



# **Ethics, Integrity, Responsibility, Accountability**



**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

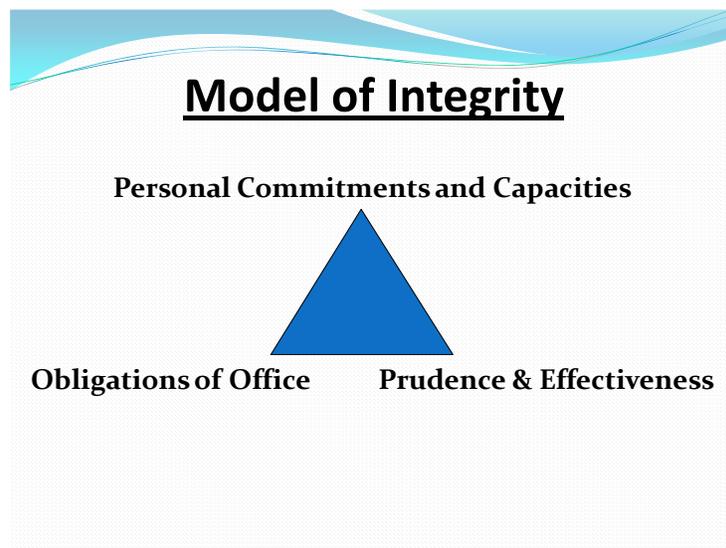
## Ethics, Integrity, Accountability, Responsibility, Professionalism

### **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



### **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 well being. 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 agency 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 \_\_\_\_\_

\_\_\_\_\_ 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," and

"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

<u>Professional</u>	<u>Amateur</u>
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

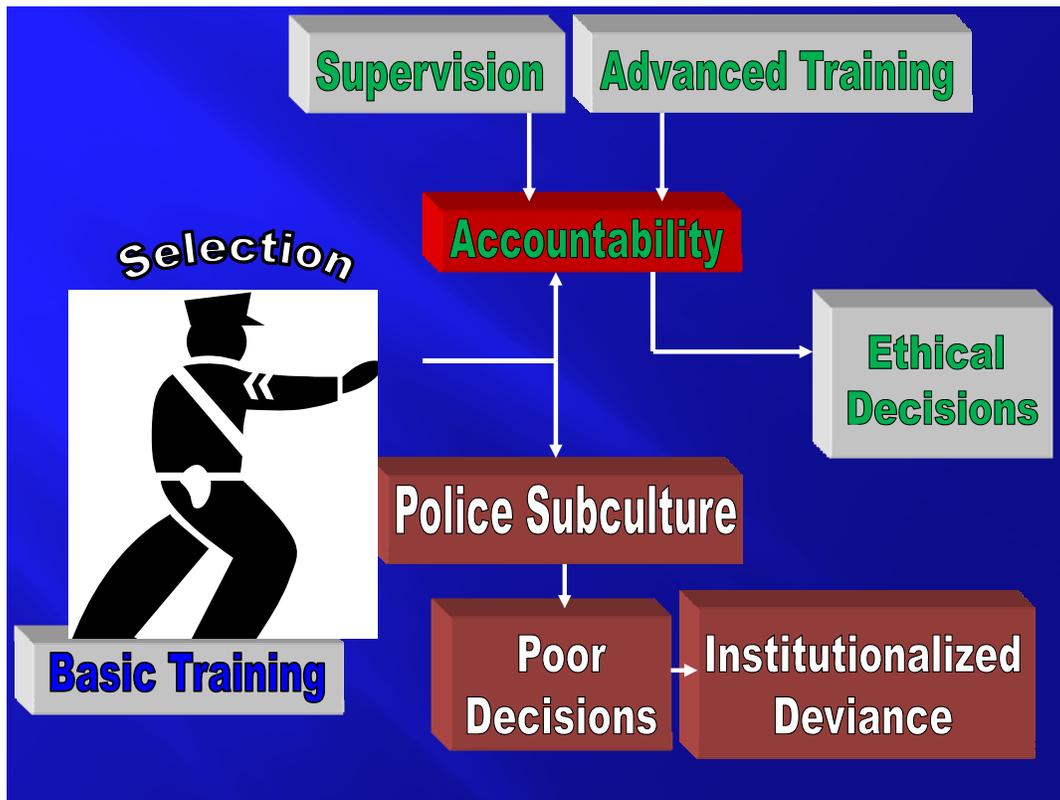
<u>Over reliance on emotional sources:</u>	<u>Under reliance on factual sources</u>
• War stories	• Established procedures
• Personal experiences	• Training
• Rumors	• Research reports
• Fictional crime stories	• Case law
• Organizational mythology	• Professional journals, text books

## 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

<u>Department view</u>	<u>Subculture view</u>
<ul style="list-style-type: none"> <li>• Community focus</li> </ul>	<ul style="list-style-type: none"> <li>• Officer focus</li> </ul>
<ul style="list-style-type: none"> <li>• Problem addressed</li> </ul>	<ul style="list-style-type: none"> <li>• Problem masked</li> </ul>
<ul style="list-style-type: none"> <li>• Appropriate approved procedure used</li> </ul>	<ul style="list-style-type: none"> <li>• Least demanding procedure used (shortcuts)</li> </ul>
<ul style="list-style-type: none"> <li>• Accurate record of event</li> </ul>	<ul style="list-style-type: none"> <li>• Self-serving record of event</li> </ul>
<ul style="list-style-type: none"> <li>• Actions taken legally/morally defensible</li> </ul>	<ul style="list-style-type: none"> <li>• Actions often questionable, sometime illegal</li> </ul>



### **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".**

## **#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.

### **Officer accused of stealing seized drug money**



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

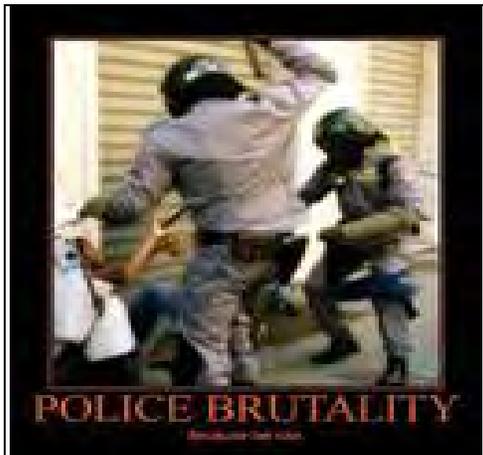
By Heather Mason, Web Staff - [email](#)

BATON ROUGE, LA (WAFB) - Police in Baton Rouge arrested one of their own Tuesday evening on theft charges involving money nabbed in drug busts.



## #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

## #10 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.<sup>1</sup>



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*.<sup>2</sup> 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.<sup>3</sup> 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.<sup>4</sup>

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.<sup>5</sup> 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.<sup>6</sup> 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.<sup>7</sup> 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*.<sup>8</sup> 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.

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.<sup>9</sup> Psychologists discovered that the most effective vicarious learning models possess specific attributes.



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- **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.<sup>10</sup>

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.<sup>11</sup>

- 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.<sup>12</sup> 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.<sup>13</sup> 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.

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.



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Finally, law enforcement agencies should frequently discuss ethics in the workplace.<sup>14</sup> 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."<sup>15</sup> 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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## **Ethics, Professionalism is the Foundation for Police**

[www.ethicsinpolicing.com/article.asp?id=6079](http://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**

Published by: The Police Chief Magazine

Written by:

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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. "It 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 dooper'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 unrepachable 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 be 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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## **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?<sup>1</sup>

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.<sup>2</sup> 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?<sup>3</sup> 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.<sup>4</sup>

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.<sup>5</sup> 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?<sup>6</sup>

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:**

<sup>1</sup>See William J. Woska, "Police Officer Recruitment: A Public-Sector Crisis," *The Police Chief* 73 (October 2006): 52–59.

<sup>2</sup>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.

<sup>3</sup>*City of San Diego, California, et al. v. John Roe*, 125 S.Ct. 521 (2004).

<sup>4</sup>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](http://www.theiacp.org/documents/pdfs/WhatsNew/IACP%20In-Car%20Camera%20Report%202004.pdf), April 26, 2007, 15.

<sup>5</sup>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](http://gis.chicagopolice.org) for details).

<sup>6</sup>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](http://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**

<b>Tactics</b>						
<b>Strategy</b>						
<b>Policy</b>	<b>Policy</b>	<b>Policy</b>	<b>Policy</b>	<b>Policy</b>	<b>Policy</b>	

## **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 (<http://pointmanleadership.org>), which provides principle-based ethics seminars around the world.

