insurance type coverages and services by way of a joint arrangement. Participating municipalities "pool" their funds to cover each other's losses by group purchase of insurance coverage, thereby avoiding the prohibitive premium prices charged to individual municipalities by commercial insurers. It's very much like buying wholesale. For this reason, it is to everyone's benefit to contain and control losses. For risk control practices to provide maximum benefit to all pool members, all members must aggressively participate in the risk control process.

As a police trainer or administrator, you are a risk manager. You train for and manage the hundreds, or thousands, of interactions between your department s officers and the public, and you do this on a daily basis. These interactions all carry the potential for litigation, but more importantly they create the possibility of injury to your department s officers or citizens. It is your responsibility to train for and manage the daily activities of your department s personnel in such a manner as to maintain the lowest possible chance of loss. That's the bad news. The good news is that, if your municipality is a member of a risk management pool, you're not in this alone.

Until recently, police trainers and executives in pool member municipalities had nowhere to turn for advice, input, or direction on ways to manage their department's unique exposures. However, many pools are committed to providing the best possible coverage at the lowest possible price and believe that the risk control function will assist in achieving these goals. In some pooling organizations, this has led to the creation and funding of specific law enforcement risk control efforts. Now, through the development of a strong, long term relationship with your law enforcement risk control specialists, many law enforcement trainers and administrators have a resource available through which information and recommendations can be obtained. Through this relationship many benefits and advantages can be achieved. Primary among these benefits is the opportunity to provide input that will affect the decisions made concerning the type and nature of services provided, specially tailored to your department's needs. Through a cooperative effort, by everyone working toward the same objective, you will greatly impact the amount of losses your department, and thus your pooling organization, incurs.

Where to Start?

Before you can take positive steps to reduce your risk exposures, you have to know what risks you face. You must analyze and identify the areas within your department s day to day operations that hold the potential for causing losses. This can be done in a variety of ways, many of which your law enforcement risk control specialists are ready and able to assist you with. Exposures can be identified by examining past loss experience and histories, on-site surveys, questionnaires, and by consulting with experts both from inside and outside your department. The identification process is the most important step in any concerted risk control program.

Of the various identification techniques available, on-site risk assessment surveys conducted by your pool s law enforcement risk control staff members, and a review of loss "runs" or histories provide the greatest amount of insight into those exposures unique to the delivery of police services, and identify trends or patterns within your department that may be cause for concern. Loss histories, which can be provided by most pooling organizations, document not only the severity (cost) of past losses, but the frequency with which they occur. If your agency or department does not have a significant history of losses, much valuable information can be gleaned from examining loss histories of comparable agencies or municipalities.

Frequency vs. Severity

By looking at past occurrences, we frequently can predict future events. By examining how frequently a loss causing situation has occurred in the past, we can predict with a certain degree of accuracy how often it will occur in the future. By reviewing the cost, or severity, of prior losses we can make an informed decision as to which conditions deserve priority attention and how best to finance the larger losses.

When reviewing loss histories you will quickly discover that, fortunately, there is usually an inverse relationship between frequency and severity. Those events that occur most frequently tend to be less severe in nature. Conversely, the most severe incidents occur much less frequently. With enough experience, or history, an analysis will further show that based on the frequency with which events occur a reasonably accurate forecast as to the severity of future losses can be made. That's the good news. The bad news is this creates another problem that police trainers and executives must deal with.

Statistically we know that frequency predicts severity. The issue, then, becomes one of foreseeability. If an event is predictable, is its future occurrence foreseeable, in a legal sense? And, if it's foreseeable, do we have a duty to act? AND, if we fail to act, are we behaving in a negligent manner? The answer to all of these questions is most probably Yes!

The courts often refer to this as being on "notice". Stated simply, you knew, or should have known, that a particular event or occurrence would take place. Courts have further ruled that if the need to take action is obvious, failure to act demonstrates a "deliberate indifference" towards the civil rights effected citizens. In other words, if something is foreseeable, if it is predictable, if it is likely to occur, it cannot be ignored as a potential problem.

Beyond the potential for litigation when a critical situation is left unresolved, is the likelihood of officer injury as a direct result of a department s failure to deal with such a situation (lack of or improper training is a good example). Not only do sound risk control practices insure a higher level of officer safety and result in cost savings to the municipality, but they are, in some instances, required by contemporary court decisions.

Risk Control Techniques

Once your risk exposures are identified, the next step is to choose the technique, or combination of techniques, best suited to effectively eliminate or control the exposure. There are five basic risk control techniques. Some can produce the desired results in and of themselves, others work best when used in combination, dependent on the particular exposure being dealt with. These five basic techniques are defined here:

RISK AVOIDANCE: Voluntarily choosing to no longer participate in the activity that creates or causes the loss. If you no longer provide the service or perform the function that created the loss exposure in the first place, you are no longer faced with the exposure. Examples of risk avoidance would include disbanding a SWAT team or canine unit, refusing to allow civilian ride-alongs in patrol cars, prohibiting misdemeanor pursuits, or a prohibition on the carrying of blackjacks or sap gloves.

For law enforcement, risk avoidance is not always an option. There are some things we just have to do, but it is nonetheless a desirable technique where its implementation does not significantly interfere with the delivery of vital and necessary police services.

PREVENTION OF LOSSES: Prevention involves measures or activities undertaken before a loss occurs, in an attempt to prevent the loss causing event from happening, or to render its impact less significant. Examples of preventive measures are the creation and implementation of sound policies that provide appropriate guidance to line level officers, continuous and on-going in-service training, patrol cars equipped with prisoner screens, and the issuance of latex gloves for the prevention of infection. The primary objective of loss prevention is to reduce the frequency with which the loss causing event occurs.

REDUCTION OF LOSSES: Reduction techniques can be implemented either before or after a particular loss occurs, in an attempt to reduce the amount of the loss or damages that may result. Sprinkler systems, fire extinguishers, soft body armor, and vehicle safety belts are examples of reduction measures. These activities are intended to minimize the potential severity of loss. They do not prevent the loss causing event from occurring.

SEGREGATION OF RESOURCES: This technique actually consists of two separate elements duplication and separation, both having substantially the same goal: to segregate the agency's resources so that no one event can significantly impair the overall operation of the organization. Basically, segregation involves not placing all your eggs in one basket.

Duplication involves the use or creation of spares or backups, to be used only in the event the primary or original item is damaged or destroyed. Examples of duplication are tape backups of computerized data, spare patrol cars left in reserve, or an Emergency Operations Center (EOC) housed in another location that is only utilized if a power failure or natural disaster renders the primary communications facility inoperable. These items for the most part sit, unused, until after a loss occurs. Duplication efforts are intended to reduce the severity of potential losses because the department can still function, although possibly with less efficiency.

Separation is similar to duplication in that facilities, operations or items are duplicated in other locations. The difference is that these facilities or items are used on a daily basis. Examples of separation would be the creation of precincts or mini-stations that provide full service on a daily basis, and can serve to take up the slack in the event the primary location becomes disabled or inoperable. Separation also targets potential severity, but because of its daily usage, can actually increase the frequency of losses.

TRANSFER OF RISK: Transfer techniques are used to transfer, or move, the risk from one party to another. The most common examples of transfer strategies are the use of waiver forms, hold harmless agreements, insurance policies, and contracting with others for services such as prisoner transports or lodging. Ideally, to receive maximum benefit from transfer arrangements, the organization strives to transfer both legal and financial responsibilities for an incurred loss, although this is not always possible.

Implementing an Effective Risk Control Program

With an understanding of risk control fundamentals it is now possible for you, the police trainer or executive, to begin to design and implement a risk control program tailored to the needs of your individual department or agency. When planning how best to implement your program, it's important that you never lose sight of the fact that effective risk control practices involve more than just litigation avoidance. Of primary importance is officer safety and survival. A program that is founded on this premise will not only encourage officers to work safer and smarter, but will also, because of an obvious overlap in the issues that create both injury and liability, significantly impact liability concerns.

While researching the losses incurred by your department you will probably find that officers are getting hurt in the process of creating liability. The same things that cause officers to get hurt cause many of the civil suits we are forced to defend. Police officers are routinely involved in inherently dangerous situations, they carry a variety of weapons that can injure or kill, they drive cars at high speeds, and they have to take violent or resistive subjects into custody. All of these activities can result in officer injury or litigation. It is entirely that a concentrated effort to reduce the potential for officer injury will positively influence your liability exposures. The law enforcement profession has, however, routinely placed a greater emphasis on avoiding liability. Not only has this failed to work, but it has also resulted in the loss of the valuable service of some of our best and brightest officers. We must, therefore, shift our emphasis, and implement a risk control program based on a top-down initiative. All levels within the agency, beginning with the chief executive, must be sold on the need and value of such a program, and encouraged to implement and practice sound risk control measures in all of their daily encounters with the public.

Police executives, supervisors, and line officers must feel a sense of ownership in the program. They must all feel they have participated in, or been allowed the opportunity to provide input into, the decision making process that led to the development and implementation of the program.

At the executive level, managers must willingly take responsibility for oversight and control of the program by developing sound procedural documents and by providing crucial in-service training in critical skills areas, and supervisory training to the agency's middle level managers.

At the supervisory level, employees must accept responsibility for oversight of line officers' daily activities to ensure that they conform to department policy, and are performed in a manner consistent with the agency's approved training. Supervisors must also communicate with police executives concerning the effectiveness, or continued feasibility, of the chosen techniques, policies, training, or programs.

Finally, if risk control techniques are to be effective, line level officers need to believe in the principles on which they are founded, so that the basic concepts are appropriately translated to the streets. They must understand the need for and comply with requirements to report all relevant and important data, so that activities can be monitored and measured against the intended goals of the risk control program. Without the line officer's feedback, it is impossible to monitor the risk control program and make necessary and appropriate adjustments to enhance and improve it.

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Strategic Planning

POST Management Program

Instructional Goal: To provide managers/manager trainees with an overview of strategic planning.

Performance Objectives:

- Identify various steps in the strategic planning process
- Develop communication strategies to promote the planning process
- Discuss critical thinking
- Discuss the importance of projections

What is Strategic Planning?

An upper management-initiated process that sets specific goals

Identifies measurable steps for a division(s) or entire organization taking into account personnel and budgetary resources

A future-oriented process that deliberately anticipates planned change for an organization over a period of time, usually two to five year

Examples of strategic planning:

- Community Oriented Policing (C.O.P.)
- CompStat
- Intelligence-Led Policing (I.L.P.)

They are used by community groups, government departments, organizations, and agencies to develop a blueprint for action and change.

They should be community based, inclusive and participatory to allow for maximum stakeholder involvement and input.

Benefits of Strategic Planning

- ➢ Defines mission, vision, & values
- ➢ Establishes realistic goals, objectives & strategies
- ➢ Ensures effective use of resources
- ➢ Provides base to measure progress
- ➢ Develops consensus on future direction
- ➢ Builds strong teams
- ➢ Solves major problems

Top Three Reasons for having a Strategic Plan

1. Commitment to meeting community demands
2. Interest in reducing crime
3. Letting rank-and-file officers know what the administration and community expect of them.

Other Reasons

- – Change
- – Renewal
- – Funding requirements
- – Financial forecasting
- – Mandate
- – Build consensus
- – Improve staff and board relations
- – Develop ownership
- – Build community support

Strategic Planning is NOT about what is wrong or how to fix it

It is about what can we do better or what change or challenges will improve our service

Major Findings

- Majority of large agencies have strategic plans
- Popular sources for learning about the implementation of a strategic plan are other agencies and community surveys
- 7 month average to develop a strategic plan
- An agency's chief executive or its command staff is responsible for the implementation
- Major strength is a comprehensive approach to planned change
- Lack of resources the greatest challenge to implement the plan
- There is no one best approach
- Personnel changes at the executive level reduces the likelihood that an existing strategic plan will succeed
- Major unexpected events reduce the likelihood of the successful implementation

Two Dimensions to a Strategic Plan

1. Width – the extent of coverage under strategic plan (units involved);
2. Depth – the extent of hierarchical involvement in strategic plan (ranks involved)

Four Models

All Ranks

RANKS INVOLVED

Model 1 In-Depth Plan Model with Limited Application	Model 4 Total Implementation Model
Model 2 Top Leadership in Charge Model	Model 3 Management Centered Model

Top Mgmt

Limited Application ← Extent of Application → Department Wide
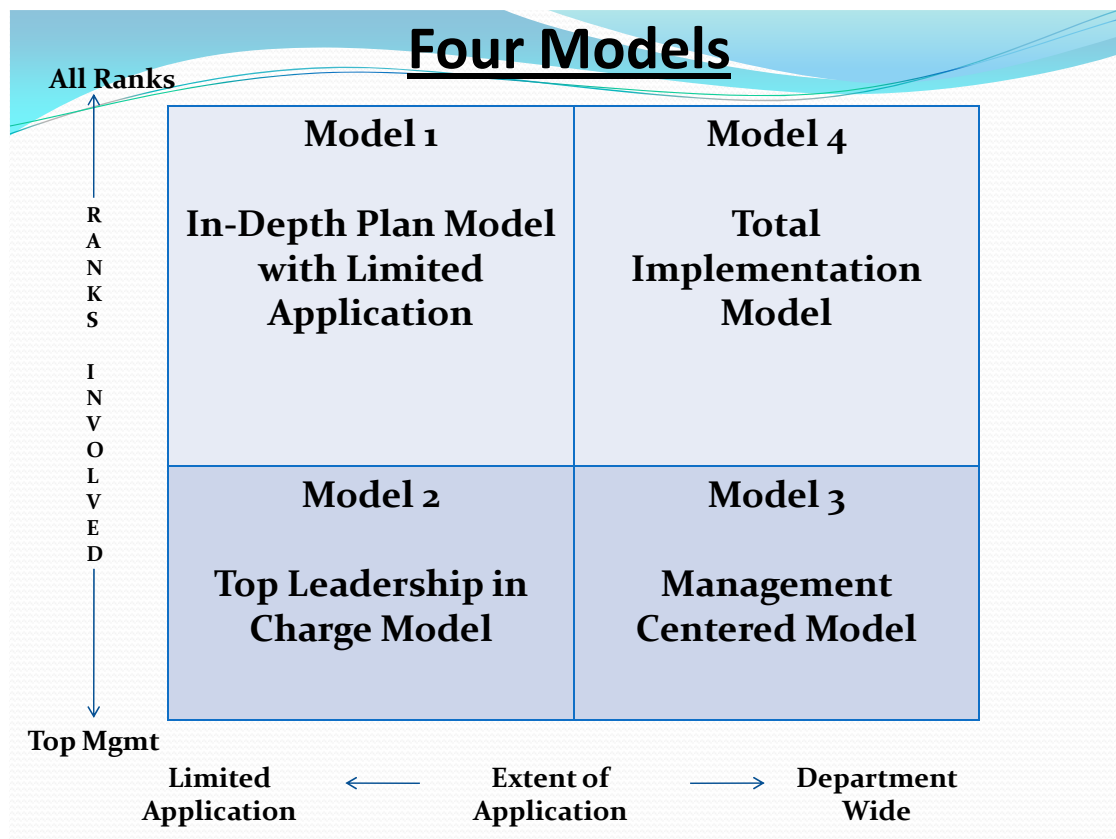
Developing the Plan

- **Mission** – Core purpose, presented in a clear, short statement
- **Vision** – What is your agency's vision of excellence?
- **Values**–What are the principles, standards, and actions considered worthwhile
- **Strategic Analysis** – Environmental Scan
  - Gathering of information
  - Analysis and interpretation
  - Application

- **SWOTT analysis** (Strengths, weaknesses, opportunities, threats, trends)
  - **Strengths** - Internal positive things about the organization
    - ✓ What does the community see as your strengths?
  - **Weaknesses**
    - ✓ What are some weaknesses in the organization?
    - ✓ What does the community see as your weaknesses?
  - **Opportunities**
    - ✓ What are some opportunities in your agency?
    - ✓ What are some opportunities within your community?
  - **Threats**
    - ✓ What are some issues facing the organization?
    - ✓ What are some technology issues that face the organization?
  - **Trends**
    - ✓ What are some of the national trends?
    - ✓ What are some of the regional trends?
- **Goals** – Identify long-term outcomes to provide focus for the planning
- **Strategies** – Outline how you will achieve your goals
- **Objectives** – Identify specific, measurable results produced while implementing strategies
  - Goals and objectives should be SMARTER (Specific, measurable, acceptable, realistic, timed, extending, rewarding)
- **Implementation** – Tasks and timelines
- **Funding** – What is required to fund the goals in the plan
- **Communicating the Plan** – How will you communicate the plan to stakeholders
- **Monitoring and Evaluation** – Critical to the plan's success and credibility
- **Continuous Improvement**

Exercise

In a group setting, prepare a SWOTT analysis on your agency.

Strengths

Internal positive things about the organization

    1. _____
    2. _____
    3. _____
    4. _____
    5. _____

What does the community see as your strengths?

    1. _____
    2. _____
    3. _____
    4. _____
    5. _____

Weaknesses

What are some weaknesses in the organization?

    1. _____
    2. _____
    3. _____
    4. _____
    5. _____

What does the community see as your weaknesses?

    1. _____
    2. _____
    3. _____
    4. _____
    5. _____

Opportunities

What are some opportunities in your agency?

    1. _____
    2. _____
    3. _____
    4. _____
    5. _____

What are some opportunities within your community?

    1. _____
    2. _____
    3. _____
    4. _____
    5. _____

<u>**Threats**</u>

What are some issues facing the agency?

1. _____
2. _____
3. _____
4. _____
5. _____

What are some technology issues that face the agency?

1. _____
2. _____
3. _____
4. _____
5. _____

<u>**Trends**</u>

What are some of the national trends? _____

What are some of the regional trends? _____

<u>**Tools and Techniques**</u>

- Appreciative Inquiry
  - Effective for changing organizational culture
  - Based on 5-D model (Define, discovery, dream, design, deliver)
  - Open Space Technology
- Public consultation
  - Involve public and stakeholders in your planning process
  - Achieved through: interviews, meetings, open houses, websites
- Public Meetings
- Focus Groups
  - Provides opportunity to address specific issues
  - Provides opportunity for maximum participation
  - Provides maximum information I short period of time
- Website Feedback
  - Online survey
  - Online discussion paper to generate comments
- Surveys
  - Online survey
  - Community survey
    - Can be developed and administered locally
    - Can be conducted by firm specializing in surveys
    - Research
  - Focus groups, surveys
  - Literature review

Ten Keys to Successful Strategic Planning

1. A clear and comprehensive grasp of external opportunities and challenges (No, organization exists in a static environment).
   - Social, political and economic trends continually impact the demands for its services
   - Needs and community demographics are all subject to change
   - So too are methods for delivering programs and services
2. A realistic and comprehensive assessment of the organization's strengths and limitations
   - SWOTT analysis
   - Consideration of capabilities and strengths
   - Weaknesses and limitations
   - Information both subjective and objective must be gathered from a wide array of sources
3. An inclusive approach
   - All important stakeholder groups should have a voice
4. An empowered planning committee
   - Strategic planning should be a participatory undertaking
5. Involvement of senior leadership
   - Buy-in that goes above mere verbal endorsement is critical
6. Sharing of responsibility by board and staff members
7. Learning from best practices
8. Clear priorities and an implementation plan
9. Patience
10. A commitment to change
    - No matter how relevant its original mission, no organization can afford to shackle itself to the same goals, programs and operating methods year after year. Organizations must be prepared to change as extensively as conditions require

Phase 1: Formation of Strategic Plan

- *Internal Methods*
  - Command staff involvement
  - Middle Management Involvement
  - Rank-and-file officers' participation
  - Civilian employee participation
  - Hiring an external consultant
- *External Methods*
  - Community organization participation
  - Community resident participation
- *Methodological methods*
  - Define mission and goals
  - Specify objectives and measures by using crime and other data sources
  - Set time frame for each goal and objective
  - Identify the designated person or team and budgetary needs
  - Participants' training
  - Modify performance evaluation to meet the requirement in the plan

Phase 2: Implementation

- Quarterly meetings to assess the progress
- Collect data as specified in the plan
- Analyze the data and produce monthly or quarterly updates
- Make sure all the participants are informed on the progress of the plan

Phase 3: Annual Evaluation

- *Internal Methods*
    - Create data and document progress
    - Analyze data and assess attainment of each goal
    - Make reports available for community organizations and residents
    - Identify emerging issues in the process of implementation and make adjustments
    - Conduct employee surveys to assess the progress of change
- *External Methods*
    - Conduct citizen surveys to assess the effect of programs
- *Methodological Methods*
    - Frequency distribution and trend analysis
    - Correlations
    - Multi-causal analysis
    - Panel data analysis and time-series analysis

Three determining factors for a successful strategic plan:

1. Leadership Commitment
2. Plan for Unexpected Events
3. Management Style

Strategic Planning Needs Critical Thinking, Planning, & Projections

Critical thinking is skeptical without being cynical. It is open-minded without being wishy-washy. It is analytical without being nitpicky. Critical thinking can be decisive without being stubborn, evaluative without being judgmental, and forceful without being opinionated.

- Critical thinking is thinking that is clear, precise, accurate, relevant, consistent & fair
- Critical thinking is self-directed, self-disciplined, self-monitored, & self-corrective that entails effective communication & problem-solving abilities

Approaches to life of good critical thinkers:

- Inquisitiveness about a wide range of issues
- Concern to become & stay well-informed
- Alertness to opportunities to use Critical thinking
- Self confidence in their abilities to reason
- Open-mindedness about divergent world views
- Flexibility in considering alternative opinions
- Understanding the opinions of other people
- Fair-mindedness in appraising reasoning
- Honesty in facing one's own biases, prejudices, stereotypes, & egocentric tendencies
- Willingness to reconsider & revise views
- Clarity in stating questions or concerns

Critical Thinking Requires:

- Interpretation
- Analysis
- Evaluation
- Inference
- Explanation
- Self-regulation

Critical Thinking Can Be Learned
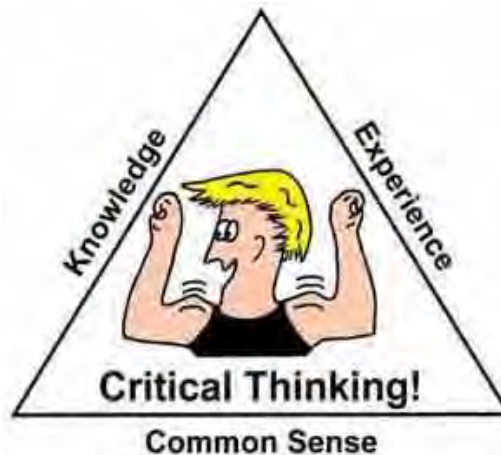
Matt Stiehm - 04/11/2013

Strategic planning for small- and mid-sized departments

To prepare and plan for the future, a few business concepts should be introduced to our profession

Your law enforcement agency is still facing the same problems it faced last year and the year before — budget, planning, and development.

To prepare and plan for the future, a few business concepts should be introduced to our profession. If used correctly (or at times, at all), these can help your organization succeed and certainly weather this storm of uncertain budgets.

As law enforcement leaders move toward data-driven decisions, these processes will help prepare you for the fight (discussion) with your boss about eliminating or keeping a program, or introducing something new.

Organizational Assessments
First and foremost, you must understand where your organization is, what it needs to grow (assets, physical plant, deployment, training), and other areas of concern. This means that you need to take the time and conduct an internal organizational assessment.

With law enforcement departments fighting for tax dollars and budget against the roads, parks and recreation, fire department, general city office, and any other project that is planned for the upcoming year, the best way is to be prepared to argue how the money will be used. Your proverbial ducks should be in a row.