# 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.**

**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



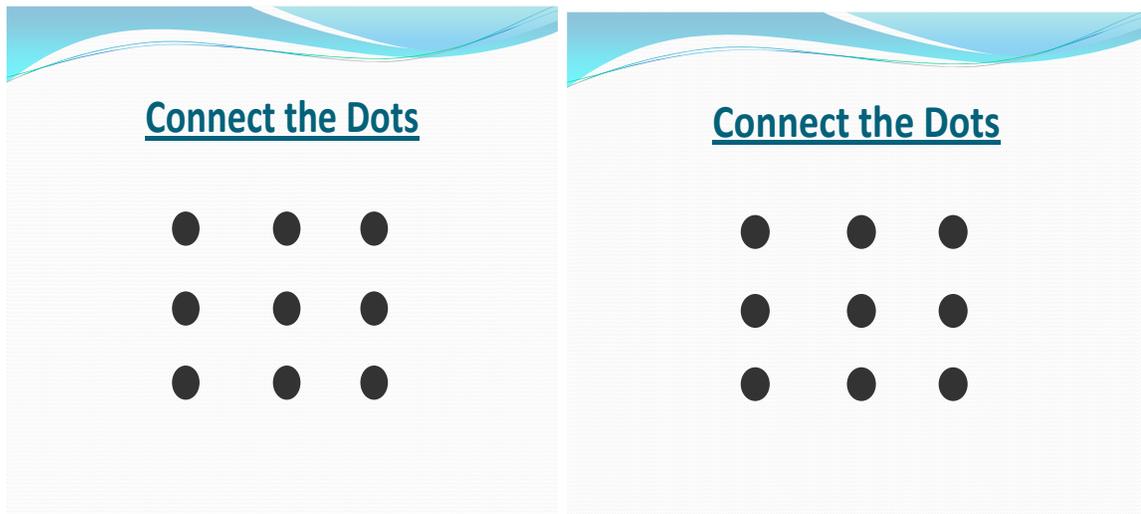
### Traditional Driven Policing

- **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.**



### **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**

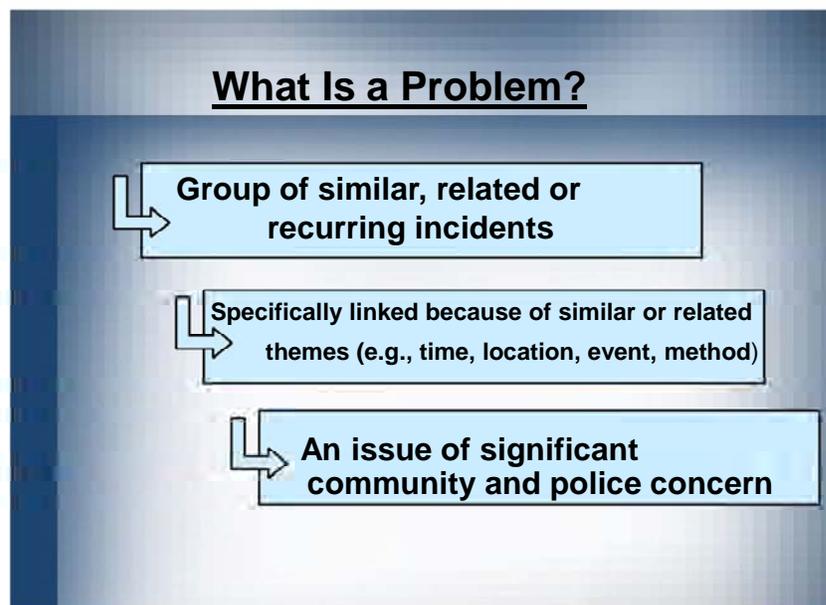
- It applies to a variety of substantive problem types, from minor quality of life issues to serious offenses.

### **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.



## 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



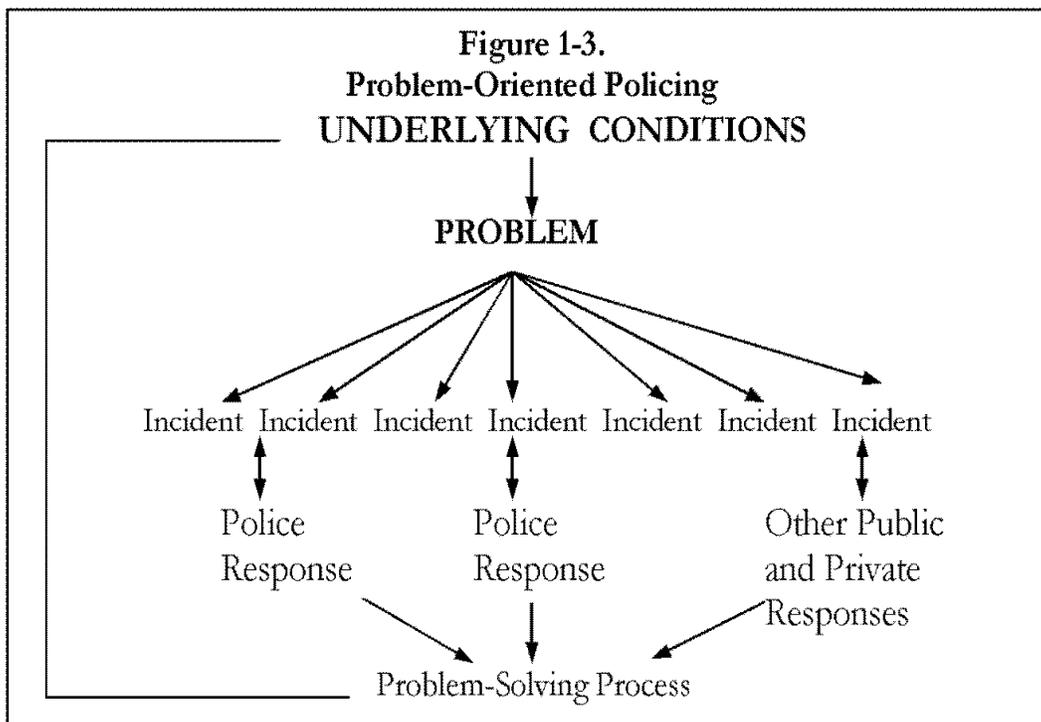
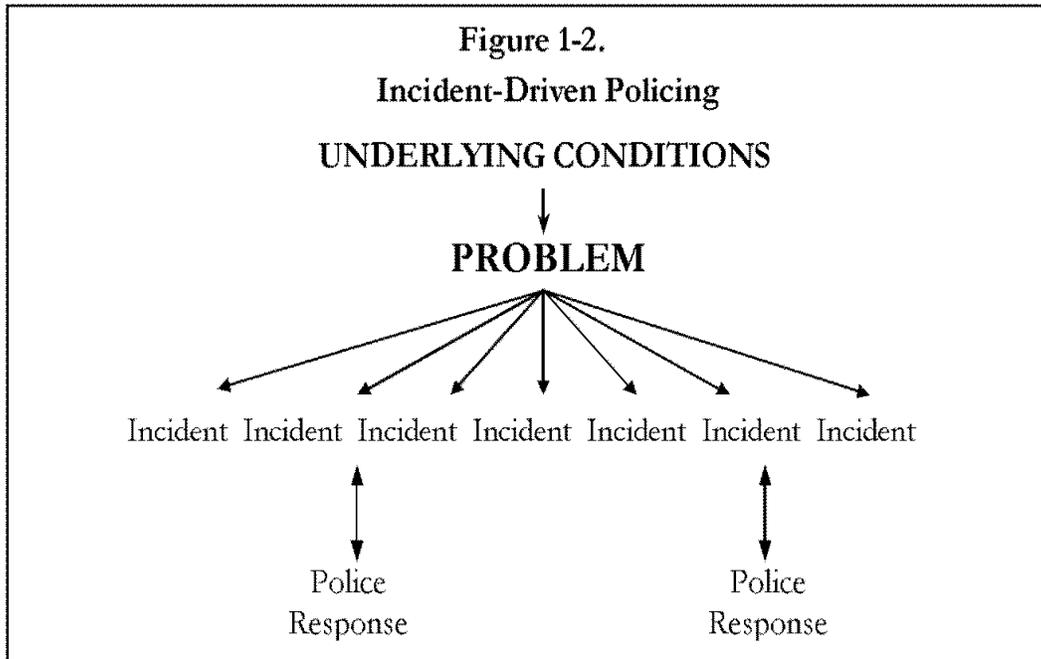
### Problem-Oriented

- Constantly review reports for patterns
- Look for commonalities that can be addressed
- Look for root cause – construction, low lighting, low traffic, etc.

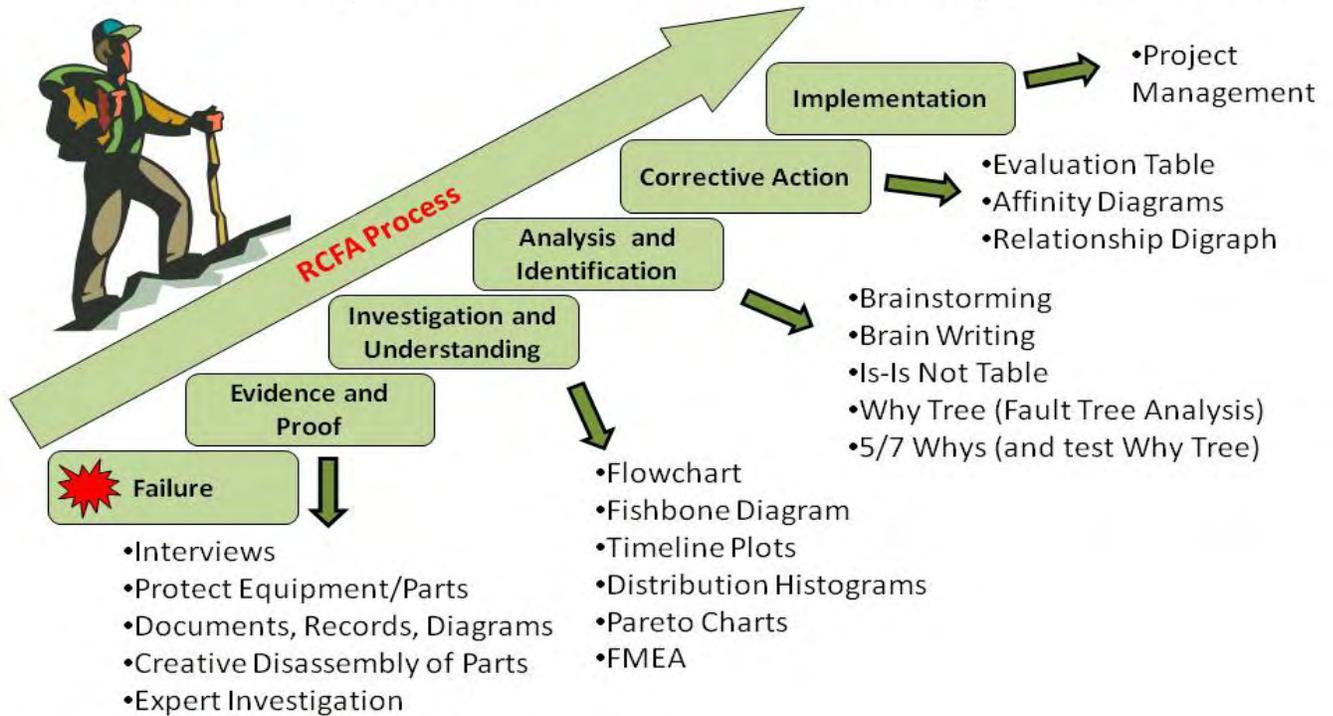


## Central Principles of Problem Solving

- Thoughtful analysis
- Creative response in non-traditional sense
- Uses solutions outside the criminal justice system
- Encourages community to take responsibility for problems and solutions
- Effectiveness vs. Efficiency