"Organizational Assessments are powerful tools for identifying an organization's strengths and weaknesses. They are a critical starting point for initiating any type of organizational change" (Stark 2009).

The organizational assessment process should be an honest critique of your organization. This type of assessment is not a "bitch session" but a critical review of your shortcomings, and things you are doing well.

For those working in larger organizations, this assessment can be done by units, divisions, or shifts. There are a variety of ways you can conduct an organization assessment; the most simple thing that can be done is to review data from dispatch and records and compare year over year statistics, and look for any dramatic increases and/or extreme reduction and attempt to provide an answer.

But another option is to examine everything: training, deployment, crime areas, investigations, patrol, and office operations.

Compare miles driven by shift, training issues, contacts, calls for service, and any data point that you would like to know about.

Comprehensive Planning
Comprehensive planning is key to achieving success in any long range plan, complex idea, or project. The process itself predates the United States of America. Comprehensive planning was used in drafting of important documents like the Articles of Confederation and the Constitution.

The process is used by businesses, schools, and all levels of government. The plan is something that is real and prepares the organization[s] for the future (Becker & Kelly, 2000).

Planning is a rational way of preparing for the future. It typically involves the gathering and analysis of data, the examination of possible future trends, the consideration of alternative scenarios, some score of analysis of costs, and benefits…choosing a preferred scenario and plan for implementation. (Becker & Kelly, p.17)

Organizational change is pervasive today, as organizations struggle to adapt or face decline in the volatile environments of a global economic and political world. The many potent forces in these environments — competition, technological innovations, professionalism, and demographics, to name a few — shape the process of organizational adaptation.

As a result, organizations may shift focus, modify goals, restructure roles and responsibilities, and develop new forms.

Adaptive efforts such as these may be said to fall under the general rubric of redesign. (National Research Council Staff, 1997, p. 11)

Strategic Planning
The strategic plan provides for:

1.) Better informed, more timely decisions through continuous strategic thinking
2.) Clear direction to the organization on what the company will do, and perhaps more importantly, what it will not do
3.) Greater empowerment with clearly understood boundaries communicated to the entire organization

Departmental Implications
With a solid comprehensive plan, law enforcement agencies should be able to sustain current funding trends and quite possible weather the storm when lean times come.

For example with data driven information, departments can demonstrate how they improve safety within their community. Specific information regarding traffic enforcement, arrests, investigations, and services can be used to demonstrate how effective the law enforcement agency.

Once the department has started the planning process it prepares for community changes to include; demographic shifts, transit populations, tax decreases, and other problems that have recently confronted communities.

In Conclusion...
In these recent years, law enforcement funding has been difficult to forecast. Budgets are shrinking, grant opportunities are few and far between.

Preparing for the future through comprehensive planning, and strategic planning is key to long-lasting survival. Projecting when you will need to replace things and how to use money effectively is of vital importance.

Try to forecast for the future you will be surprised with what improvements and changes you will be able to prepare and plan for.

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About the author
Dr. Matt Stiehm has received an Educational Doctorate from Argosy University, where the focus of his research was campus safety and security. He has served as a police officer in three states (CA, MN and NE), he keeps current on law enforcement trends. He currently is a member of ILEETA, MN Infragard, FBI LEEDS, an Associate Member of the IACP, Support Member of the MN Chiefs Association, the Midwestern Criminal Justice Association, and recently Police Executive Research Forum Subscribing Member. He is currently conducting some independent research projects into police use of force, campus public safety use of force, and general leadership trends.

Tustin Police Department

Strategic Plan

2012-2015

Tustin City Council

Mayor

John Nielson

**Mayor Pro Tem
Al Murray**

**Councilmember
Jerry Amante**

**Councilmember
Deborah Gavello**

**Councilmember
Rebecca Gomez**

Chief's Message

For the past 85 years, the City of Tustin Police Department has proudly provided professional public safety services to the residents, business owners and visitors of the Tustin community. As we look forward to the years ahead, we are instantly faced with a number of challenges to overcome: shrinking budgets, rising crime rates and prisoner realignment to name a few. We recognize the compelling need to move forward as an organization despite the obstacles in our way, hence the creation of this Strategic Plan. If we fail to act on the future, we know the future will act on us.

Building on the successes of our last Strategic Plan 2006-2010, we learned from the experience gained in the planning process and can now appreciate the benefits of long range planning. The Strategic Plan provides our department with a framework from which we can make sound decisions and prepare our budget accordingly. The plan will act as a blueprint enabling us to meet the challenges of today and tomorrow; it is dynamic and will require regular evaluation to ensure its effectiveness.

As technology continues to advance, the role of law enforcement becomes more complicated and exciting at the same time. We will strive to provide our employees with the very latest in equipment and resources to increase both efficiency and effectiveness. In an effort to maximize our resources, we will look to alternate funding sources, such as grants and asset forfeiture, to finance these projects.

Tustin has a population of over 75,000 residents and continues to grow. With the projected development of the Tustin Legacy, we stand prepared to respond to the needs of a vibrant and diverse community. Understanding and respecting individuals and

families of various ethnic and cultural backgrounds is one of the cornerstones of our department values.

This plan is centered on three main goals for our department: Serving our Community, Serving our People, and Ensuring Resources and Technology. These goals were developed out of a comprehensive analysis of our strengths, limitations, opportunities and threats. Within each of those goals, our staff has diligently identified several specific strategies upon which success can be measured over the next four years. If the results are anything like we realized from the last strategic plan, then we are in for a busy and productive few years ahead. I have the utmost faith in our employees; they give of their time and talents to make Tustin one of the safest places in Orange County.

MISSION STATEMENT

The Tustin Police Department is committed to a policing model of Community Governance. To that end, the Mission is to work in partnership with other city departments, the residential and business community, and other governmental and non-profit agencies to reduce crime, provide a sense of safety and security and improve the quality of life for those who visit, live, and work in the City of Tustin.

VISION STATEMENT

It is our vision to make the City of Tustin and its neighborhoods the most livable and safest in the State of California by incorporating the components of Community Governance into our daily strategies and activities.

VALUES STATEMENT

For the Tustin Police Department to maintain public trust, we must constantly demonstrate that our partnership with the community will be objective and securely rooted in consistently applied ethical principles. As an organization, we propose to fairly and impartially carry out the Mission of the Department with **P.R.I.D.E**.

- **Partnership** -We take pride in developing relationships with the people we serve.
- **Respect** -We respect and value the dignity and worth of all persons, recognizing that diversity enriches our community.
- **Innovation** -We will remain an innovative and progressive organization through leadership, education and technology in partnership with the community we serve.
- **Dedication** -We hold an individual's right to constitutional protection sacred and place the highest value on preserving life. We are accountable and responsive to the community that we serve.
- **Excellence** - We will strive for excellence through the effective and efficient use of resources, and promote teamwork and the empowerment of employees at all levels.

Planning Process

"It is good to have an end to journey toward; but it is the journey that matters, in the end."
— *[Ernest Hemingway](#)*

On January 26th, 2012, Chief Jordan held a department-wide meeting to discuss the future of Tustin PD. During that meeting, the Chief highlighted many of the achievements from the last Strategic Plan 2006-2010. As a result of the diligent work of so many of our employees, we were able to accomplish nearly all of the objectives from that plan, the most significant being the complete restructuring of our organization to accommodate the Area Command policing system and the philosophy of Community Governance. The creation of new positions and units within the department, the development of several community outreach programs and the acquisition of state of the art law enforcement technology were just some of the successes of that plan; it was a major undertaking involving nearly every employee of this department. Although this current plan is not designed to be monumental in terms of organizational change, it focuses on refining the systems we have in place and searching for more efficient and effective methods for providing police services.

In order to properly plan for the future, it is necessary to take stock of the current situation. Chief Jordan discussed the strengths, weaknesses, opportunities and threats facing our agency, in order to properly guide the planning process. Although these are very challenging times, it is apparent Tustin is still a solid municipality with a bright future. Our goal is be poised in the right position to take advantage of future opportunities once the economy turns around and to be as fiscally responsible as possible, while still providing a high quality police service to the Tustin community.

The methodology for completion of this plan was similar to the last one. We created a Strategic Plan Steering Committee (SPSC), comprised of management level employees, with the mission of guiding the three main committees and respective sub-committees along the right path towards completion of the plan. The SPSC meets on a continuing basis to oversee all aspects of the plan's development and subsequent implementation.

Consistent with the Chief's shared vision, the Strategic Plan has been divided up into three main committees: Serving the Community, Serving the Employees and Ensuring Resources and Technology. The managers overseeing each of the committees quickly went to work and solicited volunteers, organized site visits, and formed sub-committees

to address the individual strategies within their goal framework. Those strategies are detailed in the Implementation Action Plan, included within the Strategic Plan.

A plan is only as useful as the paper upon which it is written, without specific and measurable milestones from which to assess its progress. We outlined several individual strategies under each of the three main goals. For each strategy, the SPSC assigned a responsible person(s), an estimated cost and a projected completion date. In order to ensure the various strategies are carried out, the SPSC will meet on a monthly basis to evaluate the progress and maintain accountability.

Goals and Objectives

"Our goals can only be reached through a vehicle of a plan, in which we must fervently believe, and upon which we must vigorously act. There is no other route to success." —Pablo Picasso

As a result of informal interviews, staff discussions and the Chief's vision, we developed three main goals for this plan: Serving the Community, Serving the People and Resources and Technology. For each of these goals, a committee was formed, co-chaired by two members of our management staff. Within each goal is a specific set of objectives, which were designed to be clear, realistic and with measurable results. Goals, by their nature, are on a multi-year timeline, while objectives are the means to achieve those goals. The objectives can vary in terms of resources needed and the time required to complete them. Following is a summary of the three goals and the corresponding objectives:

➢ Serving the Community
  o Creation of the Emergency Management Coordinator position
  o Creation of the Community Emergency Response Team (C.E.R.T.)
  o Upgrade of the Emergency Operations Center (E.O.C.)
  o Creation of the AB-109 Officer position within Special Operations
  o Restructuring of our Organizational Chart
  o Implementation of a Data-driven model of policing
  o Review of the Patrol Division schedule and leave guidelines
  o Target hardening of all TUSD schools *(Added Spring 2013)*
  o Lockdown training for TUSD personnel *(Added Spring 2013)*

➢ Serving the People
  o Enhancement of the recruiting process
  o Creation of a Recruitment Team
  o Creation of a Workplace Diversity Action Plan
  o Enhancement of the Specialty Assignment rotation process
  o Review of the Disciplinary process
  o Creation of a Leadership/Succession Plan
  o Evaluation of the Training Matrix
  o Enhancement of the Employee Wellness Program
  o Evaluation of Special Equipment needs
  o Creation of a Rewards and Recognition program
  o Create Sergeants' Training Manual

- o Employee Evaluation Process

- ➢ Resources and Technology
  - o Implementation of an Automated Report Writer System
  - o Enhancement of the Mobile Data Computers
  - o Enhancement of the License Plate Recognition infrastructure
  - o Purchase of a License Plate Recognition trailer
  - o Maximization of building space
  - o Establishment of a Social Media presence
  - o Implementation of Digital Signage
  - o Creation of an internal communication system (Wiki/Blog)
  - o Implementation of Online Reporting for citizens
  - o CALEA Reaccreditation
  - o Upgrade the Command Response Vehicle *(Added Spring 2013)*

Implementation Action Plan

"I never worry about action, but only inaction" – Winston Churchill

Any strategic plan is only as effective as the subsequent method to put the plan into action. We have chosen to include the implementation action plan within this document to serve as a blueprint for staff members to make the goals and objectives of this plan a reality. Included in the implementation action plan are the specific objectives under each of the three goals, along with the responsible person(s), the projected completion dates and any associated costs, if applicable. As we move forward over the next few years, we can mark off the milestones as each one is achieved, thereby building momentum which will carry us through to the successful completion of the plan in 2015. Of course, there will be modifications made along the way, as this is a dynamic and evolving document, responding to the internal and external stimuli as necessary.

Committee #1 – Serving our Community
Co-chairs: Lt. Strain and Lt. Tarpley

Objective: **1.1 –Emergency Management Coordinator**	Person(s) Responsible: Lt. Garaven / EMC Joe Meyers
Description: Emergency preparedness is a critical function of any police department and is one in which the public demands. As of July 2012, the police department officially oversees emergency management for the City. To that end, there is a need to create a new position within the organizational structure: Emergency Management Coordinator. **Costs:** Incidental set-up costs for workspace	**Status:** *Completed* Position has been created in the "analyst" series and it has been filled by Joe Meyers. **Projected Completion Date:** July 2012

Objective: **1.2 – C.E.R.T.**	Person(s) Responsible: Lt. Garaven/EMC Joe Meyers
Description: A Community Emergency Response Team (C.E.R.T.) program will allow citizens to provide basic disaster response to the community. Students will be trained in basic fire safety, light search and rescue, team organization and disaster medical operations. Our EMC will partner with the Orange County Fire Authority to coordinate two sessions per year. **Costs:** TBD (Materials, equipment, and staff time for training)	**Status:** *In research phase* EMC Joe Meyers is completing a background report for Command Staff on starting a C.E.R.T. program. **Projected Completion Date:** September 2013

Objective: **1.3 –Emergency Operations Center (EOC) upgrade**	Person(s) Responsible: Lt. Garaven/EMC Joe Meyers
Description: Our current EOC is severely lacking in terms of space, equipment and connectivity for communications. The goal is to relocate the EOC to a more suitable venue and upgrade the necessary equipment to make it viable in the case of an emergency. **Costs:** TBD	**Status:** *In research phase* EMC Meyers is conducting a full audit of our current EOC and its capabilities. From there, recommendations will be made to staff. **Projected Completion Date:** December 2015

Objective: **1.4 – AB109 position**	Person(s) Responsible: Lt. Tarpley/Sgt. Brabeck
Description: In October of 2011, the State of California passed AB 109 – Prisoner Realignment, pushing the responsibility of monitoring "low-level" offenders down to the local level. We have a need to create a new position for a sworn officer in the Special Operations Division to specifically monitor all AB 109 offenders, drug, sex and arson registrants, as well as federal probationers and parolees. **Costs:** Initial set up costs include training, equipment and office space (computer, phone, etc.). These costs will be reimbursed via the County through the AB 109 protocol.	**Status:** *Pending deployment* Currently, our patrol deployment takes priority. Due to early retirements and injured/light duty officers, we will reassess this position in Fall of 2013. **Projected Completion Date:** September 2013

Objective: 1.5 – Organizational chart	Person(s) Responsible: Lt. Strain/Sgt. Pickney
Description: In an effort to maximize efficiency of staff resources, we will examine our organizational chart for potential movement based on internal needs and the needs of the Tustin community.	**Status:** *Completed* Two of the budgeted vacancies were removed from the Traffic Unit and redeployed in Special Operations. One will become the new AB109 officer and the other will ultimately be filled within General Investigations. The current average caseload for each GI detective is nearing critical capacity.
Costs: None	**Projected Completion Date:** September 2012

Objective: 1.6 –Data-driven model of policing	Person(s) Responsible: Lt. Strain/Sgt. Blair
Description: Research and implement a data-driven model of crime control similar to that of COMPSTAT. Using data to effectively and efficiently deploy our patrol resources is both cost-effective and appropriate, given our Community Governance policing philosophy.	**Status:** *In process* We are currently testing phase II of the DDACTS model (Data Driven Approach to Crime and Traffic Safety) which utilizes both crime and traffic data to develop hot zones. By deploying our resources disproportionately within the hot zones, we should see reductions in crime rates over time.
Costs: Staff time only	**Projected Completion Date:** February 2013

Objective: 1.7 –Patrol schedule/Leave guidelines	Person(s) Responsible: Lt. Strain/Sgt. Bullock/TPOA Board Reps
Description: The method by which leave requests are approved in the Patrol Division is somewhat inconsistent and can lead to low morale and potential "burn out." The objective is to develop a set of fair, consistent and predictable guidelines for both the employees submitting the leave requests and the supervisor evaluating those requests. Committee personnel will work with TPOA to develop these guidelines.	**Status:** *In process* Lt. Strain has met with reps from the TPOA board for initial discussions on this topic. Ultimately, a solution will meet departmental deployment needs and provide employees with a consistent process.
Costs: Staff time only	**Projected Completion Date:** February 2013

Objective: 1.8 –Target Hardening of all TUSD Schools	Person(s) Responsible: Lt. Strain/SRO Wright
Description: In the wake of the Newtown, Connecticut school shooting, a renewed focus on school security and target hardening is necessary and appropriate. Our SRO will work with TUSD security personnel to conduct threat assessments for all TUSD schools located in Tustin's jurisdiction, and provide suggestions for target hardening strategies. Additionally, our City Emergency Operations Plan will be updated with the latest TUSD information.	**Status:** *Completed* SRO Wright worked with TUSD Security personnel to conduct on site threat assessments of all 24 TUSD schools
Costs: Staff time only	**Projected Completion Date:** May 2013

Objective: 1.9 –Lockdown Training for TUSD Personnel	Person(s) Responsible: Lt. Strain/SRO Wright
Description: Provide the latest and most effective lockdown and safety training for all TUSD staff members, including teachers, administrative staff, and security personnel. The objective is to provide this training to all 23 TUSD schools within Tustin's jurisdiction by the close of the 2013/14 school year.	**Status:** *In process* TUSD has been presented with "Run, hide, fight" curriculum and is considering options. Training planned for August 2013
Costs: Staff time only	**Projected Completion Date:** August 2013

Committee #2 – Serving our People
Co-chairs: Lt. Welch and Mgr. Novotny

Objective: **2.1 –Recruitment enhancement**	Person(s) Responsible: Lt. Garaven/Sgt. Birozy
Description: In order to recruit and retain the very best employees, it has become necessary to focus on marketing and brand development for Tustin PD. Part of this objective will include the creation of a professionally done recruitment video, which can be played via the website and social media outlets. Additionally, we will purchase recruitment related equipment (presentation screens, backdrops, banners, etc.) to enhance our brand. Finally, PSD personnel will find new and innovative venues to market the PD, such as college campuses, military job fairs, etc.	**Status:** *In process* PSD has already purchased some new equipment for recruitment events, such as canopies and backdrops. They have also obtained bids from various video production companies for the recruitment video
Costs: Approximately $20,000 (Video and other assorted equipment)	**Projected Completion Date:** June 2014

Objective: **2.2 –Recruitment team**	Person(s) Responsible: Lt. Garaven/Sgt. Havourd
Description: The objective involves the creation of a Tustin PD Recruitment Team. This formalized group of employees from a cross section of the agency will be responsible for enhancing our recruitment efforts to attract the very best employees. This will be a collateral assignment and individuals on the team will report directly to the PSD Commander for direction. It is yet another opportunity for our employees to get involved and to have a direct impact on the future of the organization.	**Status:** *In process* The goal is to include this assignment in the annual interest memo for collateral assignments, conducted in May of each year.
Costs: Staff time only	**Projected Completion Date:** May 2013

Objective: **2.3 –Workplace diversity action plan**	Person(s) Responsible: Lt. Garaven/Sgt. Birozy
Description: The creation of this plan will provide guidance and motivation in working towards a more diverse workforce. A diverse department, due to the various points of view, is a department with a much stronger capacity to understand issues, both internal and external, and respond effectively to those issues. Our goal is to have the make-up of our workforce reflect the diverse make-up of the Tustin community.	**Status:** *In process* A draft plan has been completed and is being reviewed at the staff level.
Costs: Staff time only	**Projected Completion Date:** November 2012

Objective: **2.4 –Specialty assignment rotation process**	Person(s) Responsible: Lt. Garaven/Sgt. Birozy
Description: Examine our specialty assignment rotation process from both an internal and external perspective. Conduct an in-house survey of all employees looking for feedback and suggestions on how to improve the process. Informally survey some neighboring Orange County agencies for some potentially new and innovative ideas on how to ensure the process is fair, consistent and predictable.	**Status:** *Completed* Internal survey completed with extremely low response rate. External survey revealed our process is a good model compared to outside agencies. Committee recommends no change.
Costs: None	**Projected Completion Date:** September 2012

Objective: **2.5 –Disciplinary process**	**Person(s) Responsible:** Lt. Garaven/Sgt. Birozy
Description: Examine our current disciplinary process, including our policy and procedures. Conduct an internal survey for feedback from the employees on how to make the system fair, consistent and predictable. Additionally, we need to assess Internal Affairs management systems available for better tracking and reporting of IAs. **Costs:** Approximately $5,000 (IA management software)	**Status:** *In process* Internal survey completed with extremely low response rate. PSD staff in the process of evaluating IA management systems. **Projected Completion Date:** June 2013

Objective: **2.6 –Leadership/Succession plan**	**Person(s) Responsible:** Capt. Lewis/Sgt. Quinn
Description: This is a carryover from our last Strategic Plan (2006-2010) and will therefore take priority in this current plan. It is critical to have a leadership/succession plan in place in order to effectively develop our own employees to move up in the organization as people leave. With retirement incentives, budget cutbacks and natural turnover, this plan is more important than ever before. **Costs:** Staff time only	**Status:** *In process* Data collection in process. The committee is also reviewing sample plans from other police departments as a starting point. **Projected Completion Date:** September 2013

Objective: **2.7 – Training matrix evaluation**	**Person(s) Responsible:** Lt. Garaven / Sgt. Quinn
Description: Utilize the Training Committee to conduct a training needs assessment to review the training matrix for both currency and relevancy of training. This is a CALEA required audit to maintain accreditation status. **Costs:** Staff time only	**Status:** *In process* **Projected Completion Date:** Annually (October/November)

Objective: **2.8 – Employee wellness**	**Person(s) Responsible:** Sgt. Pickney/Supv. Kanoti
Description: The Wellness Committee has been in place for several years; however it is in need of enhancement now that wellness is gaining more support from other City departments. There are two pieces to employee wellness: Physical and Nutrition, and Peer Support. Both committees work in concert with one another to provide our employees with the needed physical, emotional and mental support. **Costs:** Staff time only	**Status:** *In process* Working with IT staff to add a section to the Intranet for nutrition/exercise related information sharing. Also, the Peer Support Team is currently recruiting new members. **Projected Completion Date:** September 2013

Objective: **2.9 – Special equipment needs**	**Person(s) Responsible:** Sgt. Havourd
Description: Technology in law enforcement, as in other industries, continues to evolve at an increasingly rapid rate. Requests for new types of equipment come from all directions and various units within the department. The need exists for the creation of a Special Equipment Committee, not unlike the Uniform Committee, where requests for new equipment and technology can be vetted and streamlined for staff analysis. **Costs:** Staff time only	**Status:** *In process* Steps are being taken to form the committee and decide when and how often they should meet. **Projected Completion Date:** January 2013

Objective: **2.10 – Rewards and recognition program**	**Person(s) Responsible:** Sgt. Quinn
Description: A rewards and recognition program should be implemented to help motivate employees and improve employee satisfaction at all levels. We should explore new ideas on how to properly reward and recognize the good work being done by our employees, both sworn and civilian. Some ideas include a Chief's Leadership Award, a Health and Wellness Award and biannual award ceremonies at pre-designated times.	**Status:** *In process*
Costs: Staff time only	**Projected Completion Date:** January 2014

Objective: **2.11 – Create Sergeants' Training Manual**	**Person(s) Responsible:** Sgt. Pickney
Description: The learning curve for newly promoted sergeants is substantial and we need to provide them with the tools necessary for a successful transition into a formal leadership role. This manual will be chock full of valuable information and will serve as a reference guide as sergeants progress throughout their careers.	**Status:** *In process* *Sgt. Pickney has nearly completed the first draft of the manual and will share it with the leadership team for feedback.*
Costs: Staff time only	**Projected Completion Date:** January 2013