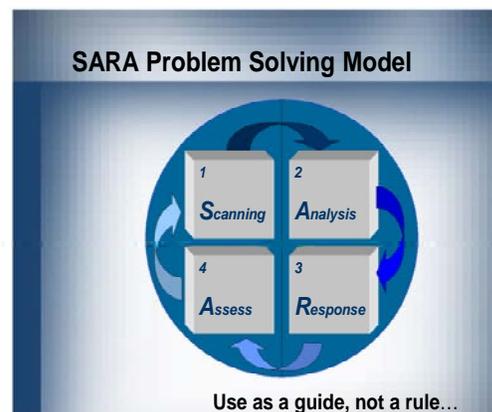
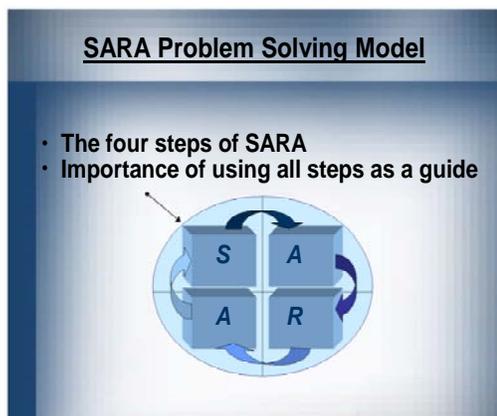
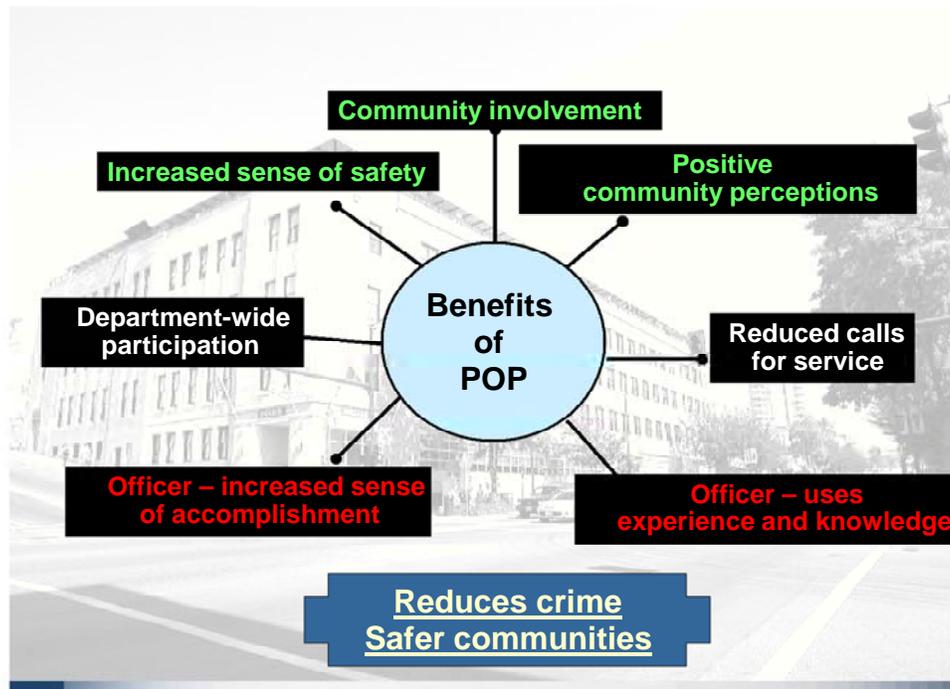
# Use an Adaptable Root Cause Analysis Process



Lifetime Reliability Solutions  
www.lifetime-reliability.com

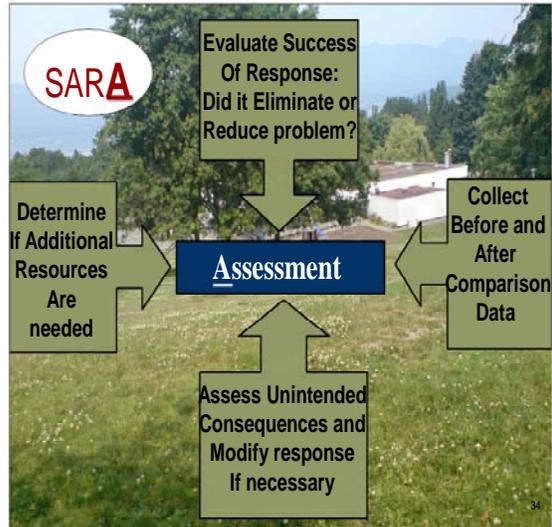
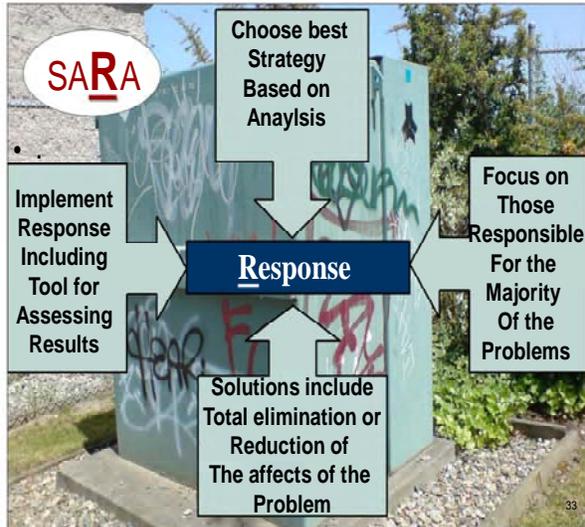
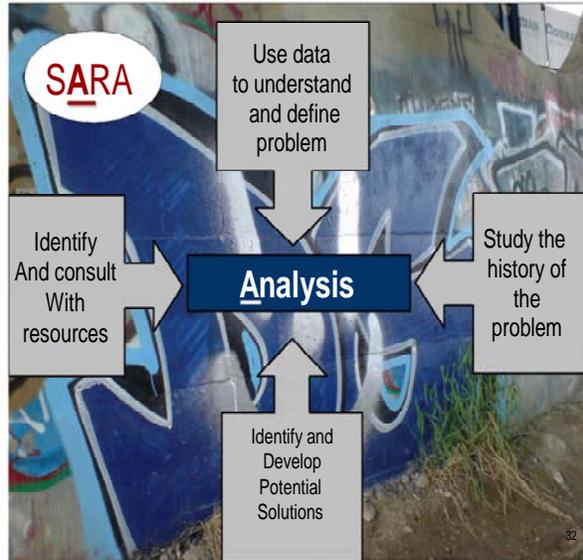
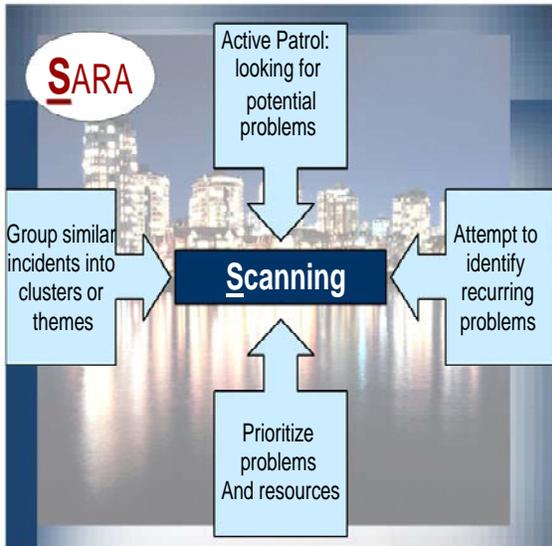
## Potential P.O.P. Outcomes/Solutions

- **Eliminate it**
- **Reduce the Scope**
- **Reduce the Harm**
- **Improve the Process**
- **Shift Responsibility to the Correct Source**



### 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



**Problem Solving is effective when...**

- a focused approach is used
- response strategies are customized
- all steps of the SARA problem solving model are implemented



➤ **Businesses**

- **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](http://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

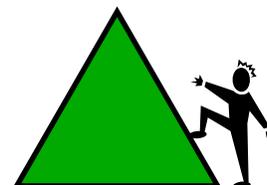
**Purpose** – increase police effectiveness and legitimacy; enhance community quality of life