Objective: **2.12 – Employee Evaluation Process**	**Person(s) Responsible:** Lt. Garaven/Sgt. Blair
Description: Our current employee evaluation process, although satisfactory, has not been enhanced in several years. The goal is to create a new evaluation format which is less restrictive for the supervisor authoring the review. Additionally, we would like to build in a goal-setting feature to assist in leadership development and succession planning.	**Status:** *In process* *Sgt. Blair is researching evaluations from other agencies/organizations for ideas on how to improve our current system.*
Costs: Staff time only	**Projected Completion Date:** August 2013

Committee #3 – Resources and Technology
Co-chairs: Lt. Garaven and Mgr. Miller

Objective: 3.1 – Automated report writing system	Person(s) Responsible: Mgr. Miller/Sgt. Harper
Description: Automated report writing systems would greatly reduce the staff time associated with documenting a variety of incidents. By using technology in a way to streamline report writing in the field and coordinate interoperability with internal systems, we can minimize data entry and manual functions associated with police reports.	**Status:** *In process* A beta system was launched in August of 2011, but there were several difficulties associated with the system. The difficulties were addressed by West Covina Service Group and currently the system is again in a testing phase. Pending further review of the current system, we will determine if the West Covina product will serve our needs or if other vendors need to be researched.
Costs: Staff time only	**Projected Completion Date:** December 2012

Objective: 3.2 – Mobile Data Computers enhancement	Person(s) Responsible: Mgr. Miller/Supv. Kanoti
Description: The software program, NetMotion, has been installed in all of the units allowing us to expand the computing experience and bring many features of the workstation desktop into police units. NetMotion allows us to remain CLETS compliant as all data transmission is encrypted and secured. The expanding applications are becoming limited by MDC capability and Internet performance.	**Status:** *In process* To maximize the efficiency of the MDCs, we are working on several upgrades. These upgrades include adding RAM, 4G LTE air cards, adding MPLS to our existing T-1 line and replacement of the CPU.
Costs: Approximately $30,000 for RAM, 4G and T-1 upgrades. Unknown costs for CPU replacement at this time.	**Projected Completion Date:** September 2014

Objective: 3.3 – License Plate Recognition infrastructure enhancement	Person(s) Responsible: Mgr. Miller/Supv. Kanoti
Description: We have been using mobile LPR (license plate recognition) units mounted on our police vehicles for several years now with success. As we evaluated our LPR strategy, it became apparent there are several needs for the years ahead. From consolidating the different LPR platforms into one, to purchasing additional units for deployment, to integrating the software with the national database, there is much work to be done.	**Status:** *In process* We are currently phasing out the older PIPS system for the new Vigilant Video equipment.
Costs: Approximately $50,000	**Projected Completion Date:** October 2014

Objective: 3.4 – License Plate Recognition trailer	Person(s) Responsible: Mgr. Miller/Supv. Kanoti
Description: Creating a LPR equipped trailer will enhance our ability to develop valuable intelligence in specific high crime areas throughout the City. The mobility will allow for a flexible and expeditious response to rising crime trends.	**Status:** *In process* Fleet Coordinator Tom North is gathering bids to build the trailer from the ground up.
Costs: Approximately $20,000	**Projected Completion Date:** April 2013

Objective: **3.5 – Building space maximization**	**Person(s) Responsible:** Mgr. Miller/Sgt. Taylor
Description: This is an ongoing issue with a limited amount of space available and the potential to increase staff in the future. Eventually with the build-out of the Tustin Legacy, there will be a need to increase staff, whether sworn or civilian. We must be creative in how we utilize the current space available to be as efficient as possible, yet still provide a comfortable workspace for our employees. **Costs:** TBD	**Status:** *In process* We are exploring the possibility of upgrading the locker rooms, as well as some additional smaller remodeling projects. **Projected Completion Date:** January 2015

Objective: **3.6 – Social media presence**	**Person(s) Responsible:** Capt. Celano/Lt. Garaven
Description: Social media is the new way to disseminate information to the community. Our goal is to establish and/or enhance our current mediums, such as Nixle, AlertOC and Facebook. We would also like to set up a PD Youtube account. We can upload any video footage for investigations, crime prevention and for special events. Twitter would be another social media platform for us to relay important information and to solicit feedback. **Costs:** Staff time only	**Status:** *Completed* As of July 2012, we have PD Facebook, Twitter, and YouTube accounts up and running. These sites are maintained by the Social Media Team and are guided by SOP AD300. **Projected Completion Date:** July 2012

Objective: **3.7 – Digital Signage**	**Person(s) Responsible:** Capt. Celano/Crime Analyst, Howard
Description: The goal of digital signage is to improve the efficiency and effectiveness of internal communication regarding crime trends and quality of life issues by communicating information through enhanced technology on a 24/7 basis. This will improve the flow of information and aid in the presentation of training for department employees. The installation of video monitors strategically placed throughout all city-owned facilities will allow information sharing to the community as well. Costs: Approximately $30,000	**Status:** *Research phase* Since this will involve other City departments, we will be working with IT staff on an enterprise-wide solution. **Projected Completion Date:** July 2013

Objective: **3.8 – Internal communication system (Wiki/Blog)**	**Person(s) Responsible:** Lt. Strain/PSO Ortiz
Description: Communication is critical to the overall success of the Area Command system of policing. As officers work across all days and times of the week, it becomes necessary to find more effective communication tools to share information. There are systems available that can provide us with a framework to enhance our ability to communicate through either Wikis or Blogs. **Costs:** Approximately $10,000 ($3,500 annual maintenance)	**Status:** *In process* PSO Ortiz and CIO Breskin are proposing the use of Crime Free Multi-Housing Software, which may accomplish this objective. **Projected Completion Date:** November 2013

Objective: **3.9 – Online reporting**	Person(s) Responsible: Mgr. Miller/Supv. Nguyen
Description: COPLOGIC's Desk Officer Online Reporting System (DORS) allows agencies to collect reports from citizens online so patrol and front desk officers will no longer complete reports in person. The system is intended to be used for reports with no suspect/lead information, primarily filed for insurance purposes. It provides a convenient way for community members to report minor incidents, crime tips, submit forms, etc., through an online service available 24 hours a day, 7 days a week.	**Status:** *In process* Supv. Nguyen will be proposing a contract of services with Coplogic to management staff for approval.
Costs: Approx. $12,000 initial costs ($7,000 annual maintenance)	**Projected Completion Date:** January 2013

Objective: **3.10 – CALEA reaccreditation**	Person(s) Responsible: Mgr. Miller
Description: In April of 2014, we will go through our first reaccreditation process, which can, in some ways, be more difficult than the initial accreditation assessment. We have to ensure we have kept up all of our standard files, along with the associated proofs. This process is overseen by the Operations Support Division Manager, however it requires the efforts of all members of the management staff to make it happen. **Costs:** Approximately $5,000	**Status:** *In process* We are current on our proofs for most of the standards and the required reports for CALEA compliance.
	Projected Completion Date: April 2014

Objective: **3.11 – Upgrade the Command Response Vehicle**	Person(s) Responsible: Joe Meyers
Description: The Command Response Vehicle has not been upgraded since it was first built in 1999. The communication and emergency equipment inside the vehicle is beyond obsolete and needs upgrading. New MDCs and monitors, which are fully CAD equipped, will allow the Communications Unit to fully operate out of the Command Vehicle. Smart boards and flat screen TVs will allow for more effective emergency planning and Incident Command operations. Additionally, the purchase of a new generator will provide a constant and reliable source of energy for the vehicle.	**Status:** *Completed* Major upgrades completed. New MDCs with full CAD capability and SMARTboard have been installed. Only minor IT configurations remain.
Costs: Approximately $20,000	**Projected Completion Date:** May 2013

Evaluation and Accountability

"Discipline is the bridge between goals and accomplishments" – Jim Rohn

A tremendous amount of time, effort and talent went into the formation of this plan. If we were to simply place the plan on a shelf and hope that it would come to fruition, we would most likely be disappointed with the results. With every good plan comes an equally effective evaluation and accountability strategy to ensure the successful completion of objectives. As we learned in the process of the last strategic plan for the department, there will be successes as well as failures along the way. We must constantly evaluate our progress and make adjustments where needed, based on economic conditions and the ever-changing world of law enforcement.

The Strategic Planning Steering Committee (SPSC) will meet monthly to monitor the overall progress of the plan, provide updated sub-committee reports and make adjustments as necessary. Additionally, the SPSC will provide quarterly update reports to the Chief of Police to keep him apprised of what has been accomplished and what still needs to be done. Additionally, once a year the Steering Committee will conduct a formal assessment of the Implementation Action Plan, make adjustments where necessary, and provide a report to the Chief of Police. In turn, this information can be utilized in the budget planning process to efficiently allocate our resources and guide our decision making. Ultimately, this will ensure the group stays on track and moving in a positive direction.

By assigning each objective to one or two members of the management team and linking that objective to a projected completion date, we have built in a mechanism for ownership and responsibility that will ultimately lead to successful results. Assignment without accountability is wholly ineffective and will therefore be avoided. In the end, the employees involved from creating the plan to achieving the individual objectives, will feel a sense of pride in their accomplishments and the department will be better for it.

Acknowledgements

"The first responsibility of a leader is to define reality. The last is to say thank you. In between, the leader is a servant" – Max de Pree

The Department would be remiss in not recognizing the hard work and dedication of the members of the Tustin Police Department who brought this plan to fruition. We acknowledge all of your valuable contributions and thank you for your participation in this Strategic Plan.

This document is also available on our website at www.tustinpd.org. Printed copies can be obtained by contacting our Professional Standards Division.

Comments are welcome and can be submitted to:

Tustin Police Department
300 Centennial Way
Tustin, Ca. 92780

STRATEGIC PLAN

LINCOLN POLICE DEPARTMENT

2012-2016

2012

TABLE OF CONTENTS

DEPARTMENT STATISTICS

Authorized Sworn Officers 320
Civilian Support Employees 102

Lincoln Population 258,379
Lancaster County Population 281,531

Annual Budget $36,150,119

575 S 10th Street   Lincoln, Nebraska   Telephone 402.441.7204   WWW.LINCOLN.NE.GOV/POLICE

MESSAGE FROM THE CHIEF

I am proud to present the Lincoln Police Department's 5 year strategic plan. This document represents the collaboration and input from a wide variety of community, government and employee participants who contributed to the final product.
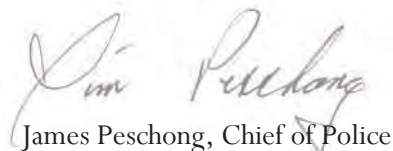
I want to thank everyone involved in the development of this plan for their dedication and willingness to help create a strategic plan for the future of our organization.

The Lincoln Police Department prides itself in providing our community with innovative solutions and best practices in the delivery of law enforcement services. As a department we will continue to build on the accomplishments of our past while providing outstanding service to our community now and in the future.

Two of the primary themes of this plan are partnerships and collaboration. As an organization we are aware that improving the quality of life in our community will always be a collective effort and one which we will continue to support.

A strategic plan is a flexible document that will serve as a guide to our future efforts. As we implement this plan, we will be continuously measuring progress and evaluating outcomes to ensure we are meeting our goals. This strategic plan is our continuing pledge to provide services through **L**eadership, **P**erformance and **D**edication.

James Peschong, Chief of Police

LIFE
We are committed to preserving life and enhancing the quality of life.

EMPOWERMENT
We are committed to an environment that encourages problem solving, both by ourselves and the community.

ACCOUNTABILITY
We are committed to being responsible for our actions and taking ownership of our work.

DEDICATION
We are committed to our community, our profession and to each other.

EDUCATION
We are committed to educating ourselves and our community about the causes, resolution, and prevention of crime and disorder.

RESPECT
We are committed to human dignity and the worth of all individuals.

"WE, THE MEMBERS OF THE LINCOLN POLICE DEPARTMENT, WORKING WITH ALL PEOPLE, ARE COMMITTED TO PROVIDING QUALITY POLICE SERVICES THAT PROMOTE A SAFE AND SECURE COMMUNITY."

- Ensure that all persons may pursue their lawful activities without fear or impediment by maintaining public order.

- Reduce the impact of crime, fear of crime, and public disorder on the daily lives of Lincoln residents through patrol, crime prevention, criminal investigation, and law enforcement.

- Respond to calls for service and other public needs promptly in order to provide services which resolve problems and protect persons and property.

- Manage the fiscal, capital, information, and personnel resources of the department with efficiency and care.

- Develop and maintain open relationships and communications with other agencies, organizations, and the public at large.

- Protect safe and orderly transportation through traffic direction, law enforcement, and accident investigation.

- Recruit and retain the best possible employees, reflecting the diversity of our population.

- Provide employees with opportunities for meaningful work, challenging goals and growth throughout their career.

INTRODUCTION

ORGANIZATIONAL STRUCTURE

The Lincoln Police Department is led by Chief James Peschong. He was appointed to the position in 2011, during the formulation of this plan, when former Chief of Police Tom Casady was named Public Safety Director for the City of Lincoln.

Chief Peschong and Assistant Chief Brian Jackson oversee the two divisions of the department: operations and support.

The Operations Division consists of five community police teams, each headed by a captain. The division also includes duty commanders and the Traffic Enforcement Unit.

The Support Division is comprised of Criminal Investigations, Narcotics, Crime Analysis, Education & Personnel, Victim/Witness, Property, Records, Service Desk, Information Services, Forensics, Police Garage and Finance. Each of these units is headed by a captain or civilian manager.

The Lincoln Police Department is a nationally accredited agency through the Commission on Accreditation for Law Enforcement Agencies, CALEA. In 1989, LPD was the first agency in Nebraska to be accredited and the 103rd in the nation. The department has been re-accredited six times and during the last accreditation cycle was awarded "Meritorious" (accredited continuously for 15 years) and as a "Flagship Agency" (two continuous accreditations without corrections.)

With a sworn staff of 320 and a civilian staff of 102, the Lincoln Police Department is considered a leader in technology and innovative strategies in problem solving. We have a strong commitment to community policing and intelligence led policing.

Sergeant Don Scheinost and Captain Joy Citta were assigned to create the department's strategic plan during 2011. Four committees were assembled consisting of commissioned, civilian and government employees along with community members. The committees met over several months discussing, researching and creating the LPD 2012 strategic plan.

The Strategic Plan consists of four focus areas, Equipment and Technology, Professional Development, Staffing and Facilities and Policing. Once implemented the 2012 Strategic Plan will serve as the vision for the growth and advancement of the Lincoln Police Department.

The next several years will be pivotal to the City of Lincoln and the Lincoln Police Department. A new arena, hotels and roadways will open in the Historic Haymarket district. The police department will face a turnover in management as a number of command staff reach retirement age and new commanders begin leading the department. Budgets will continue to be closely watched.

This Strategic Plan is a guideline to be used as the vision looking to the future of the department and the community we serve.

FOCUS AREAS

The twenty-seven members of the strategic planning committee were assigned to four subcommittees. They met at regular intervals to discuss critical issues and form plans for impact. Each group consisted of sworn officers, civilian personnel and members of the community. Together, they developed a common vision and a road map for the future success of the Lincoln Police Department. They recognized that, in order for this document to be meaningful, it needed to be attainable. True to this ideal, the elements contained within this plan are attainable goals which will assist the department in charting a course for the future.

EQUIPMENT & TECHNOLOGY
Captain Michon Morrow, Chair
Tyler Petit, University of Nebraska-Lincoln Student
Dixie Johnson, Northeast Team Citizen
Nancy Clark, Lincoln/Lancaster County Health Department
Sergeant Todd Beam, Lincoln Police
Officer Tracy Graham, Lincoln Police
Officer Joe Yindrick, Lincoln Police

PROFESSIONAL DEVELOPMENT
Sergeant Danny Reitan, Chair
Jeremy Walther, University of Nebraska-Lincoln Student
Dr. Linda Becker, Union College
JJ Mayer, Executive Secretary to the Chief of Police
Jon Carlson, Mayor's Aide
Marie Mathine, Crime Analysis Unit
Officer Andrew Ripley, Lincoln Police
Officer Andrew Vocasek, Lincoln Police

POLICING
Captain Jason Stille, Chair
Joshua Maguire, University of Nebraska-Lincoln Student
Vicki Lamb, Southwest Team Citizen
Shirley Terry, Lincoln/Lancaster County Health Department
Officer Tarvis Banks, Lincoln Police
Sergeant Chad Barrett, Lincoln Police

STAFFING & FACILITIES
Sergeant Teresa Hruza, Chair
Lance Johnson, University of Nebraska-Lincoln Student
Steve Langdon, Community Action Partnership of Lancaster and Saunders Counties
Rashi Jain, Lincoln Planning Department
Pat Wenzl, Police Garage Manager
Captain Jim Davidsaver, Lincoln Police
Officer Trevor Schmidt, Lincoln Police

EQUIPMENT & TECHNOLOGY

RECOMMENDATIONS

The Lincoln Police Department strives to be on the cutting edge with technology use and the ability to place information in the hands of officers and employees who use it in their daily work. Benefits to the community include web based crime mapping and most of the department's public information available to the public through any computer or smart phone.

RADIO SYSTEM
The current radio system became operational in 1988 and was upgraded in 1997, but is at its end of life. Parts are no longer available leaving the system in a compromising position should any part of the system fail. This system is used by all the city agencies but the critical usage is in the safety areas of 911, fire and police.

Recommendation: The radio system needs to be replaced with an 800MHz digital system. Updating the system will include upgrades to some portable radios and additional radio tower sites in Lincoln and Lancaster County. The cost estimate is $15 to $18 million dollars. Due to the current economic budget climate, replacing the radio system will require a bond issue. It is paramount to begin the process of educating the public on this need in the near future to obtain a positive result with the bond issue.

SWAT TEAM
SWAT continues to be activated in a variety of critical situations. They must maintain up-to-date equipment and training.

Recommendation: The SWAT team should have access to an armored vehicle, upgraded weapons, audio and video surveillance, monitoring equipment, radios and recording devices. They should have the most up-to-date body armor available.

TECHNOLOGY ASSIGNED TO A PERSON, NOT A PLACE
With the trend toward smaller cruisers, two officer cruiser assignments and the significant amount of information available to officers, it is relevant to address the placement of technology resources.

Recommendation: We have extensive policing applications, most notably P3i (Proactive Police Patrol Information) and on-line reports available for officers, but the devices necessary to utilize the technology are fixed and shared. The mobile data computers are bulky, creating space and safety issues for smaller vehicles and two officer cruisers. They are also costly to purchase and install. Numerous smaller devices are currently being tested for the P3i application. These devices are less costly and are portable. They can also be mounted in cruisers, saving space and allowing for the integration of Computer Aided Dispatch and P3i to improve officer safety, productivity and efficiency. The department should also research the ability to purchase and assign smaller, portable devices to individual officers.

RISING FUEL PRICES
The cost of fuel has continued to increase leaving the department to search for ways to economize on this necessary product.

Recommendation: Continue purchasing smaller, fuel efficient cruisers, include technology that allows the cruiser to fully functions as their office. The use of air cards in Mobile Data Computers allows officers to work from their car as if they were in a station decreasing the need to travel. Two officer cruisers, Global Positioning Satellites and Automatic Vehicle Locators used by 911 dispatchers will allow assignment of the closest cruiser to a call for service. Consideration should be given to providing officers with their cruiser fuel use reports on a monthly basis.

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EQUIPMENT & TECHNOLOGY

RECOMMENDATIONS

DIGITAL TECHNOLOGY
Advances in technology continue to permeate the entire department from bar coding in Property, on line reports in records, virtual evidence rooms and in-car digital cameras.

Recommendation: The technology available should be integrated into the department's daily functions.   Property should have an electronic bar coding system, allowing for accurate documentation of chain of custody and reduce the space needed for storage.

Virtual evidence rooms allow other necessary agencies like city and county attorneys to view and access evidence, saving employee time retrieving and copying evidence for court.

In-car digital cameras provide an un-biased account of events as they unfold, increasing officer safety, providing evidence for prosecution and limiting department liability. Digital cameras should be expanded to all cruisers with the ability to cover several different angles. Wearable cameras carried by the officers when they leave the cruiser are also a highly recommended option. Consideration should be given to digital storage capacity and retrieval with policies and procedures in place to keep evidence secure.

BRIEFINGS
The Lincoln Police Department conducts over 10 employee briefings a day to off-site locations and offices. Because of varying shifts and assignments the information presented is repeated for several days possibly causing some of the information to drop off or new information to be missed.

Recommendation: The department needs to review different formats for acquiring the daily briefing information determining if there is a better way to provide quality and timely information.

PROFESSIONAL DEVELOPMENT

RECOMMENDATIONS

Professional development includes training and advancement with each having a direct effect on job satisfaction. Training resources and opportunities to learn are critical elements in maintaining a high level of service for the community.

All employees of the Lincoln Police Department, civilian and commissioned, play a vital role in meeting our mission. Preparing future leaders by keeping staff up to date with changing technology prepares the department to move into the future Our employees are our most valuable assets. We must continue to invest in their ongoing development to ensure needs are met on the individual and department level. This investment provides a rewarding and healthy work environment which in turn drives our employees to seek excellence.

Overall quality of service will begin to deteriorate if employees spend all of their time just accomplishing their core duties and are not trained to be the next generation of supervisors and leaders.

INSTITUTIONAL KNOWLEDGE
There is a need to preserve and share institutional knowledge and best practices. When employees leave after many years of service a certain amount of expertise and experience may be lost, especially in some specialized investigative areas or key positions in the civilian and commissioned ranks.

Recommendation: Use of retired employees as instructors should be more fully explored. Lateral entry employees should also be recruited and considered as resources for new ideas or for identification of other available training options.

TRAINING
Fiscal constraints have affected the ability to participate in outside training other than specialized requirements.

Recommendation: Strive to create public/private partnerships that would facilitate training opportunities. Examples of this partnership could include the insurance industry for auto theft training, the banking industry for fraud training and the various universities for management or personnel development. Cross training with other agencies for critical incidents and disasters prepares staff to function effectively during larger incidents involving multiple entities.
Seek additional funds through grant programs or partnering with community companies and organizations to fund training.
Existing union contracts contain clauses for educational advancement for some civilian and commissioned employees.   A restructuring of negotiated language could make funds available for individual employees to use.

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RECOMMENDATIONS

TRAINING AS A "REWARD"
Staffing factors, and the perception of training being approved as a 'reward' or based on length of service, have curtailed several opportunities for employees to participate in optional training. This has led to some frustration on the part of employees trying to improve their performances. Scheduled in-service sessions also impact pre-existing staffing levels. Time commitments from outside sources may also limit the availability to provide new and relevant training to employees.

Recommendation: Make training available through web-based computer programs, utilizing resources such as the Department of Homeland Security or Department of Justice programs for training not readily available locally. An on-line training library should be developed that can be accessed by all employees via the internal home page. These resources would allow employees to have training available at their fingertips at any time while still maintaining staffing levels on the street.

ADVANCEMENT PROGRAMS
There is little ability for an employee to experience positions of an advanced rank.

Recommendation: Creation of detailed Standard Operating Procedures (SOPs) for critical positions in the civilian and commissioned ranks is essential for passing on knowledge from those positions.
Pre or post promotional process programs should be implemented to assist those seeking advanced positions. Mentoring or shadowing could be an important element of professional development.
An example would include allowing those eligible for a promotion to spend a period of time with employees already in that position to begin to draw upon their experience prior to appointment.

SPECIAL ASSIGNMENTS
Advancement is not limited to promotion. Appointment to a specialized position is often a career goal for employees.

Recommendation: Temporary special assignments should continue to be utilized to either provide additional training or to prepare for appointment to a specialized position. Specialized positions should continue to rotate giving employees opportunities in different areas of the department.

Other Recommendations: Implement a practice of periodic meetings within and between teams or units to discuss needs, goals, obstacles and opportunities. These structured meetings provide the opportunity to offer guidance, gain feedback, and give wider insight into broader responsibilities. This is an important foundation for leadership development. Cross training should be examined as a way to provide an opportunity for advancement.

RECOMMENDATIONS

The Lincoln Police Department's ability to deliver core police services through community based policing is part of the on-going partnership we have with the Lincoln community. For over 30 years we have involved the community in the way Lincoln is policed.

COMMUNITY BASED POLICING
We have continued to refine and implement additions to our community based policing philosophy since beginning Team Policing in 1975. Partnering with community groups and neighborhood associations has been central to our organizational goals and become part of the culture of the Lincoln Police Department.

Recommendation: Maintain the community policing model established over 30 years ago but continue to refine our response by including technology advances, best practices and innovative ideas. Community Based Policing works for Lincoln and we should continue this high level of partnership with the community.

DE-CENTRALIZED SUBSTATIONS
As the community continues to grow officers who start their shift by reporting to the main station have to travel long distances to reach their assigned areas and begin answering calls for service. The high costs of fuel and increased travel time to reach outlying team areas continues to increase response time.

Recommendation: The southeast portion of the city is one of the fastest growing areas in square miles and population. The department should plan for a full service team station in that quadrant of the city and evaluate the need to realign the geographic team boundaries to evenly distribute police resources based on need. Opportunities to combine this station with other public safety needs, such as a fire station, should be explored.

TECHNOLOGY
Technology continues to rapidly change the way we police allowing for more efficient policing and response to the community.

Recommendation: Citizens continue to gather information and communicate electronically. There is a need for the 911 call center to accept calls for service via text message and this method of communication will only increase in the coming years. With the proliferation of smart-phones and recording devices, there will be an increase in cellular phone photographs, video surveillance, and cellular phone video provided as evidence or sent to the police department at the onset of a report. There is a need to enhance our ability to examine and process this evidence as the current backlog on cases is only expected to increase.

The use of Global Positioning Satellites that can monitor the location of police vehicles and our portable radios should be explored. This can increase the safety of our officers and allow dispatch to send the closest units to a call for service. Potential benefits include lower response times and reduced fuel consumption.

RECOMMENDATIONS

BUDGET CONSTRAINTS
Government budgets continue to require a close financial look for cost savings while continuing to provide quality services that promote a safe and secure community. Our community continues to list maintaining quality police services as a top priority.

Recommendation: Explore the use of two-officer response cars as a cost saving option.   The test should evaluate times, number of calls for service and team areas.
Increase the types of work and the areas volunteers/ interns can provide services on the department. Recruitment of long term skilled volunteers and interns for specific projects can increase the ability of the department to move forward without incurring additional costs.
The Lincoln Police Department should also explore the possibility of taking some belated or non-urgent calls for service over the phone. Examples of these types of calls are crimes without suspects, calls for service without physical evidence and runaways.

RECOMMENDATIONS

The Lincoln Police Department will need to plan for future growth as the city continues to increase in size. As this growth takes place, additional personnel and off site facilities will need to be developed. The police garage, range and canine facilities are also in need of redevelopment or renovation.

POLICE GARAGE AND K STREET STORAGE
The police garage, built in 1930, at 635 J Street continues to require costly repairs. The garage increased it's workload two years ago when it started handling maintenance and repairs for most of the city's small vehicles. Storage at a city owned building located at 10th and K Streets utilized by LPD property is limited with no opportunity for expansion.

Recommendation: A new or remodeled garage facility in a central location will allow for efficient servicing of department and city vehicles. Combining the garage with additional storage for LPD property eases the growing storage problem.

DE-CENTRALIZED SUBSTATIONS
As the city continues to grow in population and square miles additional decentralized police sub-stations or stand-alone Team Stations will be needed. De-centralized stations allow the department to continue providing neighborhoods with accessible police services and response times within 10 minutes to most calls for service

Recommendation: A cooperative effort between the Lincoln Police Department and other agencies should be examined. The Lincoln Police Department should work with other city agencies to develop shared decentralized locations throughout the city. A shared facility would reduce cots.

K-9 AND RANGE FACILITIES
LPD does not have a K-9 training facility for the weekly training required for the five canines and their handlers. The long term rental of the police firing range will end in the next couple of years forcing the department to move to a new location.

Recommendation: The development of a police firing range is the top facility priority for the department. Combining the location of a range, training classrooms and a training area for the department canines would be ideal. Partnering with other city or governmental agencies would reduce the initial building costs to the department and potentially allow for rental use providing additional revenue.

FORENSIC LAB
The demands of the Lincoln Police Department's Forensic Lab continue to increase.

Recommendation: Better facilities that can handle the future needs of the department should include the ability to handle more video evidence and blood spatter. The expansion of the forensic lab would allow LPD to accept contracted work from other departments creating a revenue stream to support on-going lab equipment upgrades.

RECOMMENDATIONS

STAFFING
LPD has continued to operate with 1.29 officers per thousand population, one of the lowest officer/population ratios in the nation. Optimal staffing for the Lincoln Police Department is 1.5 officers per thousand citizens. However, under the current economic conditions this is not a reasonable goal. There are also several positions unique to law enforcement and a limited number of people are qualified to perform those functions, especially in our Technical Resources and Information Services Unit. There will be several retirements in the next few years that will impact the entire department.

Recommendation: The department should maintain their current staffing ratio. We should continue to review each position currently filled by sworn officers determining if the department would be best served by converting the position to civilian staff allowing the officer position to complement street staffing. The effects of retirements and ability to fill various key positions with qualified and skilled individuals should be kept in mind as a potentially problematic issue facing the Lincoln Police Department.

TEMPE
POLICE DEPARTMENT

CALENDAR YEAR 2012 - 2014 STRATEGIC PLAN

Message from the Chief

As Chief of Police, I am pleased to present the Tempe Police Department's 2012-2014 Strategic Plan. Strategic planning is the foundation for the future of any organization and our plan will serve as the map to guide the Tempe Police Department for the next three years. Specifically, this plan will ensure that we are focused on the issues that are critical to fighting crime, keeping our community safe, providing a positive work environment for our employees and taking full advantage of technology.

This year's strategic planning process was the most inclusive to date and involved a variety of meetings that included city leaders, community members, and police employees from across the entire organization. As a result of this comprehensive process, our new Strategic Plan includes many new strategies that enhance our commitment to fighting crime and ensuring the safety of the Tempe community.

Additionally, our strategic goals have been updated to reflect how we will proactively address public safety issues while streamlining and optimizing our resources during these challenging financial times. The four main strategic goals that will guide the efforts of the department for the next three years include:

- Fighting Crime & Enhancing Community Safety
- Promoting Community Involvement
- Supporting & Developing Employees
- Enhancing Innovation & Technology

Reaching these goals will ensure that we can meet the demands of our growing, diverse, and dynamic community now and in the future. As Chief, my commitment to achieving the highest level of organizational excellence has not wavered. I am very proud of the hard work and effort that went into developing this plan and look forward to the successes we will achieve.

On behalf of the men and women of the Tempe Police Department who worked together to create our Strategic Plan, I would like to thank the residents of Tempe and our Mayor, Council and City Manager for their continued partnership and support. It is with this support that we will be able to implement our Strategic Plan and proactively address the current and future public safety needs of the Tempe community.

Respectfully,

Tom Ryff
Chief of Police

THE STRATEGIC PLAN FRAMEWORK

Each year the Tempe Police Department conducts a comprehensive strategic planning process to update the strategic plan. This year's strategic planning process was redesigned to be even more inclusive of city and community priorities. The process involved four main components that included:

- City leader input: A full day retreat where police managers heard from city leaders about the current realities (opportunities and challenges) facing the city and the Police Department over the next three years. Guest speakers included the Mayor, the City Manager, and a variety of Department Directors from across the city.

- Community input: Several community forums took place and provided police managers with an opportunity to communicate with citizens and community representatives (including representatives from the Human Relations Commission, the Tempe Police Oversight Commission, the Chamber of Commerce, the Downtown Tempe Community, and the faith-based community) about the Police Department and acquire feedback on community priorities.

- Employee input: Police managers attended workgroup briefings and met with union representatives throughout the fall of 2011 to inform employees about the strategic planning process, discuss organizational issues, and gather employee ideas about the future priorities of the Department.

- Strategic planning retreat: Police managers attended a full day workshop where they reviewed the ideas from city leaders, the community, and employees. Additionally, as part of this retreat, the Department's mission and vision were reviewed, the strategic plan goals were updated, and new strategies were created and incorporated into the strategic plan.

STRATEGIC GOALS

The Department strategic goals serve to guide the activities and direction of the Department and provide a foundation for decision-making so we can continue to deliver the highest quality police service to the Tempe community for years to come. Our strategic plan is dynamic and flexible and is updated on an annual basis to reflect the new challenges and opportunities that face the Department.

Strategic Goal 1: Fight Crime & Enhance Community Safety

We are committed to fighting crime and increasing community safety in Tempe through the development of adaptive and proactive crime suppression strategies and intelligence-led policing that focuses on analyzing and predicting criminal activity to optimize the allocation of police resources.

Strategic Goal 2: Promote Community Involvement

We are committed to further enhancing the delivery of our services by providing strong customer service, strengthening communications with the community, promptly addressing community concerns, and engaging in collaborative community partnerships.

Strategic Goal 3: Support & Develop Employees

We recognize the importance of supporting the needs of our employees in the performance of their duties by improving communication throughout the organization, being responsive to employees, providing training opportunities, and attracting and retaining a skilled and diverse group of employees.

Strategic Goal 4: Enhance Innovation & Technology

We will advance our organization by incorporating new technology as well as the best law enforcement practices into our operations, challenging the limits of traditional public safety methods, and successfully managing the diverse range of information technology systems and infrastructure.

Objective 1.1: Utilize Intelligence-Led Policing to Detect and Suppress Crime

We will adopt an intelligence-led policing philosophy that supports our crime prevention, enforcement, and suppression efforts. In support of this philosophy, we will centralize and improve existing systems for the gathering, analysis, and dissemination of crime and intelligence information.

1.1.1   Reduce Part I crime (i.e., Homicide, Rape, Robbery, Assault, Burglary, Larceny, Auto Theft, and Arson) in the City of Tempe by 5%.

Objective 1.2: Optimize and Deploy all Resources to Prevent and Suppress Crime

We will strategically allocate our resources towards preventing and suppressing crime. Moreover, we will ensure that all employees understand how their positions can serve to prevent and suppress crime in Tempe and that they are provided the necessary equipment to do all that they can to aid in this effort.

1.2.1   Develop a plan to implement investigative technology including mobile camera systems.

1.2.2   Develop a comprehensive multi-departmental traffic safety plan for the City of Tempe.
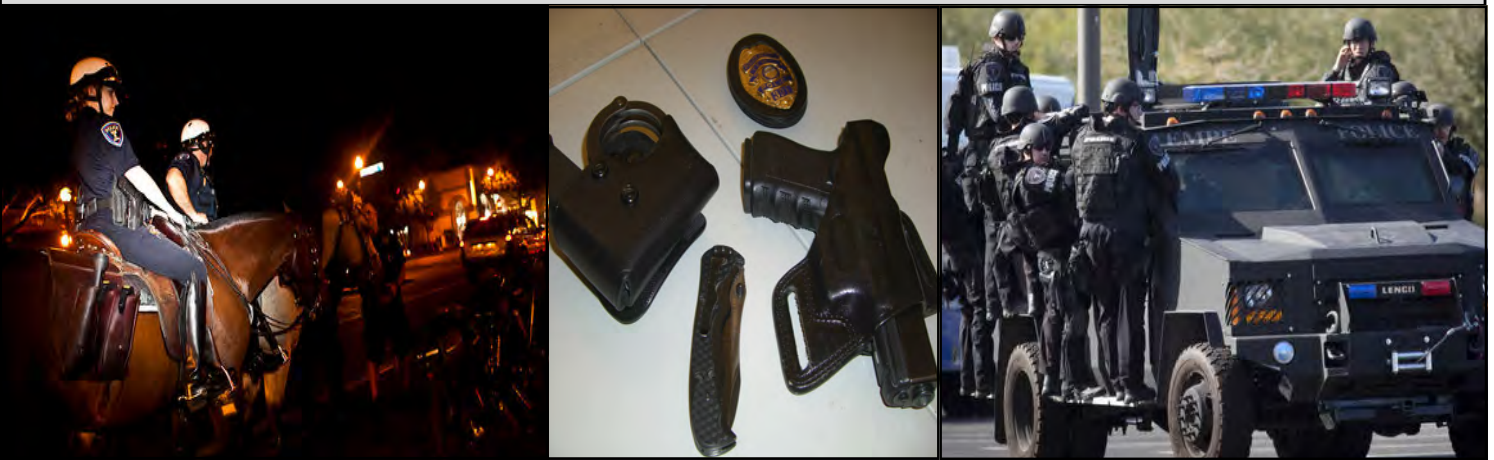
Objective 1.3: Enhance Proactive Policing

We will shift our focus to fight crime proactively. Specifically, we will promote proactive crime prevention and enforcement initiatives and we will strive to identify the origins of crime issues within Tempe to establish long-term solutions and apprehend those that violate the law.

1.3.1   Train all police employees on proactive policing and intelligence-led policing strategies.

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GOAL 2: PROMOTE COMMUNITY INVOLVEMENT

Objective 2.1: Strengthen Communications with the Community

As our partners in resolving issues, our community members are key to our success. We will strive to seek and disseminate information to the residents, businesses, and fellow city workers through various methods in the most time effective and efficient manner possible. We will continue to improve our ability to recognize and respond to the changing needs of the community .

2.1.1   Develop a social media plan and increase social media use for communicating with the community.

2.1.2   Reengineer the Police Department website to make information easier for the community to access.

2.1.3   Provide citizens with interactive mechanisms to access and initiate public safety information including police reports.

2.1.4   Develop an interactive web portal for the public to submit investigative tips and leads.
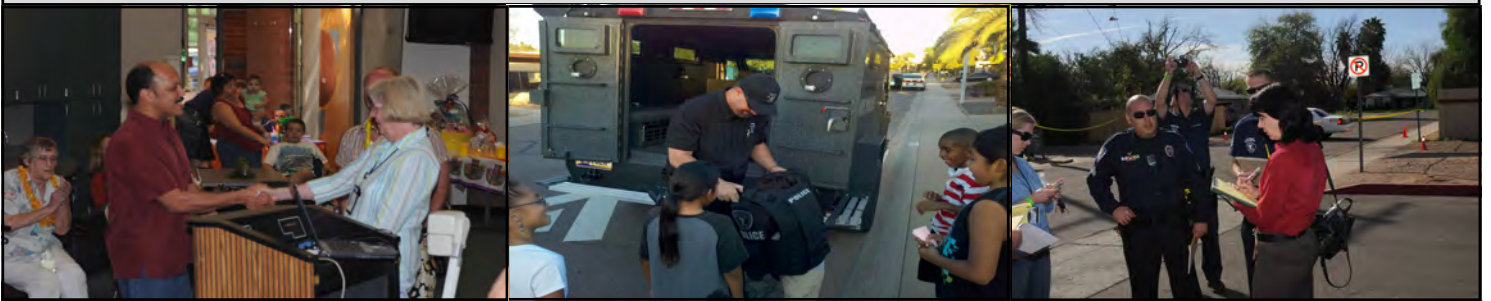
Objective 2.2: Channel Effective Use of City and Community Resources

We recognize that we can maximize our resources, develop strong systems of implementation, and improve the services we deliver by working cooperatively and collaboratively with our city and community partners. To this end, we will improve existing relationships and promote the development of new city and community partnerships. We will also work to pool police, city, and community resources so that they can be used most effectively.

2.2.1   Identify specific partners with Arizona State University and develop a process to communicate regularly with them.

2.2.2   Implement a Tempe Police Department/Arizona State University public safety alert system.

2.2.3   Develop a private/public partnership program with the business community.
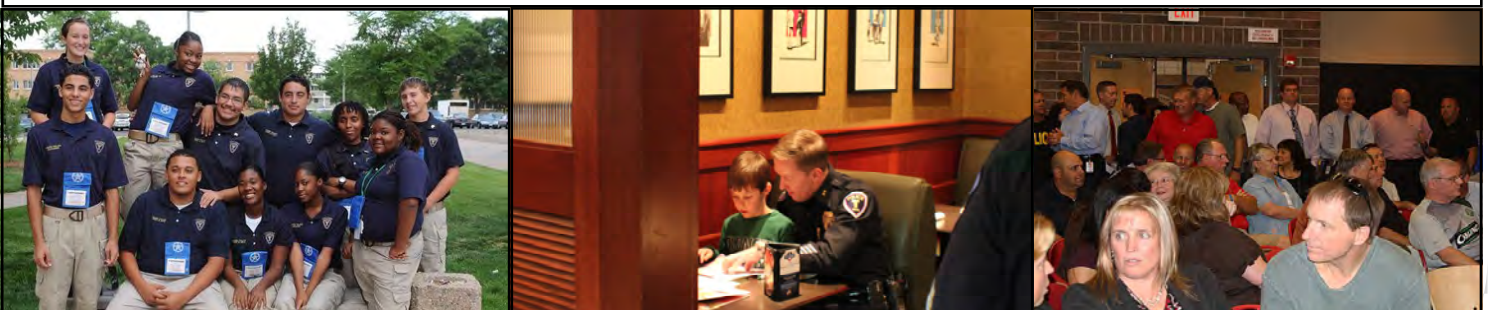
GOAL 3: SUPPORT & DEVELOP EMPLOYEES

Objective 3.1: Provide Training and Development Opportunities for Employees

We are committed to providing high quality training and career development opportunities that benefit both the employee and the Department. In addition to increasing access to internal and external training opportunities for all employees, we strive to develop systems of consistent training designed to reduce risk and increase employee safety. We also seek to enhance the abilities of our current supervisors and develop the future leaders of our organization.

3.1.1   Enhance attractiveness of promotional opportunities through leadership development.

3.1.2   Formalize and implement supervisor training program for all civilian and sworn supervisors.

3.1.3   Initiate e-performance employee evaluations assessing employees' support of crime suppression and other key organizational priorities.

3.1.4   Develop an executive management training seminar series.

Objective 3.2: Foster Communication and Cooperation Throughout the Organizations

We will develop mechanisms to increase information sharing, facilitate employee feedback, improve responsiveness, strengthen internal partnerships, and improve cooperation among employees. We seek to enhance working relationships across divisions, bureaus, and individuals, both sworn and civilian, throughout all levels of the Department.

3.2.1   Develop a process to streamline and centralize Department information to reduce information overload.

3.2.2   Develop an internal and external Department marketing plan.

GOAL 4: ENHANCE INNOVATION & TECHNOLOGY

Objective 4.1: Enhance Department Planning Efforts

Recognizing that day to day emergencies can interfere with planning, the Police Department is committed to setting aside the resources it needs to prepare for challenges and opportunities. We will continue to advance our organization forward and ensure that we stay one step ahead of future demands.

4.1.1   Develop a long-term organization-wide staffing plan.

4.1.2   Create a technology needs assessment/replacement calendar and technology operational plan that is tied to the CIP process.

4.1.3   Develop organization performance and workload measures.

Objective 4.2: Implement a Centralized Police Information Network (PIN)

The Department will work toward developing centralized and accessible information systems throughout the organization. This will result in a better dissemination of internal information throughout and across all levels and functions of the Department. In addition, centralized systems will streamline work processes, increase efficiencies, ensure data consistency, as well as promote enhanced information exchange systems.

4.2.1   Implement the mobile report entry and record management system report entry modules of the PIN system.

4.2.2   Implement the case management modules of the PIN system.

4.2.3   Implement the Arizona Criminal Justice Information System (ACJIS) interface of the PIN system.

Objective 4.3: Manage Information Technology

It is not enough to merely seek out and implement new technology. We as a Department also need to manage and sustain our technological infrastructure. A commitment to sustaining our technical resources will result in proactive planning and ensure that the appropriate resources are in place to maintain and support the Department's technology and ensure that employees have the resources they need to fully utilize technology now and in the future.

4.3.1   Develop in-house dedicated information technology and PIN system sustainment support.

4.3.2   Establish a process to maintain a Police Department geographic information system (GIS) and data layers.

MISSION, VISION, & VALUES

The Mission of the Tempe Police Department is to suppress crime and promote the safety of our community.

The Vision of the Tempe Police Department

- We are a highly adaptive, flexible, and proactive organization that integrates both community oriented and intelligence-led policing philosophies.

- Our organization is fully staffed with collaborative, accountable, and highly skilled employees who are dedicated to providing the highest quality police services to the community.

- We utilize innovative technology, systems, and processes to gather, analyze, and disseminate crime and intelligence information throughout our organization.

- We operationalize crime information and intelligence to allocate our police resources strategically and prevent and suppress crime in the community.

- We promote regional information sharing and cultivate active community and interagency partnerships.

Core Values

Honor - We will be honorable in our principles, intentions, and actions.

Integrity - We value honest communication and our actions match our words.

Loyalty - We are committed to fellow employees and the community we serve.

Dedication - We are devoted to the delivery of effective and efficient police services.

References

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Succession Planning

POST Management Program

Instructional Goal: Discuss the importance of succession planning

Performance Objectives:

- Review succession planning
- Discuss core principles of succession planning
- List different levers of learning
- Discuss key elements of succession planning
- Review succession planning toolbox
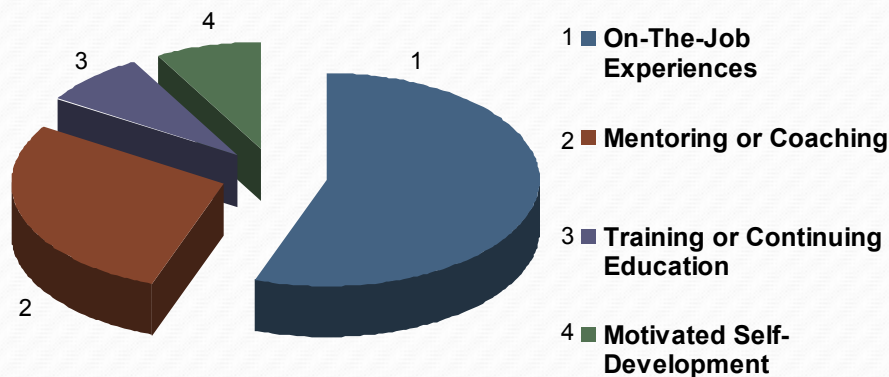- Discuss options for succession planning

Succession Planning

1. → Clarify the Organization's Vision
2. → Develop Business Strategies and Objectives
3. → Identify Leadership Requirements
4. → Evaluate Organization and Candidates
5. → Create a Development Process
6. → Outline and Implement the Transition Plan

Core Principles Underlying Succession Planning

1. Leaders really do matter … in managing/driving accountability, results, culture.
2. Performance is what counts … top performers over high potentials (the "what" & "how" both count).
3. Today's top performing leaders aren't necessarily tomorrow's … even our best leaders can fall behind or derail.
4. Talent is an enterprise resource … willingness to share talent makes the system work.
5. A broad set of experience & assignments is the best classroom … yet a balanced approach is still necessary for development.
6. It's incumbent upon today's "top-100" to leave a legacy of future talent … current leaders must teach, mentor, & role model others on what it takes to succeed.
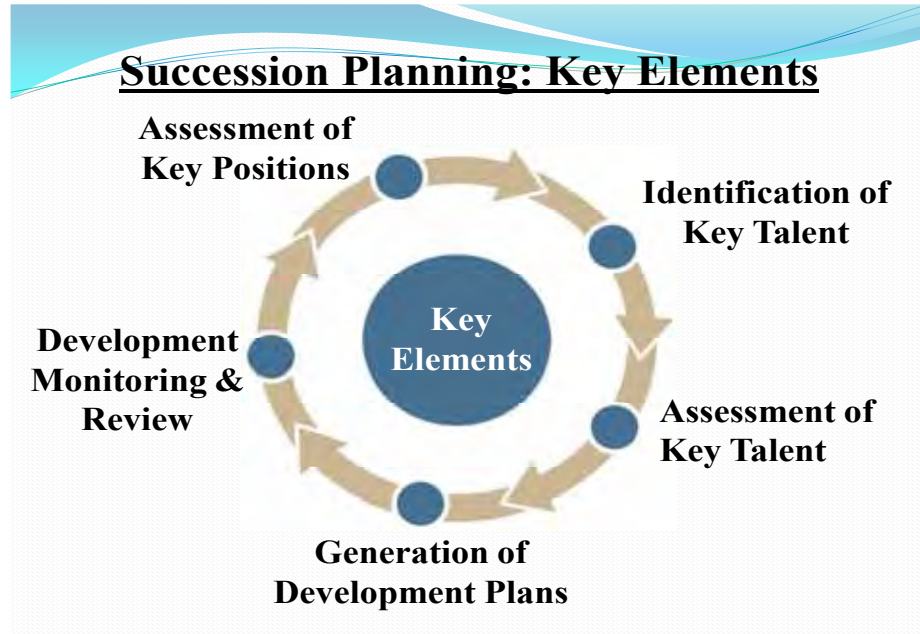7. Invest in the best … focus the rest.