### **C.O.P. Managerial Responsibilities**

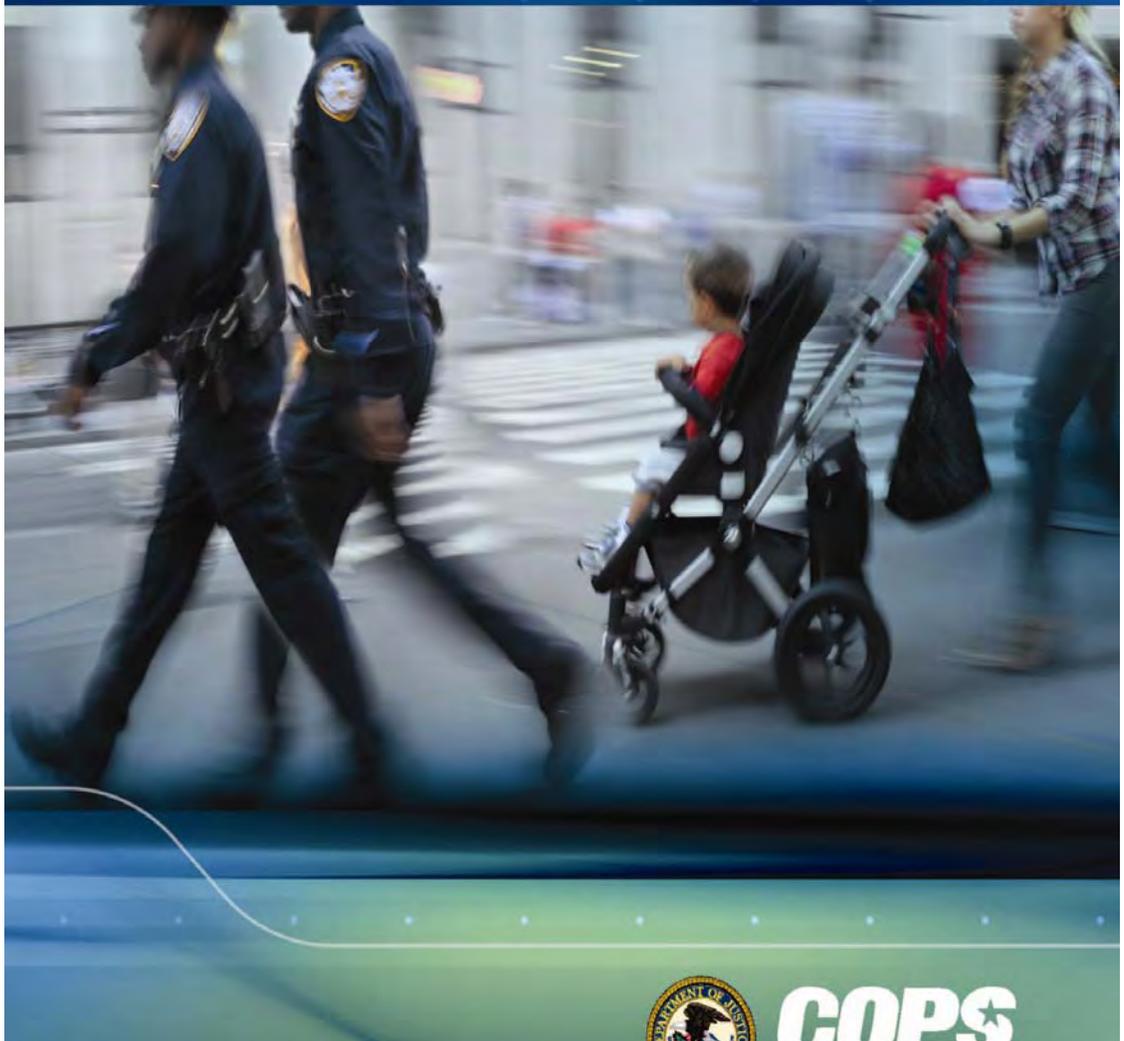
- Communicate Mission and Vision
- Enforce L.E. Code of Ethics
- Decentralize police services
- Empower line staff / devolution of decision making
- Aid in identification of critical problems in community
- Manage allocation of resources
- Act as process facilitator
- Ensure collaboration with community 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**

## The Primary Elements of Community Policing

Other Government Agencies

Community Members/Groups

Nonprofits/Service Providers

Private Businesses

Media

Agency Management

Organizational Structure

Personnel

Information Systems (Technology)

Community Partnerships

Organizational Transformation

Problem Solving

S Scanning

A Analysis

R Response

A Assessment

Using the crime triangle

**Community policing** is a philosophy that promotes organizational strategies that 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:

### 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.

### Organizational Transformation

The alignment of organizational management, structure, personnel, and information systems to support community partnerships and proactive problem solving.

### Problem Solving

The process of engaging in the proactive and systematic examination of identified problems to develop and evaluate effective responses.



Other Government  
Agencies

Community  
Members/Groups

Nonprofits/Service  
Providers

Private  
Businesses

Media

Community  
Partnerships

## 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 and addressing 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. These factions of the community can be engaged 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 common 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 in addressing 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, and crime prevention practices.

### 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.

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 infuses 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 predominant 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

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 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 values statement should be simple and communicated widely.

### **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 greater 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 outcomes are measured.

### **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, from sworn officers to civilians and volunteers. Personnel evaluations, supervision, and training must also be aligned with the agencies' community policing views.

### **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. Agencies are also encouraged to seek community involvement 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 procedures should support sound problem-solving activities, proactive policing, 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 that allow for online reports, reverse 911 and e-mail alerts, discussion forums, and feedback on interactive applications (surveys, maps), thereby creating ongoing dialogues 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 more detailed information about offenders, victims, crime locations, and quality-of-life concerns, and to further enhance analysis.

### **Quality and accuracy of data**

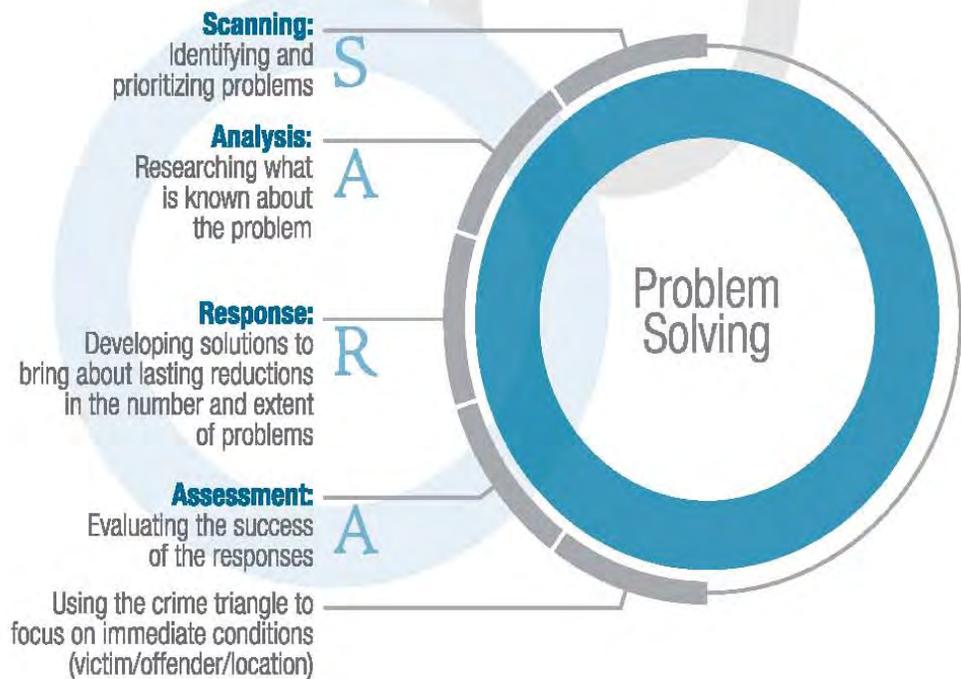
Information is only as good as its source and, therefore, it is not useful if it is of questionable quality and accuracy. Community policing encourages agencies to put safeguards in place to ensure that information from various sources is collected in a systematic fashion and entered into central systems that are linked to one another and checked for accuracy so that it can be used effectively for strategic planning, problem solving, and performance

# Problem Solving

The process of engaging in the proactive and systematic examination of identified problems to develop and 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.

10



**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 understanding if the problem declined and if the response contributed to the decline. This information not only assists the current effort but also

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 meaning that additional scanning, analysis, or responses may be required.

### 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 factors that could have an impact on them, for example, capable guardians for victims (e.g., security guards, teachers, and neighbors), handlers for offenders (e.g., parents, friends, and probation), and managers for locations (e.g., business merchants, park employees, and motel clerks). 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.



Eck, John E. 2003. "Police Problems: The Complexity of Problem Theory, Research and Evaluation." In Johannes Knutsson, ed. *Problem-Oriented Policing: From Innovation to Mainstream*. Crime Prevention Studies, vol. 15, pp. 79-114. Monsey, New York: Criminal Justice Press and

### About the COPS Office

The Office of Community Oriented Policing Services (COPS Office) is the component of the U.S. Department of Justice responsible for advancing the practice of community policing by the nation's state, local, territory, and tribal law enforcement agencies through information and grant resources.

Rather than simply responding to crimes once they have been committed, community policing concentrates on preventing crime and eliminating the atmosphere of fear it creates. Earning the trust of the community and making those individuals stakeholders in their own safety enables law enforcement to better understand and address both the needs of the community and the factors that contribute to crime.

COPS Office resources, covering a wide breadth of community policing topics—from school and campus safety to gang violence—are available, at no cost, through its online Resource Information Center at [www.cops.usdoj.gov](http://www.cops.usdoj.gov). This easy-to-navigate website is also the grant application portal, providing access to online application forms.