Four Levers for Learning

1 ■ On-The-Job Experiences

2 ■ Mentoring or Coaching

3 ■ Training or Continuing Education

4 ■ Motivated Self-Development

There are two kinds of people in organizations:

➢ Those with 20 years' experience
➢ Those with one year experience repeated 20 times

Leadership Development = V + C + L

Variety of Experiences + Challenging Assignments + Ability & willingness to Learn

Succession Planning: Key Elements

Assessment of Key Positions — Identification of Key Talent — Assessment of Key Talent — Generation of Development Plans — Development Monitoring & Review — Key Elements

1. Assessment of Key Positions:
   - What are the competencies and experiences needed to qualify for each key position?
2. Identification of Key Talent:
   - Typically people at the top two levels of the organization and high potential employees one level below.
   - Identified by their management's assessment of their performance and potential for advancement.
3. Assessment of Key Talent:
   - For each person on the radar screen, primary development needs are identified focusing on what they need in order to be ready for the next level.
4. Generation of Development Plans:
   - A development plan is prepared for how we will help the person develop over the next year.
5. Development Monitoring & Review
   - An annual or semi-annual succession planning review is held to review progress of key talent and to refresh or revise their development plan.

Necessary Skills Needed

- Delegating and Powers Others
- Showing Integrity
- Creating a Climate for Success
- Communicating Well
- Coaching & Developing Others
- Showing Fiscal Responsibility

Succession Candidates

KEY POSITION TITLE: _____

Backup Candidate Name: _____

Current Title: _____

Div: _____   Level of Readiness (Circle One):
                                            Within 1 Yr.   1-3 Yrs.   3-5Yrs.

Strengths for this position:

Development needs for this position:

Comments:

Date: FY:

Completed by: Division:

Succession Plan Summary

Organization: _____

Key Position Title	Incumbent Name	Position Vulnerability			Succession Candidate Names		
		Open in < 1 Yr	Open in 1–3 Yrs	Open in 3 + Yrs	Ready in < 1 Yr	Ready in 1–3 Yrs	Ready in 3 + Yrs

Executive Development Plan

Name: _____ Title: _____

Overall Performance Summary:
(Indicate recent performance including major accomplishments or performance issues.)

Key Strengths:
(List 2-3. Indicate key technical or professional competencies, skills, or knowledge the person has.)

Development Needs:
(List 2 or 3. Indicate key experiences, skills or knowledge the person lacks in order to move to the next level.)

Development Actions:

1. *On The Job: (What new responsibilities do you plan to assign to help this person develop this year?)*

2. *Special Assignment: (What task force, projects, or special assignments will be given this year to aid development?)*

3. *Training: (What specific training or seminars are recommended this year for his/her development?)*

Potential For Promotion:
(Indicate this person's readiness to be promoted to the next organizational level.)

Ready now for the next level.

Ready in the next 24 months.

Ready in 2 to 3 years.

Recommended Next Position: *(List the next assignment that would most benefit the individual in his/her development.)*

PLANS FOR SELECTED TALENT

ORGANIZATION: _____

Name	Title	High Level Plans

Highest Return…

- ❖ Full Job Change Focused On Development Needs
  - ❖ Job Restructuring Based On Development Needs
    - ❖ Mini Assignments
      - ❖ Cross Divisional Project Leadership Or Assignment
        - ❖ Focused Coaching & Counseling
          - ❖ C. M. Denny Leadership Scholarship
            - ❖ Industry Representation
              - ❖ Customer Visits Accompanying Senior Executives
                - ❖ Formalized Education Programs
                  - ❖ Full 360 Degree Feedback and Evaluation
                    - ❖ Motivated Self Development
                      - ❖ Seminars and Conferences

… Lowest Return

DEVELOPMENT TOOLBOX

On The Job:
- **Job Enrichment**
- **Special Projects**
- **Committee Assignments**
- **Task Force Participation**
- **Lead Person Responsibilities**
- **Giving Presentations**
- **Preparing Proposals**
- **Installing A New System**
- **Leading A New Program**
- **Temporary Job Assignments**
- **Full Job Change**

Learning From Others:
- **Working With a Mentor**
- **Teaming with an Expert**
- **360 Feedback**
- **Focused Interviews**
- **Job Shadowing**

Training & Education:
- **Seminars & Conferences**
- **Continuing Education**
- **E Learning**
- **Cross Training**

Semi-Annual Succession Planning Review

- ✓ Review of succession candidates and development plans in each organizational unit
- ✓ Report development progress and make necessary adjustments to the plan
- ✓ Orchestrate moves for the next six months

Organization-Wide Leadership: Expanding the Traditional Succession Planning Model

By Mitchell P. Weinzetl, Chief of Police, Buffalo, Minnesota, Police Department

What occurs within a police agency when the organizational leader vacates the position, whether the departure is planned or it occurs rather abruptly? Will the organization flounder, or will it move in a positive direction? How about the individuals within the organization; will they stay focused and on track, or will they become distracted and concerned about a future that seems uncertain?

The answer to these questions is simple: It depends greatly on the actions of organizations' leaders during their tenures and through the periods leading up to their departures. If the agency head has engaged in sound leadership practices, and if a positive direction and a sound legacy have been established, the organizational direction will not only stay on course but may actually improve. This is not necessarily best accomplished through a process of succession planning as traditionally considered, but rather through an expanded process that intentionally engages organization-wide leadership and staff development practices.

The term *leadership* is broad and embodies a wide range of actions and behaviors that intend to lead and guide individual and organizational functionality and to produce specific outcomes. The most successful law enforcement leaders are those who, through their actions and influence, create, support, and sustain the performance of an organization in a manner that is rooted in a commitment to performance excellence, ethical practices, professionalism, and service. Effective leaders assume the burden of setting the organizational tone and focus and also for establishing and maintaining the organization's culture and values. This level of stewardship over the organizational ideals is an enormous responsibility, and because it is of paramount importance, it must ultimately rest squarely on the shoulders of the organization's leader. The agency head must not only set and promote the organizational direction but also do this in a way that is accepted and supported by individuals within the organization. When executed properly, this will include engagement, contribution, and agreement by the organizational staff, as well as participation from key external stakeholders who have been identified.

If effective leadership is linked to the ability of the organizational leader to ensure a variety of positive organizational aspects—including establishing a foundation for the culture and core values of the agency and setting expectations for individual and organizational performance and other outcomes—then the concept of legacy leadership is related to how these principles and concepts are handed down over time from one generational leader to another.[1] Also important is a foundational premise that "legacy-oriented leadership requires a strong continuity that addresses organizational practices and norms."[2] In essence, at its core, legacy-oriented leadership is about recognizing the positive aspects of the past, using the skills and experiences of the leader to build on these prior practices for the purpose of individual and organizational growth and improvement, and creating an atmosphere in which those who might someday ascend to the ranks of leadership in various positions can engage in and repeat this process.

Over the years, much has been said about the concept of succession planning, but what exactly is it? Most would agree that succession planning is a process through which many organizations—public and private—prepare for the eventual departure of key leaders. Through this process, organizations engage in a variety of strategies to identify individuals who might eventually assume a primary leadership role, generally taking steps along the way to prepare these individuals for the transition. This can be important from a strategic perspective because "during a leadership change, a succession plan maintains the continuity of the agency's mission and reduces uncertainty," and it can also help ensure that the organizational legacy will remain intact.[3]

Despite the positive aspects of succession planning, there are some potential drawbacks to this process, particularly if a traditional succession planning model is engaged. In many police organizations, everyone has a pretty clear idea of who will be promoted to the next sergeant, lieutenant, or chief executive position. They know this because these promotions are often predictable to members of the organization based on a fundamental flaw in some succession planning models: "They are overly focused on identifying successors for a particular job or position and not on the future leadership needs of the organization."[4] In short, many succession planning models rely on identifying a particular individual to step into the next leadership role instead of working to establish solid leadership skills throughout the organization and among all staff. In fact, this replacement-oriented focus is cited as a key problem many managers identify in terms of their criticisms of various succession planning models currently in use.[5]

Because some succession planning models orient toward a particular individual or individuals, they can have detrimental effects on other staff members. In many police and sheriff's agencies, the number of supervisory- and executive-level positions is small, and the frequency with which these opportunities arise is also very limited. Many officers have a desire to move up the ranks at some point in their careers, but they may become discouraged if they are overlooked for these positions or are unable to develop their personal leadership skills. This is particularly true as it relates to newer generations of workers who have a need to feel valued and want to increase their individual sense of self-worth by building marketable skills.[6] Appropriate succession plans are "not necessarily focused on creating replacements but rather on making a solid plan for the future"[7] of the

organization; however, staff may become disenchanted, and the result may be turnover or other performance-related problems.

The alternative to a succession planning process that focuses on one person or a scant few individuals is to engage in a process of organization-wide leadership that targets everyone within the organization as having the potential to take on a formal leadership role. Organization-wide leadership is a concept in which each individual organizational member, regardless of one's organizational role, is provided with the opportunity for instruction, guidance, and direction concerning leadership concepts and principles. For too long, leadership education and the accompanying philosophies have been reserved exclusively for those who are assigned to formal leadership roles. Additionally, more often than not, leadership education is not provided to these individuals until after the promotion occurs. Because of this back-end process of leadership development, many aspiring leaders miss the opportunity to develop an understanding of leadership principles early in their careers and also do not develop an understanding of how decisions are made that might impact them within their positions. This process also occasionally results in the promotion of individuals who have a misguided understanding of what their new roles entail, which can lead to operational problems.

Although only a handful of organizational members will ever be placed in formal leadership positions—particularly in those roles that include a leadership title and the associated pay and responsibility—many organizational members will be asked to take on leadership responsibilities related to projects or assignments, or they may simply become informal leaders within the organizational ranks because of their tenure, experience, charisma, or personality. While in these informal roles and settings, these individuals will shape and mold the organization based on their knowledge, their abilities, and their experiences. In order to ensure that the influence of informal or aspiring leaders is consistent with key aspects of the organizational legacy, formal leaders must engage in an intentional process of mentoring and guiding. This process must be looked upon as a marathon, not a sprint, however, because legacy and leadership elements are not the result of "swift interaction, but due to the accrual of modeling, educating, and feedback."[8]

This type of mentoring and guiding cannot occur, however, without a proper foundation. Although it may seem a peculiar place to begin, a sound and comprehensive succession planning process must start with the competency of the organizational leader. For the legacy left behind by the organization leader to have any value, the leader must first ensure that the legacy is positive and productive and that it is one that others want to follow and maintain. There is an awesome responsibility on the part of the organizational leader in this regard: The individual must desire and endeavor to become the type of leader who others look up to and wish to emulate, and through that process, they must develop their own skills to a high level. Once the leader has developed a high degree of competency (something that should continually be worked on, for that matter), the individual can engage in a process of developing others in a way that will carry on the legacy.

One model that can be used to promote an individual and an organizational legacy is the Leadership Replication Cycle (LRC):

The LRC process has two key components: The development of the capabilities of the individual leader, and the process through which the leader engages others within the organization in an effort to replicate the actions and behaviors of the formal leader. At its center, the LRC is a legacy-oriented leadership tool. The first steps of this model are designed to challenge the leader to actually become the leader that staff wants to follow. This occurs through a process of gathering information, reflecting upon what has been learned, and then using that knowledge and reflection to intentionally transform oneself, which ultimately helps individuals to engage in specific actions and behaviors that contribute to positive and effective leadership.

The second portion of the LRC is where the concepts of legacy-leadership and succession planning meet. In this section, the transformed leader uses skills and abilities to teach others within the organization, passing along not only the important aspects of leadership but also a process through which skills and abilities can be shared. The key benefits of this type of process (mentoring and modeling) are that the amount of effort is minimal, and, oftentimes, the delivery method is passive. "Mentoring is an effective and low-load way to pass on crucial knowledge, skills, and abilities in public organizations."[9] It is important to note, however, that this second section is not merely a conduit to developing general leadership behaviors; it intends to replicate the leader's style, actions, and behaviors to the extent that this is possible and practical.[10] This is important because the replicable aspects of the organizational leader are, in essence, the legacy of leadership that is hoped to survive the leader's eventual departure.

In addition to implementing a philosophy that promotes organization-wide leadership, organizations also should engage in an organized succession planning process. The IACP Leading by Legacy (LBL) program considers an open succession planning process, such as the one described in this article, to be a vitally important aspect of legacy-oriented leadership. To carry out this objective, the LBL program identifies four steps that can be used to create an environment that supports leadership development and an ongoing legacy.[11]

Step 1: Identify the potential talent within the organization. Whether through observations or conversations, try to determine who may be interested in taking on a leadership role within the organization. Keep in mind that not everyone who has a talent for leadership will show a direct interest. All supervisors and leaders should be constantly searching the ranks for the next great leader to emerge. Stay alert and watch for informal leaders who are impacting the organization in a positive way; this is a great way to identify future formal leaders.

Step 2: Provide training to those identified. Do not wait for talented people within the organization to come forward and ask for leadership training. Many prospective leaders are unaware of or too humble regarding their potential, and as a result, they will be reluctant to envision themselves in a leadership role. Invite all organizational members to any in-service leadership training offered, but strongly encourage attendance by those who may benefit the most from the training.

Step 3: Mentor the individuals who show promise. Once potential leaders are identified, take the time to teach them. These individuals will need nurturing and guidance in order to learn and grow into the leaders of tomorrow. When possible, invite these individuals to important meetings so they can observe and learn from those who are present. Most importantly, model the behaviors that are most essential in promoting and maintaining the organizational legacy.

Step 4: Empower staff to make key decisions within the agency. Assigning responsibilities to aspiring leaders is a great way to measure their interests and their capabilities. It also affords them the opportunity to ease into leadership roles without feeling overwhelmed. When working on developing staff who are already supervisors, share important issues and discussions, such as those that relate to policy, procedure, or disciplinary matters. Afford them a voice, but also explain how leadership decisions are made so that they can gain insight and understanding.

Succession planning is an important tool that can help ensure continuity of operations for the organization and that the organizational legacy will survive the departure of the organizational leader. To safeguard against being caught unprepared, it is critical that organizations establish a clear plan in advance. Succession planning should

be "a thorough process designed to ensure the continued effective performance of an organization by planning for the development and replacement of key people when the need arises."[12] It is important to remember, however, that this process should not rely on a myopic focus; consideration—and attention—should be given to everyone. A strong and successful strategy for succession planning should include an organization-wide leadership philosophy; establishing replicable leadership behaviors that teach, promote, and reinforce critical core values and a positive organizational culture; and a step-by-step process, which ensures that the plan is thoughtfully carried out and executed. Organizational leaders are responsible for constructing and implementing a plan to carry forward the organizational legacy, and a process that intentionally works toward this end will help promote a positive outcome. ♦

Notes:

[1]International Association of Chiefs of Police, Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice, Leading by Legacy: Leadership and Management Training for Rural Law Enforcement Agencies (Alexandria, Va.: IACP, 2010).

[2]J. Patrick Dobel, "Managerial Leadership and the Ethical Importance of Legacy," International Public Management Journal 8, no. 2 (2005): 237.

[3]Leading by Legacy: Leadership and Management Training for Rural Law Enforcement Agencies, 91.

[4]Robert Barnett and Sandra Davis, "Creating Greater Success in Succession Planning," Advances in Developing Human Resources 10, no. 5 (October 2008): 724.

[5]Ibid.

[6]Jeff Minerd, "Bringing Out the Best in Generation X," The Futurist 33, no. 1 (January 1999).

[7]Kathleen Dodd and Carolyn Simons, "Succession Planning—Securing Your Organization's Future," Home Health Care Management Practices 17, no. 5 (2005): 401.

[8]Dobel, "Managerial Leadership and the Ethical Importance of Legacy," 228.

[9]Bruce J. Pearlman, "Introduction: New Rules and Approaches for Succession Planning," State and Local Government Review 42, no. 1 (April 2010): 49.

[10]Mitchell Weinzetl, Acting Out: Outlining Specific Behaviors and Actions for Effective Leadership (Springfield, Ill.: CC Thomas, 2010).

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Increasing Organizational Leadership Through the Police Promotional Process

By Patrick J. Hughes

Law enforcement agencies and their design appear to differ from any other type of organization. Although usually compared with the military, police departments have been referred to as having "hyper-bureaucratic military organizational attributes— those of formal rank, formal hierarchy, and a chain of unquestioned and unquestioning command."[1] Only until a few years ago, the term police management, designated only for those holding a title, described what those in the profession believed to constitute leadership. However, more recent years have shown that managers are not necessarily leaders. Rather, those placed into managerial roles should possess leadership skills, behaviors, and knowledge. Employing such a concept could improve officers' connections with their departments and aid in succession planning when promoting future leaders within the agency.

So, how do officers obtain a police leadership position, and what measures their leadership behaviors and skills? Are the right people placed into these positions, and can these individuals' lead larger numbers of officers in the future? For the past few decades, some police research has dealt with such topics as leadership styles of those in positions of authority. Other studies have focused on leadership as it pertains to gaining organizational commitment. Little research, however, has examined the promotional process and how it can impact organizational leadership and commitment. In today's world, a need exists to research and create changes to both the design of these agencies and the process to promote future leaders.

To this end, the author explores the current assessment process used to promote first line supervisors and discusses leadership education and its availability and applicability to all officers. He draws a connection between desired leadership styles and how a proper assessment process, coupled with leadership education and training of future first-line supervisors, could enhance the abilities of those in positions of authority to lead the officers in their charge.

Examining the Design

When focusing specifically on organizational design, law enforcement agencies are highly structured with well-defined charts that describe the roles that accompany the position titles set forth. In addition, top-down communication exists inside these agencies.

Some arguments have highlighted the need for this design because of the severe situations officers encounter and the great amount of liability that accompanies such incidents. These organizations and their design, however, lack some items that officers would like, such as better communication networks, more participation, improved decision making, and enhanced ethical leadership. Through these requests for change, organizational commitment may increase. Research has indicated that "participative role clarification improved organizational commitment."[2] Inside a militaristic-designed organization, the levels of rank in management and their importance often

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Professor Hughes, a former police officer, is the director of criminal justice administration at Central Pennsylvania College in Harrisburg and also instructs at the Harrisburg Area Police Academy.

are oversimplified and many times seen as a mere conduit of communication having no real influence on subordinates. Researchers have argued that "obedience socialization and military command supervision across the hierarchal levels appear to distort the nature of police work."[3] Police organizations face a changing environment at a faster than normal pace and should have a structure flexible enough to handle such situations, as well as flowing communication and leadership firmly embedded in the design. In most police structures, ranks descend from chief to deputy chief, captain, lieutenant, sergeant, corporal, and patrol officer. These levels exist more in larger metropolitan or county-level agencies mainly due to the number of officers employed. However, in some states, such as Pennsylvania, department size does not allow for such rank design, making the levels of sergeant and patrol officer more open to leadership situations. One study noted that the "quasi-military model makes no provision for the situational effects of a leader's behavior."[4] Other researchers echo this by suggesting, "Although many agencies appear to rely on military arrangements in terms of structure, rank, and hierarchies, this model may not effectively serve police leaders and their respective organizations. Replacing the military model of leadership development with behavioral competency development may be more effectual in leadership and agency performance."[5]

Many in the police arena believe that law enforcement agencies differ greatly from organizations in the private sector. However, one study compared the scores of police leaders on the California Personality Inventory with those from the business world and found that "results indicate very similar scores."[6] Is there truly a difference in how leadership is applied between the policing and business worlds? Some in law enforcement will argue that at their basic cores, the two differ in followers, motivation, and desired leadership styles. Many people associate the word entrepreneur with the world of business. One study introduced the concept of entrepreneurial policing with the basis behind such a term being that the leadership concepts in policing do not differ greatly from those of business. It suggested that "entrepreneurial policing is an open style of management linked to, but transcending, individual leadership styles because it can be practiced by everyone within the police service irrespective of rank. This link between the rubrics of entrepreneurship and leadership is vital because for a practical theory of entrepreneurial policing to develop, policing requires the active participation of future generations of police leaders."[7] This concept not only intertwines the business world with policing but also exemplifies that leadership should be seen at all levels within the police organization. To further support this, the study connected entrepreneurship and policing by reporting that it "is action-oriented cognitive human ability, which guides policing as an everyday practice and paradoxically links managerialism and conformity to risk-taking behavior."[8]

In addition, some studies have reported other perceived leadership styles gathered from sworn personnel.[9] For example, researchers examined how these styles affect officer-integrity violations. Findings identified three

styles as openness, role model, and strictness, concluding that "all three aspects of leadership...have a significant effect on the frequency with which corruption occurs."[10] Another study revealed that the most effective perceived style admired by officers was transformational leadership.[11] Finally, another researcher focused on officers as the "change agents" in police organizations, arguing that "police departments could be well advised to encourage participatory involvement as a vehicle for organizational reform."[12]

As seen by this variety of research, many studies have identified styles sought by officers of their supervisors. It appears that through employing these styles, officers may have stronger organizational commitment. By engaging in these styles, supervisors may strengthen the integrity and ethical behavior of the organization. Apparently, strengthening leadership among supervisors, especially first-line ones (e.g., sergeants), would benefit many law enforcement agencies and their followers.

> **Many in the police arena believe that law enforcement agencies differ greatly from organizations in the private sector.**

If police organizations need more flexibility and incorporate leadership at all ranks, what, then, should change, and who should participate in that change? Moreover, Does the current promotional process truly select candidates with these styles, and, if not, how can that process be improved to do so?

Analyzing Promotions and Assessment

These processes can differ from department to department given the resources and number of employees. Many larger agencies usually employ a procedure involving written and oral examinations, performance evaluations, psychological and physical tests, and drug screening created and disseminated by a consulting department.[13]

Agencies can expand and contract on these steps if they so choose. However, this can prove costly for smaller ones that often must rely on years of service and performance evaluations to promote their officers. With all of this in mind, the question remains, is the current promotional process truly choosing candidates with the wanted leadership styles, and, if not, what improvements can be made?

One of the most difficult tasks in the promotional process is creating standardized testing, a system employed in such areas as collegiate admissions, government civil service, psychological measurement, and high school academic proficiency. As a means of bringing fairness and equality to all who take them, the exams seek to measure, through written words, a person's skill or personality. Prior to the test, candidates should complete a job-task analysis, which offers performance dimensions needed for a certain position. While such testing has served its purpose, recent research has shown some flaws.[14] For example, researchers administered the California Psychological Inventory (CPI) to promotional candidates in Texas attending leadership training. They gave both a pre and posttest, advising "results indicate that the CPI-260 can be utilized to assess change through training and that, in this case, the training seemed effective at helping the law enforcement executives develop their leadership skills, awareness, and abilities."[15] In the current processes, many candidates never attend, nor are given the opportunity to do so, any leadership training prior to testing. Some attributing factors may be cost, shift coverage, availability of training, or simply not viewing it as needed.

Assessment centers also have made their place in standardized testing and often exist in the government and public sectors. "Over 62 percent of the respondents in a recent survey of police and fire chiefs reported that they use assessment centers, especially for promotion."[16] Further findings showed that centers "are inappropriate for selection procedures which purport to measure traits or constructs, such as intelligence, aptitude, personality, common sense, judgment, leadership."[17] This study suggested an alternative to the written assessment. It used the term task-specific centers, defining this concept as "exercises (work samples) and not performance dimensions."[18] Given the various differences among organizations, each could design its own task-specific

assessment using the officers, administrators, and subject-matter experts. This would suggest better participation by officers at all levels. One downside to this concept is that "assessors...are not determining how much leadership or judgment a subject has; they are attempting to measure how well the subject handles a specific job-related situation."[19] Interestingly, the study did not say that leadership may not exist in the behavior while completing the task. Some situational leadership skills could emerge during the performance of the work. "It would be appropriate, however, to have an exercise where the subject was designated group leader and there was an issue to address."[20] Then, it could be asked if this assessment measures behavior. The answer is yes. The study included a component termed behavior observation in the assessment process. When discussing the assessment of future leaders, leadership is observable, thus a behavior. "Checklists can include a short 8-15 list of items considered important...a method for recording the subject's actions."[21] Revisiting the desired leadership styles of officers, it is suggested this checklist be designed specifically for those behaviors sought by the officers to be led. This would ensure the right person is chosen to lead. Another researcher said it correctly, "Leadership is a behavioral quality which has to be demonstrated in everyday contexts."[22] That is the concept that supports using behavior observations in task-specific center assessments.

By further investing time into creating a better testing process to observe leadership behavior, law enforcement agencies would improve their organizational design. Ultimately, they would provide those being led with their chosen leader. It also would be a positive step into planning for the future for many agencies because law enforcement organizations often do not consider the concept of succession planning.

Planning for the Future

The final question to investigate is, how do police organizations plan and train future leaders of their departments? Many do not invest time or money into sending officers to leadership training. This could be at a federal, state, or local level. On a federal level, the FBI maintains the Leadership Development Institute.[23] Some states also may have some type of leadership seminars or classes. For example, Pennsylvania, through the Penn State Justice and Safety Institute, offers nine leadership development courses. [24] Of these, seven require the officer to hold the rank of lieutenant or higher, one requires the officer to be in the promotional process or promoted, and one has nothing noted about who may attend. This concept in offering leadership training does not appear to be in line with that of succession planning. Instead of supplying training to those choosing or aspiring to be leaders, the training occurs after the officer is selected from a list of eligible candidates. Educating in this manner appears to "place the cart before the horse." After all, officers seek certain styles from those who lead them, but these styles do not appear to be measured through the current written assessment process. One researcher suggested, "The quality of police leadership could be improved by more effective methods to identify officers in the middle rankings posts who had the potential to become chief officers."[25] He advised that succession planning can increase overall police leadership that can be accomplished through training the right people. His research sought to "modernize the police workforce, enhancing training and career progression to improve leadership and management skills at all levels of the service."[26]

Another issue in succession planning might be that not enough individuals want to take part. This could be for various reasons, such as satisfaction with the current assignment, monetary loss, lack of support or motivation, poor test-taking ability, or a disconnect with current administration values. In one study, officers perceived their promotional process as "not picking the best police officers" and "the testing and selection method."[27] Whatever the reason, this does not suggest a lack of those who can lead given the right tools. Sometimes, as stated in another study, officers have the "perception that promotions are not based on merit and reflect a hidden administrative agenda."[28] However, in the same study, "black test takers indicated leadership as a prominent concern."[29] While this is a positive sign of those focusing on leadership, this notion needs to be permeated throughout the organization. Proper succession planning can make this possible with researchers agreeing on "the importance of creating a seamless continuity in leadership development and succession planning."[30] By law

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enforcement changing the admission and availability of currently offered leadership training simultaneously with the current promotional processes, police organizations can begin to assure that they chose the right leaders.

Conclusion

Research has shown that the current design of police organizations does not support change easily. However, research also has demonstrated that officers want improvements in how their future leaders are chosen and the styles these superiors should exhibit. Making leadership training available to those aspiring to become leaders and changing written assessments to those that measure task behavior could help bring about these desired advances. Further research could focus on leadership training and how to build it into an organization's succession planning, thereby improving the overall leadership throughout.

In this day and age of increasingly complex challenges for the law enforcement profession, such changes seem warranted. Concerning policing in the 21st century, one researcher aptly stated, "Our job now is to go out and garner learning from wherever it exists and increase the richness of our leadership culture.... Police leadership is not essentially different from all other forms of leadership."[31]

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Conclusion

Future Trends in Law Enforcement

POST Management Program

Law Enforcement and the Law with Ken Wallentine

Law enforcement trends to watch

Successful police agencies will be those that adapt and change rapidly, embrace technology and analyze emerging trends in their communities

"In the year 2525, if man is still alive, if woman can survive, they may find…" that policing has transformed far more in the fifteen years between 2010 and 2525 than in several preceding generations. The most significant trend will continue to be the application of technology to law enforcement, manifest in nearly every facet of policing. Technology will help solve crimes, prevent crimes, and facilitate crimes that haven't yet been conceived. Evolving human factors will equally impact law enforcement as the nation's population ages, immigration increases and minority group fertility rates skyrocket.

Hi-tech Crime Fighting

Almost every high-level police executive conference in the past few years has featured a seminar or two on "intelligence-led policing." The core of intelligence-led policing is identification of specific criminal activities or specific criminal populations and targeted enforcement against the highest-risk crimes or criminals to achieve overall reduction in the impact of crime in a community. It is essentially risk management applied to law enforcement. In one of the early works advocating intelligence-led policing, author Mark Riebling encouraged police officers to become more like spies. But just where does the intelligence come from?

The human element of intelligence-led policing involves the intelligence analyst. How many police departments even had an intelligence analyst a decade ago? Now even my own small agency of about 40 has a full-time intelligence analyst with a professional background as an attorney and trainer. As we move into the next decade, intelligence analysts will become more common at smaller- and mid-sized police agencies, and are already absolute requisites for effective larger agencies. The 2001 terror attacks and subsequent terrorist efforts awoke police to the need to understand the infrastructures in community food and water supplies, power grids, telecommunications, transportation systems, and even financial institutions as those entities became prime terror targets.

Not only does that mean that police administrators and command staff must develop new areas of familiarity and forge new networks, but it also implies that the increasingly professional intelligence analyst will continue to gain prominence in the police agency. As police agencies make basic changes in gathering, assessing, communicating and sharing information, the analyst will be at the center of systems development and management.

The decrease in cost and increase in quality of surveillance cameras, coupled with a greater public acceptance of street surveillance, will push the trend toward more cameras in high population centers and particularly in high vehicle- and pedestrian-traffic areas. Great Britain, with an estimated four million public surveillance cameras in operation, has led this trend. A spree of Irish Republican Army bombings in the early nineties fed the appetite for mass public surveillance. In some areas of Great Britain, a new camera cluster called The Bug is undergoing extensive testing. This device features an array of eight cameras. The cameras are bolstered by software that prompts them to scan for suspicious behavior, such as running or sudden and violent body movements, and then lock on the suspect and track the suspect on camera. How long will it be before we see similar devices in metropolitan subways and busy street corners in major U.S. cities?

What lies ahead in video surveillance? Among other things, there will be surveillance systems a generation beyond 'The Bug' that recognize the patterns of a particular crime, such as an assault or robbery, and instantly dispatch police officers. Facial recognition systems that identify known criminals or wanted persons and telegraph their location and travel direction to officers are already available. One developer is working on small surveillance drone aircraft that can actually follow suspects and record and transmit their movements and actions. Also under development are nanotechnology devices that will detect the components of explosive, chemical and biological weapons. These devices would be deployed in high-threat target areas and would function as constant, real-time passive detectors.

Though perhaps the trend has moderated, the American public has become increasingly tolerant of privacy intrusions following 9/11. Courts are just beginning to struggle with the legal implications of new privacy intrusions. Lawyers and judges are trying to shape new provisions in evidence rules to accommodate the expansion of electronic surveillance and security searches. The Innocence Project estimates that mistaken eyewitness identification contributed to the wrongful conviction in 75 percent of the cases where DNA evidence conclusively exonerated the convicted defendant. This has lead courts to carefully scrutinize how police administer line-ups and show-ups and to promote the use of technology to record identification procedures.

Court rules are already rapidly changing in this area.

Police officers are trained to remember that "if it isn't in the report, it didn't happen." Soon, perhaps, the new maxim will be, "if it isn't on your daily video log, it didn't happen."

In the past few years, more state legislatures and state supreme courts have created statutes and evidentiary rules that either mandate or strongly encourage audio or video recording of interrogations. More than half the states now have some rule on this topic. In 2010, that number is expected to grow.

Though in-car video systems have been around for some time, several agencies in Great Britain and Europe are experimenting with wearable video recording devices that are capable of recording an officer's activity for an entire ten-hour shift. Constant electronic recording of police activity may become the new core of police accountability. TASER International launched the AXON "tactical computer" that features a tiny, high-quality wearable camera that snugs around the ear, much like a wireless cell phone headset. The camera can also be mounted on other parts of an officer's uniform or equipment. Whatever the officer sees in front of him, the AXON's camera captures. One prosecutor in Fort Smith, Arkansas, recently credited the AXON with helping quickly clear an officer involved in a fatal shooting of a man who pointed a gun at him during a domestic violence call. Watch for more and more developers to move into the wearable camera market and more agencies to experiment with the technology.

Watch for:

- Expanded employment opportunities for police intelligence analysts, even in the face of a continuing recession and declining tax revenues
- Further professional development for intelligence analysts and growth of existing intelligence analyst associations and new degree tracks in intelligence analysis
- More public surveillance cameras and use of facial recognition software
- Advances and simplification of DNA collection and more rapid testing methods
- Court decisions that further guide eyewitness identification methods and a changes to evidentiary rules that create an incentive to record interrogations
- Improved technology in wearable cameras and significantly greater use of wearable cameras

Clashing Cultures

American policing will be significantly impacted by the rapidly-changing cultural dynamics of our nation. The graying of America will see fewer younger violent criminals, but more white collar criminals perpetrating identity fraud, Internet-facilitated fraud, money laundering and other financial crimes. The tech-savvy

generation now rising will become even more crime-tech knowledgeable. Police will be dealing with smarter bandits. Agencies who recruit candidates with a few geek qualities will find themselves ahead of the technology learning curve.

In the next 40 years, the number of Latinos in the United States will double, thanks to Latino birthrates and continued legal and illegal immigration. Multi-lingual police recruits will be even more prized. As the Latino population spreads and immigration continues, look for more cultural clashes in both inner city neighborhoods and in formerly homogenous suburbs.

At the same time, the Muslim population in America will grow faster than any other group. Despite the peaceful religious beliefs of most American Muslims, home-grown jihadists will increase. The recent massacre at Fort Hood by American-born Muslim Nadal Malik Hasan may be just the beginning of terrorist attacks by jihadists trained in American mosques. Hasan frequented the Dar Al-Hijrah mosque in Falls Church, Virginia, at the same time as Nawaf al-Hazmi and Hani Hanjour, two of the hijackers in the 9/11 attacks, in a congregation led by Anwar al-Awlaki. Al-Awlaki is another U.S.-born Muslim now on the run from Yemeni authorities and believed to be a key member of al-Qaeda.

Months before the massacre, Abdulhakim Muhammad murdered one American soldier and wounded another as they stood on a Little Rock, Arkansas, street. Muhammad moved to Little Rock from Nashville, Tennessee, home of the Al-Farooq Mosque, a target of an investigative journalist's report on extremism. One of al-Qaeda's more public figures in Adam Gadahn, (A.K.A. Azzam al-Amriki). Gadahn was raised on a goat farm in southern California and studied Islam at an Orange County mosque. Not only will the rapidly-rising Muslim population potentially bring more U.S.-born and trained terrorists operating in American cities, but it will bring culture clashes in communities and police will play a key role in managing and defusing those conflicts.

Homegrown jihadists will be found in America's heartland, not just in major coastal population centers. They may, or may not, be associated with al-Qaeda and other Islamic fundamentalist groups. Homegrown terror will be an issue for every police agency. A recent terror plot thwarted in Texas and another in Illinois shows that homegrown terror is not just an issue for the LAPD and NYPD. Though homeland security is traditionally considered to be a federal responsibility, local agencies must recognize the trend toward greater numbers and greater violence of American jihadists and take proactive measures.

The police culture will also continue to rapidly change. Reflecting the population demographic changes, more police applicants are likely to be the children of immigrants. Many will have been raised in a home where English was rarely or never spoken, and may have had limited social contact outside their own ethnic group. Forward-thinking police administrators will recognize the potential strengths in continuing to diversify the police work force to better reflect the community composition. Police agencies will, at least in the short term, find themselves competing with the military for the most desirable employment candidates.

Watch for:

- Rises in identity theft and financial crimes and new methods of fraud
- Terrorist attack attempts from homegrown jihadists
- Continuing challenges to recruit and retain the best candidates for law enforcement employment
- Increasing diversity in police ranks

Conclusion

President John F. Kennedy observed that, "change is the law of life." This is one law that can't be broken. The most successful police agencies in 2010 and beyond will be those that adapt and change rapidly, embrace technology and analyze emerging trends in their communities.

Scanning the Future of Law Enforcement: A Trend Analysis

One of the most essential weapons in a futurist's arsenal is the trend analysis—an examination of a significant phenomenon through defined analytical lenses. In this article, the vice president of the Institute for Alternative Futures applies this tool to trends affecting law enforcement in the decades ahead.

By Eric Meade

To understand the potential futures of crime and justice, one must explore a full range of issues, the connection of which to law enforcement may at first seem tangential at best. Our perspectives and behaviors relative to crime and justice are informed by larger changes taking place around us—socially, technologically, environmentally, economically, and politically. Scanning the horizon for trends and developments that may influence the future of crime and justice informs our strategies to create the future we prefer. This exercise also highlights how futures methods can yield insights into the decisions we must make today.

The trend analysis below, focusing specifically on the United States, provides a base for understanding the forces that may affect law enforcement in the future. This will enable us to better forecast probable outcomes—and envision preferable futures for society.

Social and Demographic Trends

There are several important demographic changes that will affect the

United States over the next decade. Most strikingly, non-Hispanic whites will continue to shrink as a percentage of the U.S. population, from 65% in 2010 to 61% in 2020 and 50% in 2050. During this time, Hispanics will make the greatest gains, reaching 24% of the population by 2050.

The increased attention paid to the Hispanic community may marginalize vulnerable African American populations, who will hold steady at approximately 13% of the total U.S. population. At the same time, marriage across racial and ethnic groups may reduce the extent to which Americans identify themselves with one racial or ethnic group.

Another key demographic factor is the generational shift now taking place as the millennial generation replaces the "silent" and baby-boomer generations before them in the workforce, electorate, and public. Similarly, the juvenile age bracket will soon be made up of "Globals" (born 2004–?), about whom little has yet been written and whose attitudes toward crime and justice are more difficult to anticipate.

Millennials tend to be more engaged in civic activities than other generational cohorts and are more likely to think that the government is on their side. This attitude suggests that they may accept law enforcement techniques and technologies that earlier generations perceived as violations of privacy. The millennials' relatively high adoption of new technologies and low sensitivity to privacy concerns can already be seen on social networking sites such as Facebook and MySpace, where young people regularly post detailed information about their private lives. This divergence from the values and behaviors of previous generations will also become significant to law enforcement agencies as more millennials enter their ranks.

Another value shift that is occurring in U.S. society is attitudes toward low-level drug use. Many Americans have come to view use of some addictive substances more as a health problem than as a criminal-justice problem.

Science and Technology Trends

The emergence of new technologies will doubtless lead to new forms of crime. For example, expanded reliance on Internet technology has already created new forms of identity theft, identity distortion, and online extortion. The growth of virtual reality and online communities may extend crime from person to "avatar"—the character that represents the user or acts as the user's agent in virtual reality. For example, in 2008 a Japanese woman was arrested for killing off the avatar of her virtual ex-husband—that is, she illegally logged in as him and destroyed his character. As virtual worlds play a larger role in our personal and economic lives, it is likely that these crimes will grow in importance.

Back in the real world, new types of crime will emerge as we spend more of our lives online. Violent outbursts that occur in chat rooms or e-mails may be viewed as "cyber-hate crimes." Already, the use of mobile phones to exchange sexual messages and photos (called "sexting") has landed many people, including adolescents, on the wrong side of the law. Countless adults are already behind bars for targeting children online, or offering up their own children, for sexual purposes. As more of our lives take place online and in public view, it is likely that more behaviors will fall under the scope of laws against hate crimes, child pornography, and sexual misconduct, and that opportunities to participate in those behaviors will proliferate.

Technological advancements will give existing criminals new capabilities, often on a par with those of governments and law enforcement agencies. For example, the unmanned robots and drones currently used by the U.S. Army in Pakistan and Afghanistan could be used by gangs and other criminal elements to attack

Are Virtual Crimes Real?

As technology enables new forms of crime, it may be difficult to establish whether or not a crime has actually taken place and where to assign responsibility. Examples:

• A Missouri teenager, Megan Meier, committed suicide on the day after a fraudulent online chat partner suddenly broke off their relationship.

• Two elementary school students posted a video, "Top Six Ways to Kill Piper," on YouTube, in which they suggested ways to kill a classmate they did not like.

Violent video games are often cited as causing violent crime, and criticism is likely to grow as video games incorporate more advanced virtual-reality technology. Similarly, media personalities on the far right have been blamed for provoking the recent shooting of a security guard at the U.S. Holocaust Memorial.

Such episodes and reactions may presage a broader definition of responsibility for criminal acts as technologies advance at an accelerated rate.

—*Eric Meade*

ISTOCKPHOTO

their prey or one another. Low-cost unmanned airships or small submarines could be used to transport narcotics and other contraband. The use of unmanned devices could hinder efforts to assign responsibility to specific suspects or organizations.

New technologies will also be available to law enforcement agencies. However, social values and opinions will impact the ultimate level of their acceptance or rejection. For example, there is growing resistance to the use of conductive energy devices (i.e., Tasers), particularly after a series of highly publicized deaths. While there is widespread support for DNA testing, the Supreme Court has ruled that defendants do not have a right to a DNA test. In other cases, contamination or alleged tampering of these samples has served as a counterweight to their general acceptance by the public. It is unclear how the public would view greater extraction of information—facial features, ethnicity, height, weight, etc.—from DNA, as more and more health information goes digital.

New technologies may emerge not just to prosecute, but to punish as well. For example, social networking technologies may become so essential in the future that prohibiting nonviolent convicts from using them may have a deterrent effect similar to that of incarceration today. RFID and GPS bracelets are already used to monitor house arrest and parole violations. These systems could be linked to databases to provide greater preventive policing of sex offenders and other dangerous criminals.

To some extent, these types of monitoring technologies may be expanded to the general public, just as closed-circuit TV cameras have been installed extensively in London. These systems may be further enhanced by innovations in profiling, face recognition, gait analysis, and biometrics. It is worth noting that surveillance systems and GPS technology have gotten far ahead of the laws governing their use.

Social networking sites may play a much larger role in crime prevention and in identifying unhealthy social patterns while there is still time to prevent the emergence of crime. For example, police monitoring of social networking sites may anticipate the shift from ordinary adolescent tribal-

> ## "At the national and international levels, there may be a continued blurring of the boundary between counterterrorism and law enforcement."

ism to gang-related violence, just as Google search data have been used to identify flu outbreaks. Services like Twitter may be used to anticipate criminal activity or to piece together the clues after the fact. In other cases, social networking may be used to organize community responses to crime or to civil rights violations by the authorities, similar to the role that Twitter played following the Iranian elections last year. Suspected criminals may also use social networking sites to alert their lawyers immediately of their arrest, or to coordinate their stories prior to interrogation.

These technologies will give communities an opportunity to construct systems of preventive and predictive policing that will recognize behavioral patterns, diagnose unhealthy social conditions, and tap into a database of crime-prevention strategies and outcomes to determine the best approach. This approach would likely require comprehensive sensing through video surveillance, monitoring of social networking sites, and direct community involvement by police officers. Given its potential effectiveness, public willingness to cede some privacy in the wake of 9/11, and the demographic changes described above, this type of preventive and predictive law enforcement may gain acceptance by the general public.

Many of these technologies offer new opportunities for law enforcement agencies to engage with the communities that they serve. For example, police officers may use social networking to alert the local population of unsafe areas or conditions. Video games—especially simulations using virtual reality—could be used to prevent crime by teaching young people how to behave properly in society. Sophisticated modeling technology, similar to that now being developed in the health sciences, could allow young people to place "virtual twins" in criminal situations in order to evaluate their own psychological and neurological responses.

Economic Trends

What happens to the U.S. economy over the next 10 years will have significant implications for crime and law enforcement. While many indicators suggest that the recession may be easing, unemployment reached 10.2% in October 2009 and is expected to remain above the historical average for several years. This unemployment will drive higher levels of ordinary crime, as well as the psychologically regressive crime in which some breadwinners facing financial difficulty commit violent acts against their own families.

At the same time, economic crisis has driven budget cuts at the federal, state, and local levels, which may reduce the effectiveness of crime prevention and control efforts. The state of California faces deep budget cuts in many areas, among them prisons and law enforcement, after voters resoundingly defeated a set of proposed tax hikes. Law enforcement agencies will likely find themselves being asked to do more with less. Urbanization may lead law enforcement agencies in rural areas to consolidate or shut down, while suburban agencies may be subsumed into newly defined "metropolitan" regions. Budget constraints may affect law enforcement policy, such as by promoting the legalization of marijuana as a means to offset cuts in prison funding (both by reducing the numbers of criminals sent to prison and by opening up a revenue source if sales of marijuana were taxed like tobacco).

Many jurisdictions may seek new

technologies and processes to facilitate effective law enforcement at a lower ongoing cost, although the actual financial benefits are as yet unclear. For example, many of these technologies will require upfront investment that may be beyond the capacity of the relevant authorities. Budgets may also be cut for the innovation and research that would lead to these new technologies. Where new technologies—e.g., red light cameras—are introduced, they may reduce the revenue collected by local authorities through fines, once citizens have adjusted their behavior. Smart vehicles that automatically select a safe speed may similarly reduce the revenue from moving violations.

Environment and Resource Trends

Climate change could have immense implications for law enforcement in the United States. International refugees fleeing drought, disease, or food shortages would create a significant social and economic burden for communities and governments in industrialized countries. Rising sea levels could dislocate populations and destabilize coastal areas within the United States. Some areas may enter a downward spiral, where the rich leave, local investment suffers, and the people left behind have fewer economic opportunities other than crime.

Shortages of fuel, water, and other natural resources may increase theft of these resources. For instance, gasoline siphoning reminiscent of the 1970s might revive. In some cases, criminals may profit through the illicit sale of untreated or tainted water. Regulations on toxic chemicals may create new opportunities for criminal elements to profit by providing illegal storage or disposal. New markets created by a "cap-and-trade" system to reduce greenhouse gas emissions may be vulnerable to "green collar" crime—e.g., fraud, corruption, and market manipulation similar to that often seen in financial markets. Identity theft may emerge in these markets as "carbon theft," in which one entity takes on another's identity in order to enjoy

the benefit of their carbon credits.