# **COPS**

COMMUNITY ORIENTED POLICING SERVICES  
U.S. DEPARTMENT OF JUSTICE

U.S. Department of Justice  
Office of Community Oriented Policing Services  
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Washington, DC 20530

To obtain details on COPS Office programs,  
call the COPS Office Response Center at 800.421.6770.

**Visit COPS Online at [www.cops.usdoj.gov](http://www.cops.usdoj.gov).**

## 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.

- Other Government Agencies
- Community Members/Groups
- Nonprofits/Service Providers
- Private Businesses
- Media

2. **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

3. **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 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 seek 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 ineffective 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 associated 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 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 prerequisites? 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

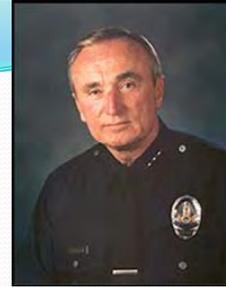
Principle	Problem-Oriented Policing	Community-Oriented Policing
Primary emphasis	Substantive social problems within police mandate	Engaging the community in the policing process
When police and community collaborate	Determined on a problem by problem basis	Always or nearly always
Emphasis on problem 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

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### 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.<sup>10</sup> 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, multijurisdictional 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

<u>"Crime Analysis" Focus</u>	<u>"Intelligence Analysis" Focus</u>
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

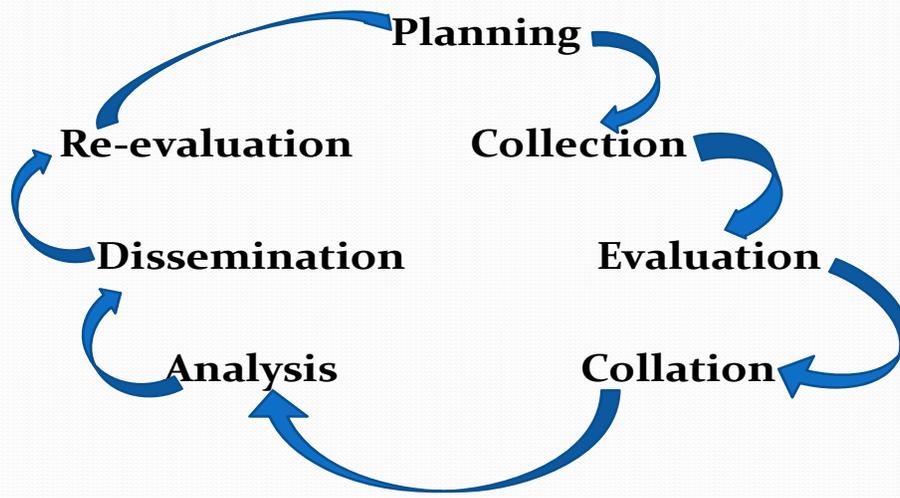
We need integration and collaboration for improved situational awareness.....

- **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 NOT these things:**

- **Networking** is best described as exchanging information (i.e., agencies may meet to inform one another of their procedures, processes, restrictions, resources and guidelines);
- **Coordinating** 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)
- **Cooperating** 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:**

- 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”

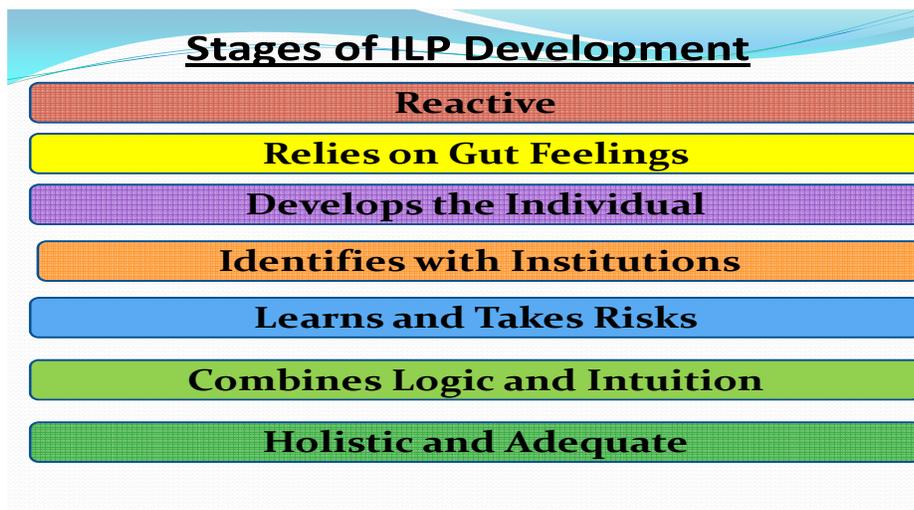
#2 “Intelligence that does not influence a decision-maker is not intelligence.”

(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



### **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

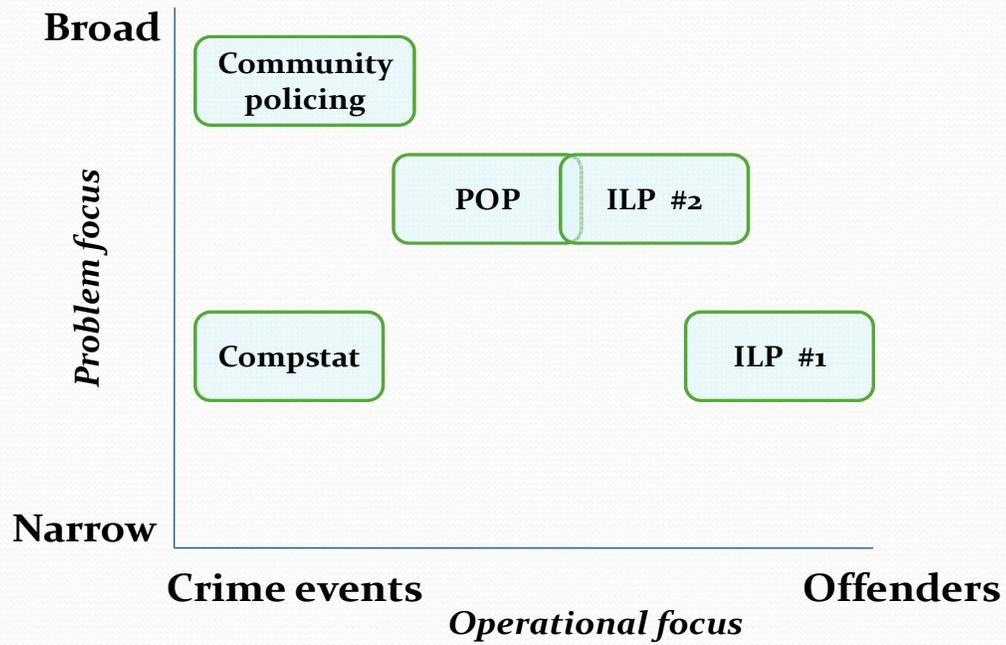
## ILP – A Sample Model

- 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



## **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



United States  
Department of Justice



## NAVIGATING YOUR AGENCY'S PATH TO INTELLIGENCE-LED POLICING

APRIL 2009

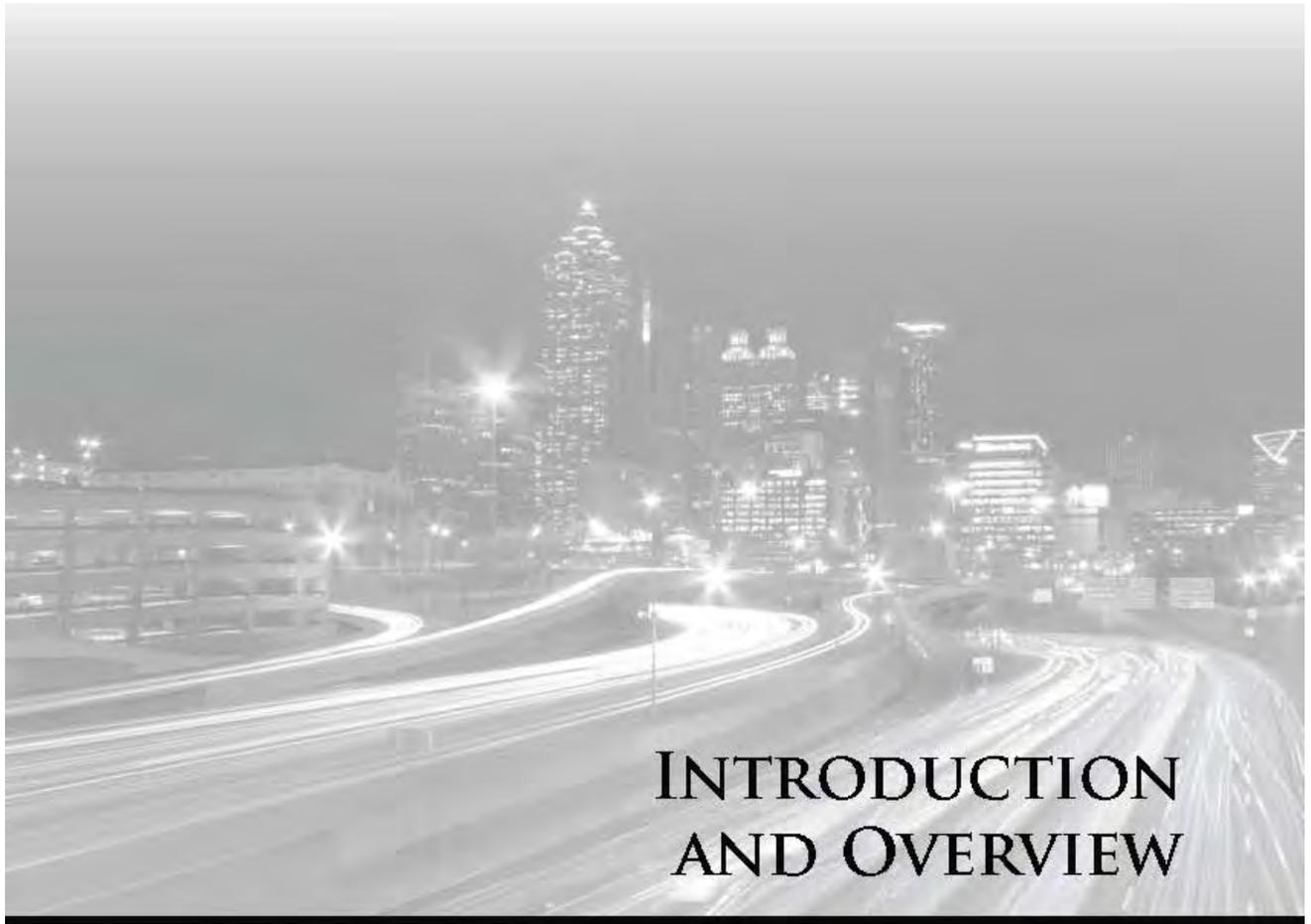


## EXECUTIVE SUMMARY

*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

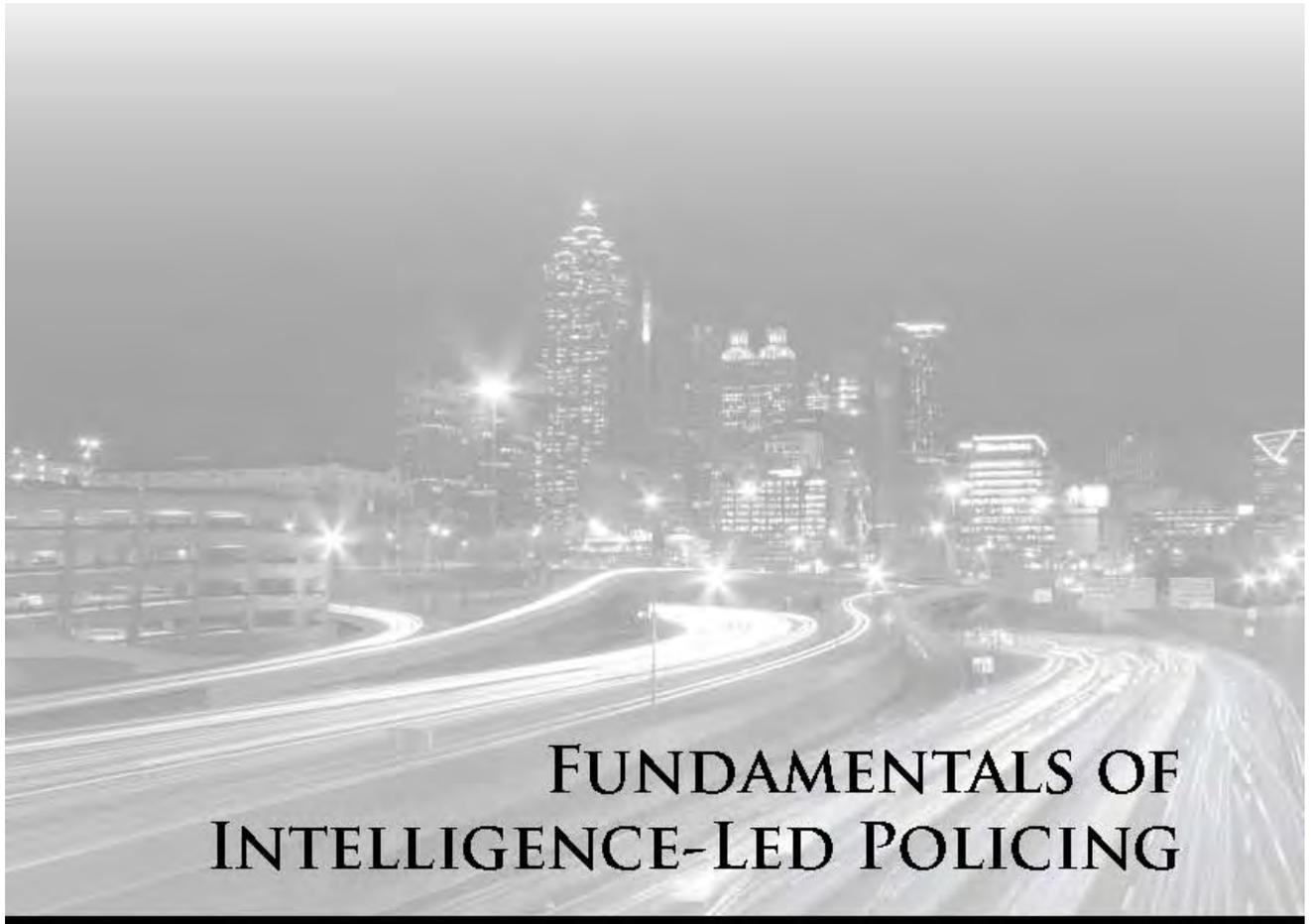
An investigations branch commander, concerned about the spread of gang violence in his area of responsibility, charged his analytical force to identify the “worst of the worst” in terms of gangs employing violence. The analytical force, after assessing the environment, provided the commander with an 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

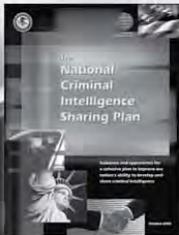
The ILP philosophy centers on several key elements: executive commitment and involvement; collaboration and coordination throughout all levels of the agency; tasking and coordination; collection, planning, and operation; analytic capabilities; awareness, education, and training; end-user feedback; and 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](http://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](http://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.<sup>1</sup>

## 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

<sup>1</sup> *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](http://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.<sup>2</sup>
- 2) Use the threat assessment to identify command priorities.
- 3) Establish a tasking and coordination group to assist command-level staff.

<sup>2</sup> 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.

- 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:<sup>3</sup>

- ★ 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.

<sup>3</sup> 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,<sup>4</sup> 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

<sup>4</sup> A full description of the intelligence cycle is available in Appendix B.

## COMMUNITIES AGAINST TERRORISM



Based on the community-policing concept, the State and Local Anti-Terrorism Training Program's Communities Against Terrorism program is a law enforcement resource tool to educate and engage the community, private sector, and public sector regarding suspicious activities. This program is funded by the Bureau of Justice Assistance.

Call (850) 385-0600, extension 261, to receive a Communities Against Terrorism CD. For additional information regarding this program, please visit

[www.slatt.org](http://www.slatt.org)

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,

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.<sup>5</sup>

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,<sup>6</sup> the NCISP,<sup>7</sup> the National Criminal Intelligence Resource Center,<sup>8</sup> the U.S. Department of Homeland Security Lessons Learned Information Sharing System,<sup>9</sup> and the COPS-funded intelligence guide.<sup>10</sup>

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.

<sup>5</sup> 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."

<sup>6</sup> See <http://www.ojp.usdoj.gov/bja>, as well as the National Criminal Justice Reference Service at <http://www.ncjrs.org/>.

<sup>7</sup> See <http://www.it.ojp.gov/ncisp>.

<sup>8</sup> See <http://www.ncirc.gov/>.

<sup>9</sup> See <https://www.llis.dhs.gov/>.

<sup>10</sup> 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 be 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.

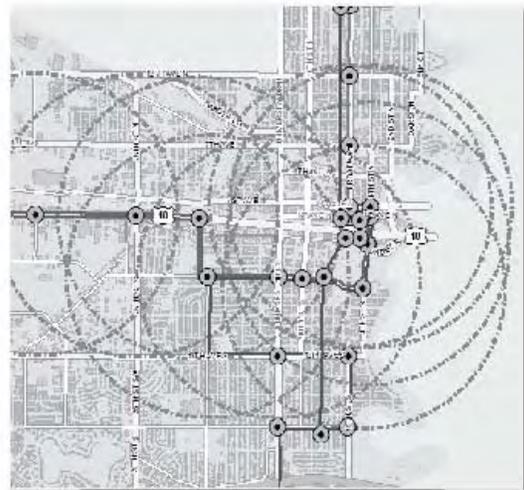
The ILP framework requires a systematic implementation approach that is organized to avoid some of the common challenges and issues. Throughout the implementation of ILP, it is important to remember that ILP does not change the mission of the law enforcement agency; it changes how the law enforcement 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.