Shortages of natural resources and changing public attitudes may also create new challenges for law enforcement. For example, many police departments placed mileage restrictions on their patrol cars when gasoline prices passed $4 per gallon in the summer of 2008. Forecasts for "peak oil" suggest that, after the economy recovers and energy demand returns to its earlier levels, declining supplies could send oil prices steeply higher over the next decade. Law enforcement agencies may respond by reducing patrol car use, shifting to more fuel-efficient vehicles, focusing more on "virtual policing," or assigning more police to foot or bicycle patrols. Similarly, public opinion may call for "green prisons" and "green police stations," just as many are already calling for "green universities" and "green offices."

Government Trends

Demographic shifts may increasingly translate into political shifts that have impacts on U.S. law enforcement. The face of the criminal justice system will change with the face of America, as seen in the appointments of Attorney General Eric Holder and Supreme Court Justice Sonia Sotomayor.

At the national and international levels, there may be a continued blurring of the boundary between counterterrorism and law enforcement, leading many law enforcement agencies into uncharted territory. Planning for man-made and natural disasters will prompt much greater integration across local, state, national, and even international jurisdictions, as well as across law enforcement, fire, EMS, health, and other services. A move toward integration is already evident in many federal agencies and in specific recommendations such as those of the bipartisan Project on National Security Reform.

Conclusion: Implications for Law Enforcement

Clearly there is considerable overlapping in the trend categories ana-

lyzed above; economic conditions have social and political impacts, and technologies alter lifestyles and attitudes, with often unexpected implications for criminal justice. By reviewing the larger trends at work in the social, technological, economic, environmental, and political contexts, we can better understand the potential futures of crime and justice.

Across all generations and population groups, it is important to ask how society will view crime and punishment even one decade from now. There is a growing fear that the U.S. corrections system has failed in its mission. Too many are incarcerated and too few are corrected—that is, many never escape the cycle of recidivism.

Longitudinal studies find higher mortality, higher health risks, and higher unemployment among those who have been released from prison than among the general population.

Many thought-leaders suggest that the U.S. criminal justice system has failed to address many of the factors that eventually lead to crime, such as inequality of opportunity, health and fitness problems, and inadequate education. Some suggest that the United States has tolerated the conditions that lead to crime, only to build more prisons to incarcerate the criminals.

How will society define "crime" and "justice" two or three decades from now? What types of crime will be of primary concern then that may not even exist today? What paradigms for punishment, correction, and reintegration into society will be broadly accepted and institutionalized? Only by addressing questions like these can we identify and implement the strategies—and vision—that will help us create the future we prefer. ❏

About the Author
Eric Meade is vice president and senior futurist at the Institute for Alternative Futures, 100 North Pitt Street, Suite 235, Alexandria, Virginia 22314. E-mail emeade@altfutures.com; Web site www.altfutures.com.

SEARCH Anniversary: The Next 40 years
Future Trends in Law Enforcement

Kimberly J. Del Greco
FBI CJIS Section Chief
November 2009

A vision of the future of law enforcement…?

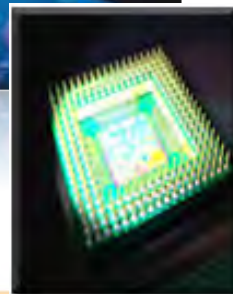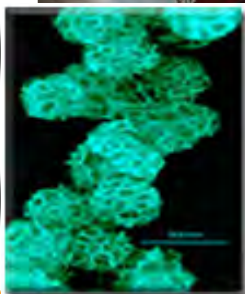- Miniaturization
- Field Forensic Tools
- Augmented Reality Technology
- RFID
- Autonomous Vehicles
- Combined Digital Devices
- Hand-held/ Wearable computers

- Wireless Systems
- Multimodal Biometrics
- Advanced Law Enforcement Uniforms
- Exoskeleton Suit
- Thermal Imaging
- Handheld Laser Spectroscopy Devices
- Nanotechnology

Luckily, our role is not to prophesize the future…

▸ Error cannot be avoided in predictions of the future

– Unforeseen forces and events (e.g., 9/11, Hurricane Katrina) radically modify prior forecasts

– Policing is shaped by a complex convergence of social, economic, cultural, technological, political, and legal forces

▸ Despite error, examining future trends and possibilities provides numerous benefits

– Facilitates strategic planning in an arena that most frequently must focus on tactical response

– Discussing the future expands the aperture of preparedness as a range of possibilities are considered

…Our duty is to remain effective in whatever future materializes

Technology will undoubtedly continue to radically change how crimes are committed and policed

▸ Increased sophistication and "boundaryless" characteristics of crimes pose new challenges
  – "Criminal and terrorist networks of the information age will be able to coordinate their actions quickly and effectively without centralized command and control structures, brick and mortar facilities, or hierarchical leaders who have been the standard target of traditional police operations" Policing 2020

▸ Rather than forecasting what technology will be adopted, law enforcement must commit itself to be:
  – Flexible
  – Nimble
  – Adaptable

▸ FBI Criminal Justice Information Services (CJIS) Division is committed to provide timely and relevant criminal justice information and utilize state-of-the-art technology

We look out for trends on the horizon…

Law Enforcement requires greater ability to sift, process, and share the petabytes of available data

▶ Data Explosion

– 13 million gigabytes of information are added to the world's databases every day; a sizeable proportion can be used for criminal and/or terrorist purposes[1]

– Law Enforcement information might be in the form criminal history information on suspects, geographic location information, video images from a surveillance camera, voice transmission from a police officer in another department, or any other type of information from any other digital node on the network

▶ Law Enforcement Processing Lags

– The data management method of choice in departments is still manual filing   method human clerks, paper forms,   and meta

(1) "Policing 2020" Available at: http://www.policefuturists.org/pdf/Policing2020.pdf

5

CJIS promotes effective sharing that encompasses biographic, biometric, and contextual data

▸ Fusing contextual and identity information we can better protect national security
  – FBI representatives collaborate on the Homeland Security Presidential Directive-24 Action Plan where policy and procedure formalizes the responsibility to share with federal, state, and local partners

▸ Exploring the potential biometric enabled intelligence to…
  – Derive further information from biometrics
  – Match a known/unknown to a place, activity, or device
  – Facilitate high-value individual targeting
  – Reveal movement patterns
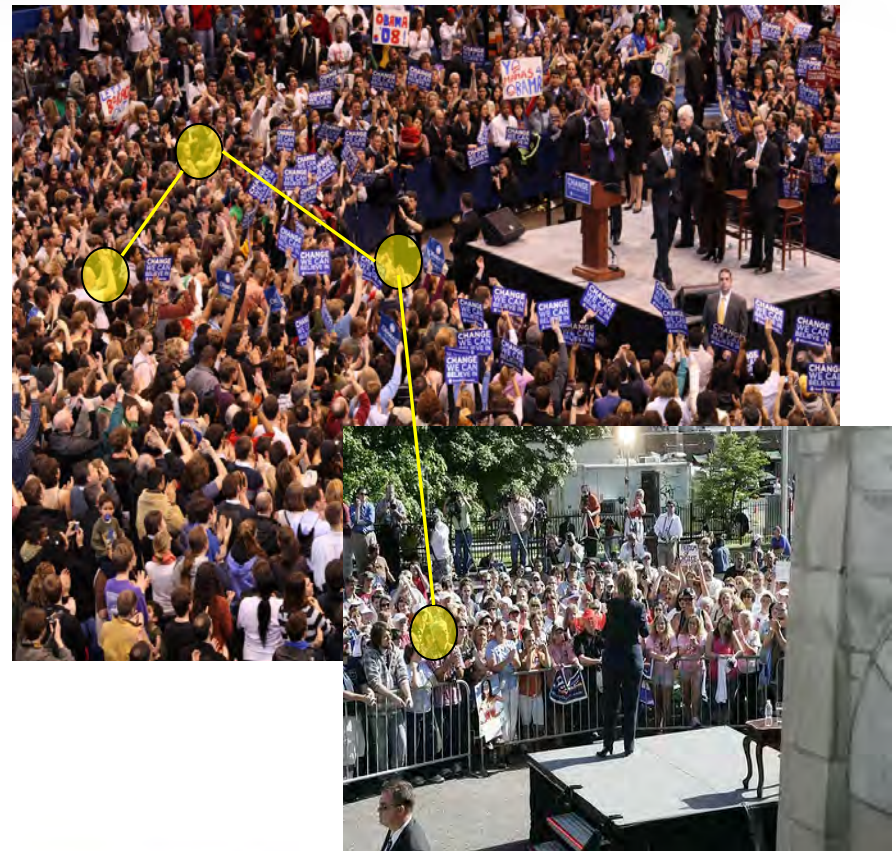
CJIS programs seek to push pertinent information to its users and reduce their burden to search

▶ Today and on the horizon:

– Next Generation Identification Rap Back capabilities: Allowing authorized agencies to receive notification of subsequent criminal activity reported to the IAFIS on individuals holding positions of trust

– National Data Exchange System (N-DEx) subscriptions: Allows investigators to register a subscription for any records. If any N DEx user searches for the same, or a similar entity, N DEx will notify the user who set the subscription

– The FBI's Facial Recognition (FR) Prototype with Carolina DMV: Provides new leads on fugitives to when FR technicians working with North FR system match false identities

7
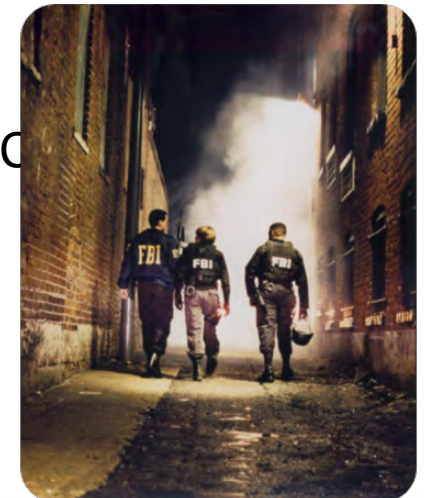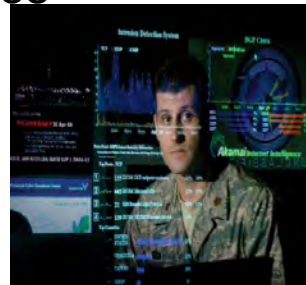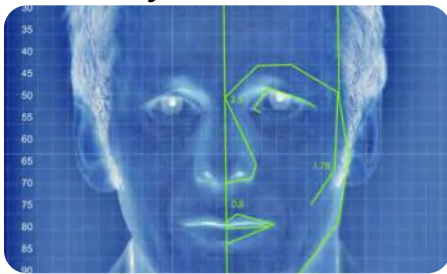
Increasingly sophisticated means to mask identity must be combated with positive identification capabilities

▶ Weakened ability for positive identifications
  – Innate weaknesses of relying on behavioral biometrics passwords, Pins, ID cards)
  – It is estimated that only five percent of cybercriminals are or convicted because the anonymity associated activity makes them hard to catch, and the trail to link them to a cybercrime is hard to unravel

▶ The push for multimodal identification
  – One form of biometric identification can be insufficient. For instance, with fingerprints, it is estimated that at least 10% of the population have worn, cut or unrecognizable prints[1]

▶ Expanded use of multimodal identification drives the need for interoperability and interagency database sharing

(1) "Multimodal Biometrics" published by Biometric New Portal Available at http://www.biometricnewsportal.com/multimodal-biometrics.asp

On the horizon, CJIS seeks to deploy enhanced, on-the-spot identification capabilities

▶ Quick Capture Platform

 – Objective of moving toward blackberry-sized
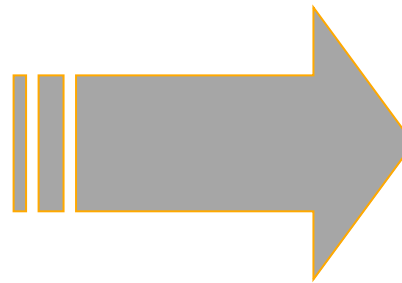
▶ Rapid DNA processing technology (partnered with DoD and DHS): provide on-location DNA results for federal, state, and local crime investigations, military, and the Intelligence community

 – Objective to have results in under one hour

CJIS is driving the development of new, interoperable biometrics

Next Generation Identification
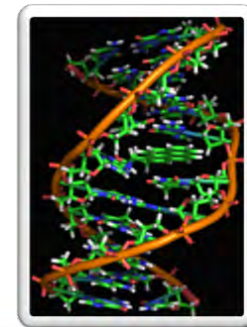
- The NGI system will replace the current IAFIS and offer state-of-the-art biometric identification services.

Biometric Interoperability Program

- To establish interoperability between FBI's IAFIS and other biometric systems, with primary emphasis currently on DHS's IDENT system.

Biometric Center of Excellence

- The BCOE is the FBI's hub for developing new and advanced biometric capabilities to solve crimes and protect national security

The BCOE:
- Sponsors applied research
- Collects biometric data to support NGI trade studies
- Collaborates on new standards
- Develops prototyping capabilities
- Oversees the Certified Products Program to certify devices that will interface with FBI systems
- Establishes training for new biometric capabilities
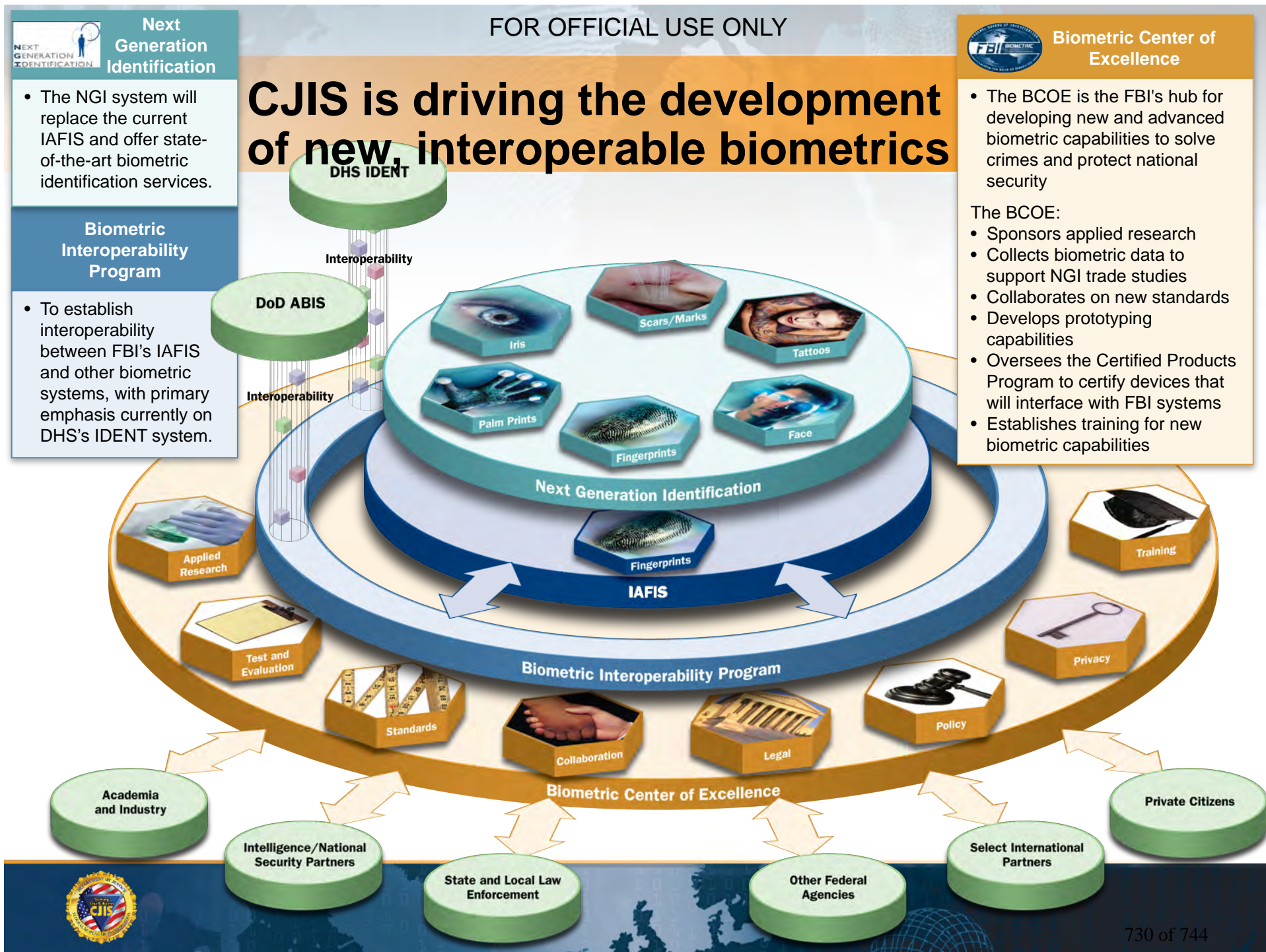
Law enforcement trends encompass far more than technological changes

Governance
The "environment" influencing sharing

- ✓ How managers drive initiatives within organization and in cross-agencies.
- ✓ Standards and guidelines to ensure a consistent approach.

Policy
The "rules" for sharing

- ✓ National policies, internal policies, rules of engagement, standards, and role of players internal and external to the organization.
- ✓ Law and privacy rights

Culture
The "will" to share

- ✓ The organizational philosophy and its ability to 'realign' and adapt as circumstances change

Economics
The "value" of sharing

- ✓ Ability to obtain and provide resources
  - • Law Enforcement grants today fund technology that was not common knowledge a few years ago
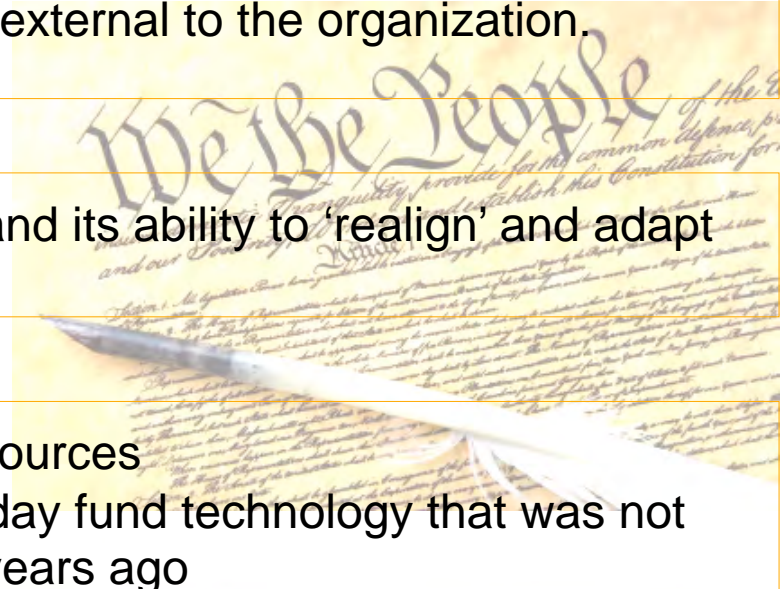
Navigating the future, partnerships, such as between SEARCH and FBI CJIS, will be even more important

▸ Criminal, Homeland Security, and Counterterrorism missions are converging and creating a need for greater integration of LE and intelligence information among all levels of government

▸ **SEARCH** continues to provide leadership in tackling information management challenges that arise from the need to share

▸ CJIS is committed to

– Developing and deploying technology that will get the right information in the appropriate hands

– Driving technology to be better and faster

– Staying nimble and relevant in an unknown future

12

Questions / Comments

Contact Information:

Kimberly J. Del Greco
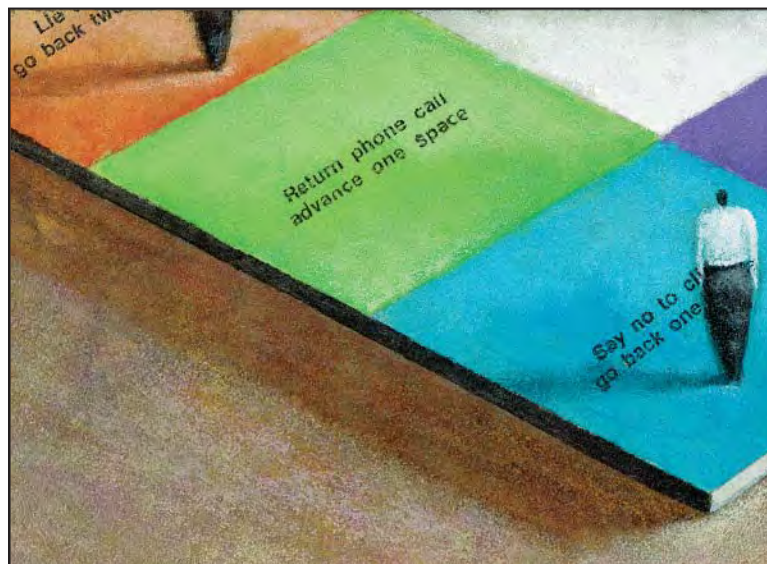
Federal Bureau of Investigation

Email: kimberly.delgreco@ic.fbi.gov

Phone: 304-625-2400

Empowerment and Accountability
Tools for Law Enforcement Leaders
By Tracey G. Gove, M.P.A.

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The field of law enforcement demands the self-initiated thinking, innovation, team problem solving, and officer freedom that result from employee empowerment. Supervisors at all levels should recognize that empowering workers offers many benefits, to include decreased work-related stress, increased job satisfaction, employee involvement and contributions beyond normal expectations, enhanced commitment to the organization, and positive business outcomes.[1]

Accountability must accompany empowerment. Skilled supervisors will carefully balance both and not vest too much attention to one, thus "tipping the scale" and creating undesirable consequences. Excessive freedom may cause workers to feel alienated or confused, resulting in a loss of direction and motivation. Also harmful is unreasonable oversight, or micromanagement. Leaders able to balance the proper levels of empowerment and accountability increase employee competence, knowledge, and skills and help the organization grow.

SIGNIFICANCE FOR LAW ENFORCEMENT

Empowerment and accountability hold great importance for law enforcement officers, who possess a tremendous amount of responsibility and significantly less line-of-sight supervision than employees in most other occupations. Thus, the inherently autonomous nature of law enforcement work carries a strong need for independent decision making. Similarly, the potential consequences—including liability—of police-citizen encounters necessitate careful accountability.

Further, today's officers are highly educated in a variety of subjects and have a wealth of knowledge and diverse backgrounds. They have learned to think and make decisions independently.[2] A work environment that fails to empower these individuals will erode their motivation, direction, and self-initiation.[3] The effects of this devitalized work spirit can become exacerbated among some of the younger police officers in the current workforce who may require considerable motivation.[4]

EMPOWERMENT

Two different empowerment strategies exist. In the relational approach—likely the form familiar to most people—leaders delegate power and authority to officers who share in decision making.[5] Also, no bureaucratic red tape exists that requires officers to continually seek supervisory approval before they take action. Once power is decentralized, officers will solve problems and find innovative ways to achieve organizational goals. For example, they may have flexibility to change work hours to meet with a citizen group, select necessary equipment to complete a task more efficiently, or work in a temporary task force charged with finding ways to eradicate a specific type of repetitive crime.