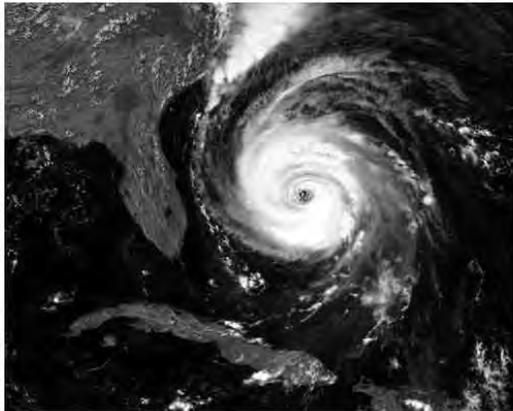
By relying on the research and analysis of her intelligence bureau, she quickly learned that the trends present in this domain reflected crime guns entering her region from a neighboring state. The knowledge transfer provided by her intelligence bureau focused her investigative efforts and saved time 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



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](http://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](http://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](http://www.cops.usdoj.gov/Default.asp?Item=1404)
- ★ *Intelligence-Led Policing: The New Intelligence Architecture* [www.ncjrs.gov/pdffiles1/bja/210681.pdf](http://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/le09042538\\_Chapter\\_04.pdf](http://www.cops.usdoj.gov/pdf/le09042538_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](http://www.manhattan-institute.org/pdf/DomPrepArticle_The_Need_For_Intel_Led_Policing.pdf)
- ★ *Intelligence-Led Policing* [www.iratcliffe.net/papers/Ratcliffe%20\(2003\)%20Intelligence%20led%20policing.pdf](http://www.iratcliffe.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](http://www.ialeia.org/files/other/Intelligence%20Led%20Policing-Getting%20Started.pdf)
- ★ *Intelligence-Led Policing: The Cornerstone of an Effective Policing Strategy* [www.policeforum.org](http://www.policeforum.org)
- ★ The Program Manager, Information Sharing Environment [www.ise.gov](http://www.ise.gov)
- ★ Criminal Intelligence Training Master Calendar [mastercalendar.ncirc.gov](http://mastercalendar.ncirc.gov)
- ★ Information Sharing Systems <http://sharingsystems.ncirc.gov/>
- ★ Lessons Learned Information Sharing (LLIS) System [www.llis.dhs.gov](http://www.llis.dhs.gov)

## INTELLIGENCE MANAGEMENT ISSUES

- ★ *Analyst Toolbox* [www.it.ojp.gov/documents/analyst\\_toolbox.pdf](http://www.it.ojp.gov/documents/analyst_toolbox.pdf)
- ★ *Applying Security Practices to Justice Information Sharing* CD [www.it.ojp.gov/documents/asp/default.htm](http://www.it.ojp.gov/documents/asp/default.htm)
- ★ "Baseline Intelligence Information Needs" [www.fas.org/irp/agency/doj/lei/chap10.pdf](http://www.fas.org/irp/agency/doj/lei/chap10.pdf)
- ★ *National Criminal Intelligence Sharing Plan* [www.it.ojp.gov/documents/NCISP\\_Plan.pdf](http://www.it.ojp.gov/documents/NCISP_Plan.pdf)
- ★ *National Criminal Intelligence Sharing Plan, Executive Summary* [www.it.ojp.gov/documents/NCISP\\_executive\\_summary.pdf](http://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](http://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](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](http://www.it.ojp.gov/privacy206/privacy_for_justice.pdf)

## TRAINING RESOURCES

- ★ State and Local Anti-Terrorism Training (SLATT®) [www.slatt.org](http://www.slatt.org)
- ★ Intelligence Toolbox Training Program [intellprogram.msu.edu](http://intellprogram.msu.edu)
- ★ International Association of Law Enforcement Intelligence Analysts [www.ialeia.org/](http://www.ialeia.org/)
- ★ Law Enforcement Intelligence Unit (LEIU) [www.leiu-homepage.org](http://www.leiu-homepage.org)
- ★ National White Collar Crime Center (NW3C) [www.nw3c.org](http://www.nw3c.org)
- ★ Federal Law Enforcement Training Center (FLETC) [http://www.fletc.gov/training/programs/advanced\\_programs](http://www.fletc.gov/training/programs/advanced_programs)

## WEB LINKS

- ★ National Criminal Intelligence Resource Center (NCIRC) [www.ncirc.gov](http://www.ncirc.gov)
- ★ Global Justice Information Sharing Initiative (Global) [www.it.ojp.gov/global](http://www.it.ojp.gov/global)

## 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](http://www.policeforum.org), [www.llis.gov/index.do](http://www.llis.gov/index.do), and [www.ncirc.gov/](http://www.ncirc.gov/)
- ★ *10 Ways to Engage and Support Your Fusion Center* [www.policeforum.org](http://www.policeforum.org), [www.llis.dhs.gov/index.do](http://www.llis.dhs.gov/index.do), and [www.ncirc.gov/](http://www.ncirc.gov/)

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- United States Department of Justice





# Fiscal Management

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**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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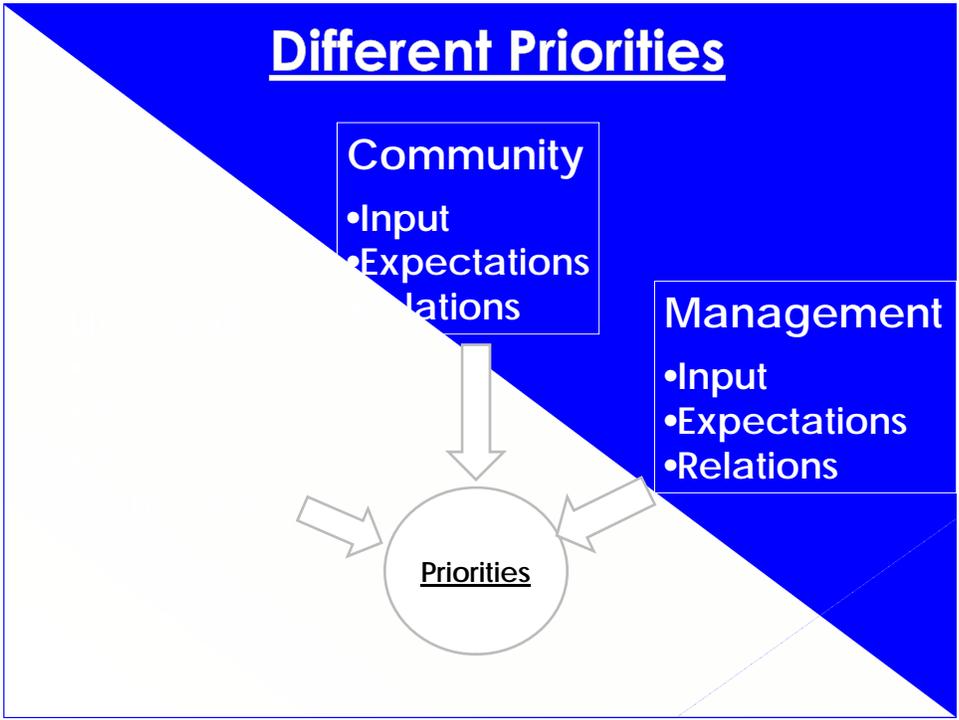
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Does all the stakeholders priorities align?

## Wants vs. Needs

something you have to have

you would like to have

justification to request

How has the economic downturn affected your agency?

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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**

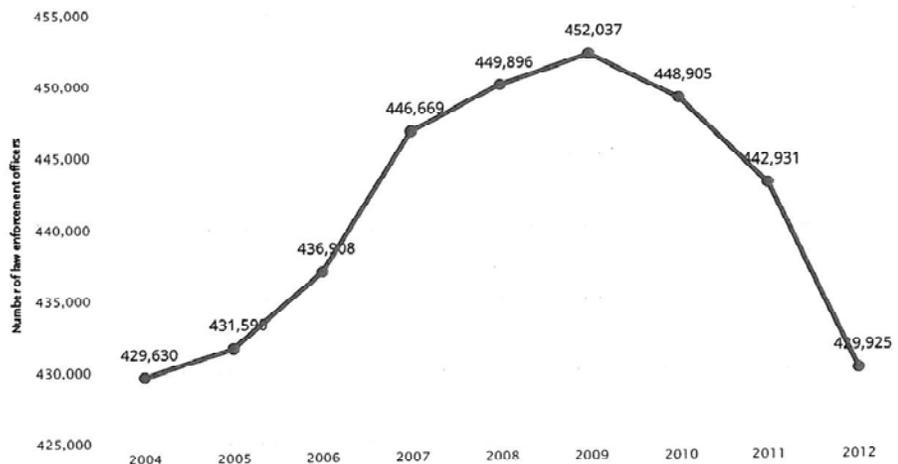
- Over one-third of the agencies that applied for 2011 COPS officer hiring funding reported an operating budget drop of greater than 5 percent between 2009 & 2011.

- 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 deprivation 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 repellent. 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 look out 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](mailto:scottsilverii@gmail.com), @ThibodauxChief, LinkedIn, or Law Enforcement Today. His agency website and Facebook can be accessed at <http://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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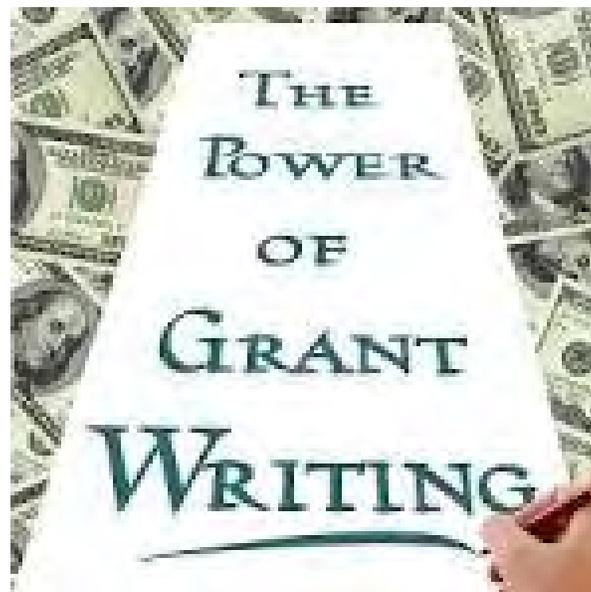
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# Grant Writing

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**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 everyday, 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 reviewers 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