The motivational approach to empowerment involves less delegation of power and authority.[6] Rather, this strategy places more emphasis on communication, goal setting, and feedback. Praise and recognition offset stress and anxiety while impressing upon officers the importance of their contributions to agency goals.[7] Advocates of this approach believe that it will increase feelings of ownership, responsibility, capability, and commitment to organizational goals and objectives.[8]

The key to both methods is understanding that empowerment, ideally, will come as part of the overall work environment practiced at each level of management. Realistically, however, this is not always the case. Although an agency may not have an empowerment strategy per se, supervisors, especially those at the first-line rank, can formulate their own informal plans and have a genuine impact. First-line supervisors, close to the day-to-day decisions, are best suited to influence and develop officers. Any actions or decisions, however, must be appropriate for the supervisor's level of authority.

> " **Accountability must accompany empowerment. Skilled supervisors will carefully balance both....** "

Implementing the Process

Law enforcement officers acquire skills, abilities, and knowledge through rigorous and extensive academy training, in-service and specialized courses, and on-the-job experiences that enable them to further hone expertise as they become seasoned. The empowerment process simply liberates officers and encourages them to recognize and use the power and abilities they already have gained.[9] Empowerment also follows the theory and practice of developing future leaders as those on the front lines learn valuable leadership skills. They later will use these as they receive promotion within the agency.

Those striving to empower their employees will find guidance from the situational leadership model.[10] Although primarily for directing line personnel in a variety of ways based on specific identifiable behaviors and situations, the theory has pertinent application when attempting to influence and empower others. Taken in its most basic framework, the model details a continuum of leader and follower actions that progresses through four cycles toward empowerment. It incorporates components of both the rational and motivational approaches.

Prior to implementing such a plan, leaders must ensure that officers have a complete and accurate understanding of their functions and roles and also must remain cognizant of any deficiencies or issues that arise. Leaders will need to address and correct noted shortcomings before progressing to each new cycle.

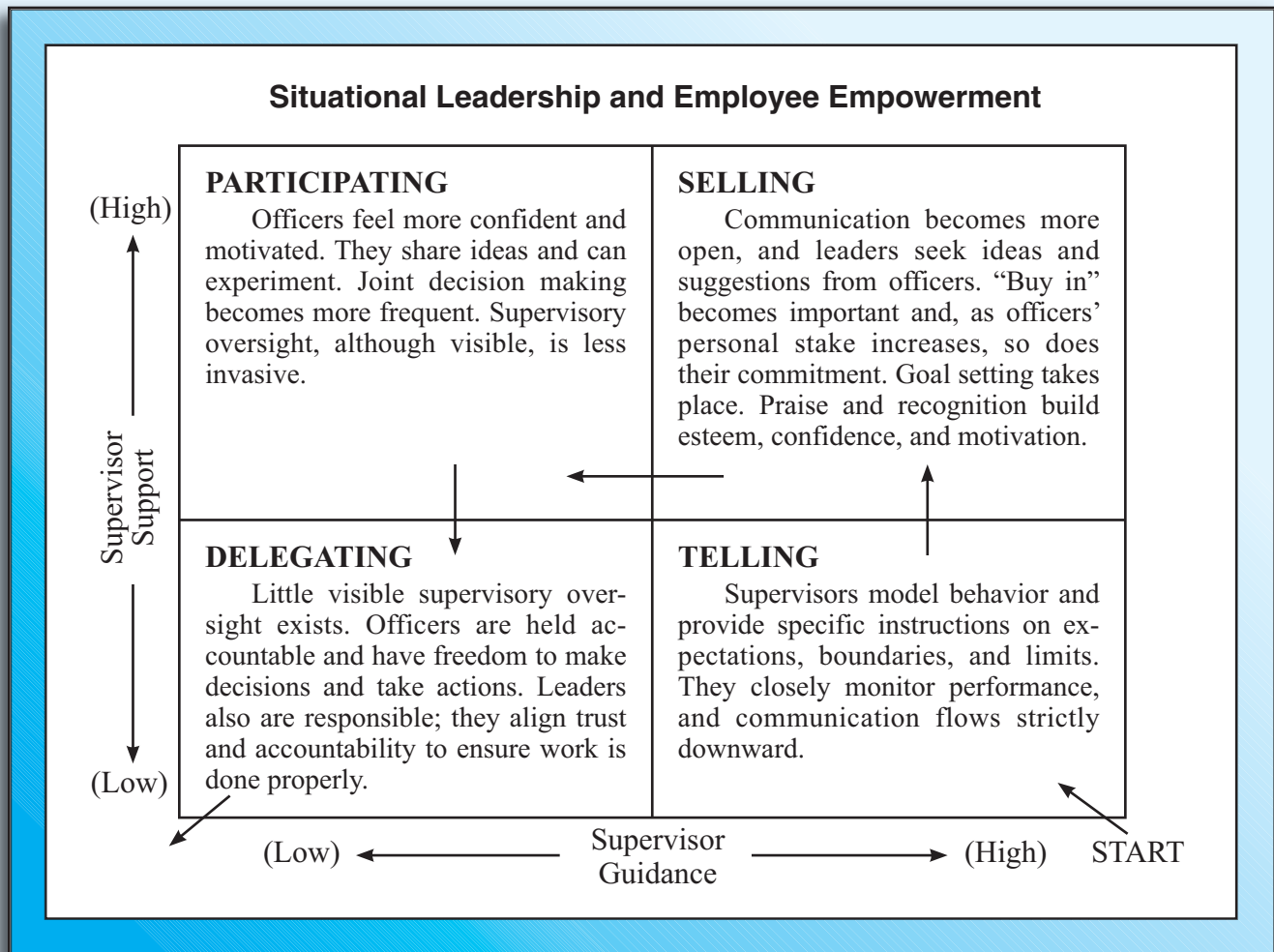The end result moves beyond mere delegation of tasks. It culminates in confident, self-directed,

and intrinsically motivated officers. When the plan is implemented properly, officers will align their performance with learned supervisor preferences.[11] Ultimately, employees in the line and staff positions of the organization will work more closely toward the same goals.

Identifying Roadblocks

Unfortunately, some agencies will see their empowerment efforts fail for several reasons. Leaders may hold responsibility by—

- only speaking of empowerment but never actually taking steps toward implementation;[12]

- never properly training, educating, and preparing officers to accept additional responsibilities;

- relying on their position of power for identity and security and, thus, finding the empowerment process a threat to their authority and worth (both to themselves and to the organization);[13]

- disliking change and fearing risk and the unknown;[14] or

- simply not trusting officers to make knowledgeable, proper decisions without

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Situational Leadership and Employee Empowerment

PARTICIPATING

(High)

Officers feel more confident and motivated. They share ideas and can experiment. Joint decision making becomes more frequent. Supervisory oversight, although visible, is less invasive.

SELLING

Communication becomes more open, and leaders seek ideas and suggestions from officers. "Buy in" becomes important and, as officers' personal stake increases, so does their commitment. Goal setting takes place. Praise and recognition build esteem, confidence, and motivation.

Supervisor Support

DELEGATING

Little visible supervisory oversight exists. Officers are held accountable and have freedom to make decisions and take actions. Leaders also are responsible; they align trust and accountability to ensure work is

(Low) done properly.

TELLING

Supervisors model behavior and provide specific instructions on expectations, boundaries, and limits. They closely monitor performance, and communication flows strictly downward.

(Low) ← Supervisor Guidance → (High) START

supervisory oversight, perhaps, because they believe their way is the best and only method to accomplish the mission or reach goals.

Other times, officers resist the empowerment process, instead preferring the strict, chain-of-command, one-way decision making found in police organizations of the past. Some officers may need special attention, requiring less freedom and more oversight. This commonly occurs with new, resistant, or disgruntled officers or those having performance issues, thus temporarily requiring close monitoring. In these situations, leaders should slowly and carefully initiate the empowerment process. Their main goals will be to provide guidance and probe for independent thought by asking open-ended questions, such as "What do you think should be done?" and playing devil's advocate to stimulate thinking.

ACCOUNTABILITY

Much of the literature on empowerment fails to address the essentiality of holding empowered employees accountable. Failing to provide reasonable supervisory oversight can result in officer misjudgments, overconfidence, or abuse of authority. The resulting errors in police work that may occur can have disastrous consequences.

Whereas the process of empowering officers with more autonomy, power, and authority flows down the police hierarchy, accountability starts at the bottom and moves up. Empowered employees are responsible for completing tasks properly, diligently, and efficiently. As they do so while becoming more self-directed, trust builds among those overseeing them. Supervisors learn which officers use power and authority appropriately and wisely. However, if not held responsible, officers may drift

and become confused or unmotivated. Empowerment requires accountability to be meaningful.

Similarly, officers understand that what they do matters and that others recognize their efforts. Praise and recognition reward those who fulfill goals and expectations. But, employees who fail to try or whose work is substandard meet with corrective consequences, such as retraining, less freedom, and stronger, more invasive supervisory oversight.

Accountability also sends a message to others in the organization. Those not directly affected will be watching and notice any action or inaction by the supervisor. This will set the tone for future behavior, demonstrate expectations, and establish the value of achievement, as well as the repercussions for nonperformance. Follow-through by the supervisor is crucial for advancing the empowerment process within the agency.

> "Empowerment... follows the theory and practice of developing future leaders...."

Establishing the Plan

Accountability begins with careful planning by the law enforcement supervisor, who establishes performance standards, measurement milestones, desired outcomes, a system for reviewing progress, and contingency planning for unexpected adversity. Officers should take part in this process and accept new responsibilities.

Communication and regular feedback prove vital, especially during the selling, or coaching, phase. As officers meet milestones and goals, supervisors must make them aware of their progress as this provides positive reinforcement and encourages further growth. And, when officers do not meet goals, this information will help them negotiate any changes they need to make.

Officers will need reinforcement to overcome the fear of making decisions and taking actions without prior approval. Supervisors must allow them time to ask any questions that may arise and must clarify anything not understood. Agencies cannot realistically hold officers accountable without a clear understanding of goals, objectives, and a means of evaluation.

Supervisors must provide adequate resources and, when feasible, extensive training opportunities to ensure that officers have the right skills.[15] They should refine or develop policies and procedures that create and clearly define a culture of empowerment as the process is continual.

Recognizing Barriers

Implementing accountability can prove challenging. Unfortunately, efforts can fail for several reasons, including—

- communication gaps or failures;

- confusion regarding expectations or goals;

- misunderstood or nonexistent means of measurement and evaluation;

- neglect of proper oversight by supervisors trying to avoid a reputation as a micromanager;

- supervisors' failure to address issues because of a fear of potential confrontation, conflict, or employee resentment, particularly in police work, where strong personalities abound; or

- inaction by supervisors afraid that taking action at an inappropriate time will backfire and result in a setback or a perception by officers of a lack of trust.

In many cases, supervisors simply fear that employees will see reasonable oversight as something sinister. Unfortunately, the word *accountability* itself often carries the negative stigma of punishment or discipline. However, once supervisors give officers authority and power, they must ensure that their employees complete work properly.

CONCLUSION

Only through empowerment will officers become fully engaged, motivated, and willing to follow leaders. Supervisors must carefully design and orchestrate the empowerment process. Too much freedom will result in officers feeling alienated or confused and will leave them open to guessing in uncertain situations. It also will make them vulnerable to undue influences, such as negative peer pressure and a lackadaisical work ethic.

Accountability also must exist in the right proportion. Too little may send the message that supervisors are disinterested or ambivalent. Too much may stifle independent thought and decision making. Supervisors must create a culture where independence, innovation, and risk taking are nurtured and tempered with reasonable supervisory oversight. This venture will result in more productive officers, stronger leaders, and a law enforcement agency better prepared to support the community it serves. ✦

> "...once supervisors give officers authority and power, they must ensure that their employees complete work properly."

Endnotes

[1] Linda Honold, "A Review of the Literature on Employee Empowerment," *Empowerment in Organizations* 5, no. 4 (1997): 202-212; and James Kouzes and Barry Posner, *The Leadership Challenge* (San Francisco, CA: Jossey-Bass, 2003).

[2] Randy Sonnenberg, "The Empowerless Manager: Achievement of Success," *Journal of California Law Enforcement* 32, no. 2 (1998): 12-14.

[3] Ibid.

[4] Michael Reiter, "Empowerment Policing," *FBI Law Enforcement Bulletin*, February 1999, 7-11.

[5] Cynthia Hardy and Sharon Leiba-O'Sullivan, "The Power Behind Empowerment: Implications for Research and Practice," *Human Relations* 51, no. 4 (1998): 451-483.

[6] Ibid.

[7] For additional information, see Tracey Gove, "Praise and Recognition: The Importance of Social Support in Law Enforcement," *FBI Law Enforcement Bulletin*, October 2005, 14-19.

[8] Supra note 5.

[9] Supra note 1 (Kouzes and Posner).

[10] The author bases his model on the one presented by Kenneth Blanchard and Paul Hersey, found at *http://www.12manage.com/methods_blanchard_situational_leadership.html*.

[11] Tiffany Keller and Fred Dansereau, "Leadership and Empowerment: A Social Exchange Perspective," *Human Relations* 48, no. 2 (1995): 127-144.

[12] Supra note 2.

[13] John C. Maxwell, *The 21 Irrefutable Laws of Leadership* (Nashville, TN: Thomas Nelson, 1998).

[14] Ibid.

[15] Seth Silver, W. Alan Randolph, and Scott Seibert, "Implementing and Sustaining Empowerment: Lessons Learned from Comparison of a For-Profit and a Nonprofit Organization," *Journal of Management Inquiry* 15, no. 1 (2006): 47-58.

Detective Sergeant Gove, of the West Hartford, Connecticut, Police Department, is an adjunct faculty member at Briarwood College in Southington.

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The Future of Police Image and Ethics

By Joseph A. Schafer, Associate Professor, Center for the Study of Crime, Southern Illinois University Carbondale, Carbondale, Illinois

Other articles included in this issue of The Police Chief have provided an overview of the contemporary challenges and best practices associated with professional and ethical policing. This article reviews highlights of the advances of professional policing in recent decades and illuminates the obstacles that continue to prevent the image of police from becoming more positive. Also included is a discussion of the future of police ethics, including pre-service behavior standards, evolving forms of off-duty behavior that might be problematic for police agencies, the role technology may play in preserving a healthy police image, and the future of accountability to citizens and communities.

Pre-service Behavior Standards

Questions and debate surrounding the regulation of pre-service behavior are not new. The use of alcohol, and especially underage drinking, by candidates is a long-standing issue. Contemporary manifestations of the behavior standard discussion now center on issues such as youthful experimentation with controlled substances as well as digital and online behavior. In a time of dwindling applicant pools and high employee attrition, some agencies have questioned whether conventional zero-tolerance stances are feasible and responsible.

Agencies currently struggle with the question of whether pre-service experimental use of controlled substances should disqualify an applicant. Does such use reflect poor character or judgment, suggesting that an applicant is ill suited for police work? Does it suggest that the applicant might have credibility issues when testifying in court? If some drug use is allowed, what are the parameters on the type of drugs, the frequency of use, and the time lapse since the last use?[1]

With the rise of computer and network technology comes the need for candidate accountability for digital and online behavior. Would it be appropriate to refuse employment to an otherwise exemplary candidate who downloaded audio, video, or other computer files without proper purchase or permission? Does an applicant who made an illegal copy of a college roommate's CD have serious flaws in judgment and character? Does the response to these questions differ depending on the position for which a candidate is applying—for example, a local patrol officer position versus a federal special agent position? As with controlled substances and underage consumption of alcohol, the debate focuses on the parameters of acceptable digital and online conduct.

Social-networking sites on the Internet provide people with a portal for connecting with others, sharing information and the opportunity to express their creativity. Today, many future police officers make extensive use of online profiles, photographs, videos, and blogs. Departments have found these sites to be rich in information for evaluating candidates and therefore mine data from these sites during background checks. It has been found that users of the networking sites often feel uninhibited online and express themselves in manners different from how they behave in person. In addition, some users even create false profiles of themselves. Confronted with this new source of personal information about candidates, agencies need to decide on acceptable parameters of creativity expressed on personal Web sites.

Agencies certainly seek to hire candidates of integrity, whose character and conduct will not be assailed on the witness stand. At the same time, those preparing to enter police work may have different views and values about their behavior than their potential employers.[2] At present, it is not clear whether an occasional "music pirate"

will make a poor or non-credible police officer. Executives would be well advised to consult with local human-resources experts to understand how and even whether to account for such behaviors in the screening process.

Digital Technologies and Off-Duty Behavior

Besides raising concerns at the pre-employment screening phase, digital technologies create new opportunities for existing personnel to engage in off-duty conduct that may be lawful but may still promote a negative image of their agency. Recent years have produced many instances where officers of various ranks and their families have been discovered in compromising or morally questionable online behavior. Online conduct that is sexually overt or morally questionable or that demonstrates bias or poor judgment can be a real problem for agencies. How should agencies handle officers using eBay to sell images of themselves masturbating?[3] What about officers posting pictures of themselves engaging in group sexual relations? Are there parameters on what officers can post on their blog or personal page at a social-networking site? Arbitration procedures and the courts are constantly shaping the parameters of protected and punishable behaviors. Police departments must keep themselves updated on these rulings.

The moral and legal parameters governing off-duty behavior exemplify the notion of a gray area for a standard of conduct. Currently there is limited information available to guide agencies and executives in setting appropriate and lawful parameters in the personal use of modern technology. As the volume of relevant incidents increases with time, policies and procedures to assist executives in handling these incidents will need to be prepared. Poor handling of these matters may actually compound the problem by bringing media attention and public scrutiny to the agency. Executives considering action against an officer should seek the advice of their agency's legal counsel to ensure that their actions are within the boundaries of the law.

Technology and the Police Image

In the last decade, in-car video camera systems have become both a tool for law enforcement (e.g., recorded evidence of field sobriety testing) as well as a means of ensuring police transparency. The audio and video images provided by these systems have allowed countless officers to rebut false claims of abuse and inappropriate conduct.[4]

Video-recording capabilities are diversifying rapidly. Many cellular telephones now incorporate low-resolution recording devices. These first-generation devices are small in size, have limited quality, and may not include audio recording, and they can usually capture video for only a short period of time before reaching the system's memory capacity. However, as technologies expand into second and third generations, significant improvements are typical. This means that in the next decade agencies will likely deploy small, high-quality wearable video-recording devices in the field with officers. The military is already using expensive and somewhat cumbersome systems in combat zones.

It is only a matter of time before improved, streamlined, and cost-effective systems can accompany officers on patrol. These devices will be able to record every interaction officers have with citizens, creating evidence supporting officers when they perform their duties in an appropriate manner. Averting just a few lawsuits could offset the expense of such a system. But would the culture of a given police agency embrace this technology? At times, officers have resisted in-car systems because of the feeling they create that Big Brother is watching. Although these systems can provide evidence that officers are performing their duties in an appropriate manner, their presence also carries an implicit assumption that officers might not behave in a lawful and respectful manner. Reasonable people can disagree on whether an agency should compel its professional officers to be recorded during the course of their duties. In agencies where they are able to speak for officers, labor organizations likely have views on the use of such devices.

Beyond audio and video recording, other technologies are enhancing the level of transparency within police operations. Some departmental Web sites allow citizens to map recent crimes in their neighborhood.[5] Computer systems and expanded telephone/voicemail networks (for both entire agencies and specific officers in an agency) make an organization more open and improve access to employees.

At the same time, the expansion of inexpensive, handheld video-recording technology in the hands of citizens has also enhanced the transparency of policing, although citizens have used these devices mostly to highlight cases where officers have overstepped their rights in effecting arrests.

Proper use of audio, video, and Web-based information systems can help to create an image of police officers and agencies as open, honest, and accessible. Agencies should continue to work with technology manufacturers to develop new tools and applications that will both preserve the integrity of policing and enhance the image of police professionalism.

Accountability

Regrettably, there are daily reports of officers and agencies that have allegedly violated their oath and duty to the community they serve. While many of these allegations will ultimately be found frivolous, others illustrate failures in ethics and accountability systems. The volume of national news on this matter obscures the tremendous advances the police profession has made in recent decades. Although each contemporary misdeed still provides cause for concern, it is important to recognize the achievements in improving officer professionalism and agency accountability. Unfortunate incidents do occur, but policing has succeeded in laying the foundation for a strong and pervasive culture of integrity. The remaining question is how to improve street-level police operations. Although accountability mechanisms, higher educational standards, and ethics awareness training are all laudable steps, do they suffice to bring about a fundamental improvement in the routine behaviors of police officers on the street?[6]

Agencies must embrace the development of new technological applications not only to enhance officer safety and improve the success of prosecution efforts, but also to allow citizens to better understand crime and policing in their community. Police executives need to provide effective leadership to ensure a culture of true integrity and accountability in their agency. Those who design ethics training and other educational seminars must seek out ways to move beyond simply telling officers to do the right thing; ethics training should ideally empower officers to anticipate the complex moral choices they must make, sometimes in a matter of seconds. Agencies must continue to reinforce the notion that officers and agencies serve the public; this service includes an element of transparency and accountability.

Plan for the Realities of Tomorrow

For decades, police agencies have struggled to generate and sustain a positive police image and an ethical organizational environment. Numerous advances have been realized, but the process continues. Police officials and community leaders must continue their dialogue in the search for ways to strengthen their organization's culture of integrity. In looking toward the future, police executives should consider how technological and social change creates both new challenges and new opportunities. Shifting social values and behaviors mean different prior experiences that prospective employees bring to an agency. These values, coupled with emerging technologies, also modify how some officers will express themselves when off duty. Professional organizations must begin to explore the legal and ethical parameters of pre-service and off-duty behavior, with the goal of providing executives with a better understanding of the rights of employees and agencies.

Technological and social changes also represent an important opportunity for agencies to enhance their image and improve their ethics. Technological applications provide new ways to monitor officer conduct, which has the potential to enhance officer safety, improve offender prosecution, and protect officers from frivolous complaints and lawsuits. At the same time, however, these benefits can be offset by potential opposition from officers and labor associations that view these technologies as invasive and unnecessary.

Agencies now have increasing opportunities to provide transparency in various aspects of their operations. Transparency enhances accountability and can improve the overall image of an agency, yet it can also provide critics with ammunition to make distorted claims. Police executives must understand both the opportunities and difficulties presented by technological and social change. The implications of these developments may vary from agency to agency, but the key for all police executives is to plan today for the realities of tomorrow.■

Notes:

1. See William J. Woska, "Police Officer Recruitment: A Public-Sector Crisis," The Police Chief 73 (October 2006): 52–59.
2. See generally Sameer Hinduja, Music Piracy and Crime Theory (New York: LFB Scholarly, 2006); R. B. Kini, H. V. Ramakrishna, and B. S. Vijayaraman, "Shaping of Moral Intensity regarding Software Piracy: A Comparison between Thailand and U.S. Students," Journal of Business Ethics 49 (January 2004): 91–104; and H. V. Ramakrishna, R. B. Kini, and B. S. Vijayaraman, "Shaping of Moral Intensity regarding Software Piracy in University Students: Immediate Community Effects," Journal of Computer Information Systems 41, no. 4 (2001): 47–51.
3. City of San Diego, California, et al. v. John Roe, 125 S.Ct. 521 (2004).
4. According to the 2004 IACP In-Car Camera Report, police officers are exonerated in 93 percent of complaints when incident video is available; see International Association of Chiefs of Police and Community Oriented Policing Services, The Impact of Video Evidence on Modern Policing: Research and Best Practices from the IACP Study on In-Car Cameras, 2004, www.theiacp.org/documents/pdfs/WhatsNew/IACP%20In-Car%20Camera%20Report%202004.pdf, April 26, 2007, 15.
5. The Chicago Police Department exemplifies an agency that has invested considerable resources to make community crime data accessible to the public. Their Citizen Law Enforcement Analysis and Reporting (CLEAR) program is the latest version of an effort that dates back to the early 1990s (see gis.chicagopolice.org for details).
6. Samuel Walker, The New World of Police Accountability (Thousand Oaks, Calif.: Sage Publications, 2005), 171–173.

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