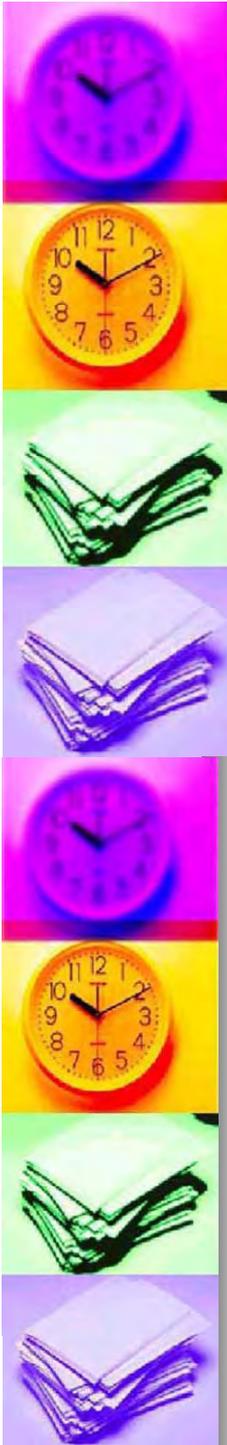
### Private Giving

#### ■ 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](http://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 (EEO)

## What is a CFDA #

Catalog of Federal Domestic Assistance (All grants have a CFDA #)

Debarred Vendor List – required if cost is \$25k or more (Epls.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](http://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 your 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 1<sup>st</sup> 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 1<sup>st</sup> 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

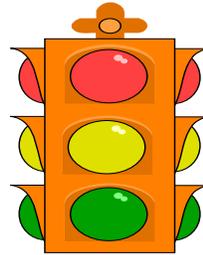
- Focus on your organization – not the problem
- Does not communicate what is in it for the funder.
  - *How does the project relate to their area of interest*
- Focus on hiring staff or purchasing equipment – not solving the problem.
- Not responsive to the RFP
- Language not compelling
  - ✓ *We desperately 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**

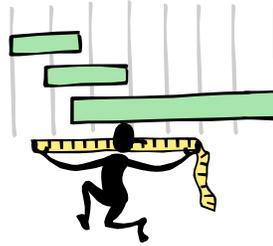
**References**

**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 (<http://factfinder2.census.gov>) and American Community Survey (<http://www.census.gov/acs/www/>)

## **Ending your 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*

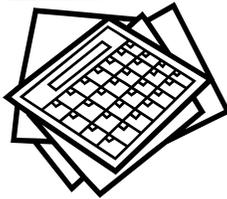
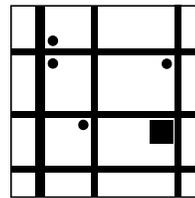
## 6. Methodology/Approach

- 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 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

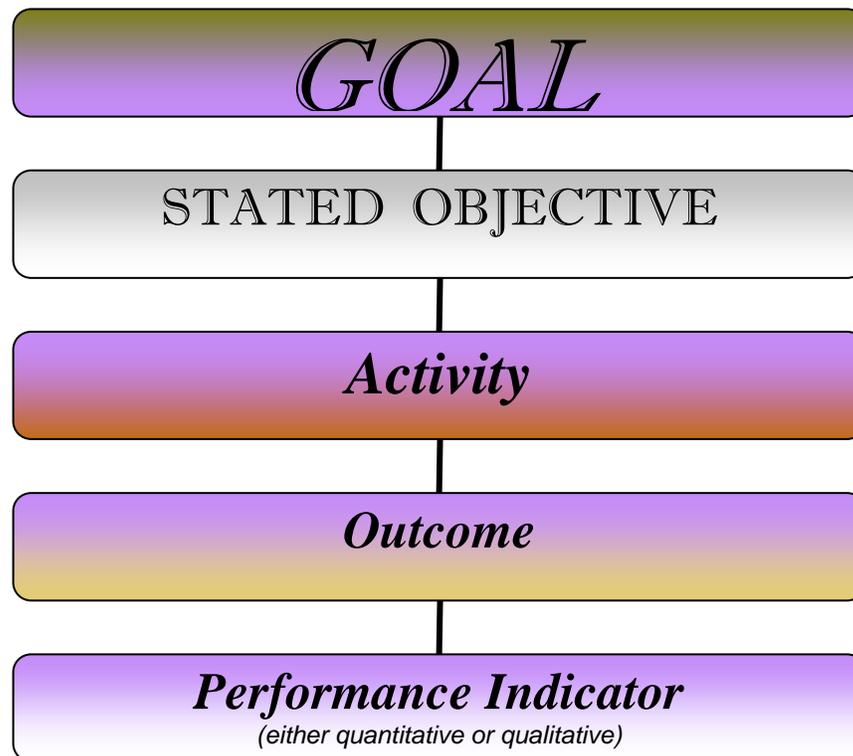
■ External evaluator is sometimes seen as more objective than internal

■ Evaluator should be qualified

■ Evaluation plan should be meaningful, related to goals and objectives, and be an honest examination of program

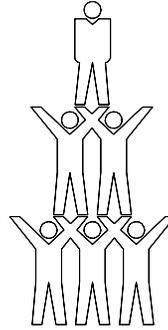
- Planning (*involves examining the developmental issues prior to setup*)
- Process or Formative (*involves monitoring the “process,” ensuring activities are completed on time and on target, while the program is ongoing*)
  - Tells you if you’re on track
  - Points to improvement
- Outcome or Summative (*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



## 8. Organizational Capacity

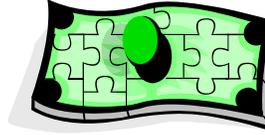
- Some grant applications may combine this with the Cover Letter
- Mission & History
  - Capacity to administer
  - Similar Experience
- Accomplishments
- Role in community
- Who is served
- How served
- Outside endorsements
  - Letters of Support
  - Memorandums of Understanding/ Agreement
- Awards
- 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 type faces 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
  - 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



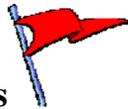
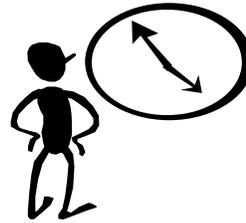
## Not following directions

- 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

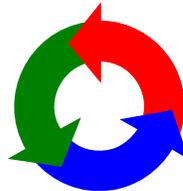
## Elements of a Strong Proposal

- Compelling problem
- Innovative approach
- Thorough research
- Clearly written
- Well organized, complete
- Credible organization



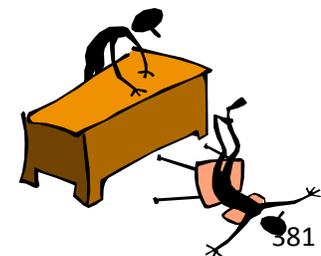
## Recycle your Rejected Proposal

- 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 lose!



## **Find out what is available**

- Internet Websites
  - The Grantsmanship Center – [www.tgci.com](http://www.tgci.com)
  - The Foundation Center – [www.fdncenter.org](http://www.fdncenter.org)
  - GuideStar.org – [www.guidestar.org](http://www.guidestar.org)
  - GrantsNet - <http://www.os.dhhs.gov/grants/index.shtml>
  - Grants.gov – <http://grants.gov/Index>
  - Dept of Justice - [www.justice.gov/10grants](http://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 organization’s 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

Cover Letter	Page 2
Summary	Page 3
Introduction	Page 3
Problem Statement	Page 4
Objectives	Page 5
Project Description	Page 6
Evaluation	Page 7
Future Funding	Page 8
Budget/Narrative	Page 9
References	Page 10
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# City of Summerville Department of Public Safety

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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 its 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.

- 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 comfortably 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
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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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## *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*

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## **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:

<http://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 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 [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](mailto: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.



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.

### **1** 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.

### **2** 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.

### **3** 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](http://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.



### **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.



### **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.



### **Where do I find information on grant sources and programs?**

In addition to the information on [policegrantshelp.com](http://policegrantshelp.com), the federal government provides grants information through the Federal Electronic Grants Clearinghouse at [www.grants.gov](http://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 UPstreamtm Online Knowledge Base at [www.grantsoffice.com](http://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 up front 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 can not 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 <http://fedgov.dnb.com/webform>***

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### **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](#)***

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### **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](http://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](http://www.ojp.gov) or for a more complete federal listing of all grants at [www.grants.gov](http://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 \$62,5000 (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 . 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 data which may be related to your 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 [data bases](#) 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 you 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](mailto: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 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 your 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 indentifying 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](http://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

## Gather data and more data

**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.

## Eliminate any barriers to funding

**1. Prepare your organization for funding by indentifying 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 byte 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](mailto: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.

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### **Grants for Law Enforcement 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 Highway Safety Plans and Annual Reports.

The purpose of a Strategic Highway Safety Plan (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 Arkansas State Police).

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 New York's 2010 Highway Safety Plan, 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, 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:

**<http://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.

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## **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 [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](mailto:sarah.wilson@policegrantshelp.com)

## **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](http://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.

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➤ [www.dhs.gov/xgovt/grants](http://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.

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➤ [www.fema.gov/government/grant/index.shtm](http://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](http://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.

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➤ [www.cfda.gov](http://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](http://www.USA.gov), [www.Grants.gov](http://www.Grants.gov), [www.FedBizOpps.gov](http://www.FedBizOpps.gov) and Federal Asses Sales listed at [www.USA.gov](http://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.

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➤ <http://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 State, 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.

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➤ [www.rurdev.usda.gov/RD\\_Grants.html](http://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.

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➤ [www.ojp.usdoj.gov/funding/solicitations.htm](http://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.

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➤ [www.gpoaccess.gov](http://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.

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➤ <http://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.

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➤ [www.hud.gov/grants/Index.cfm](http://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](http://www.Grants.gov)

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➤ [www.hrsa.gov/grants/index.html](http://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.

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➤ [www.PoliceGrantsHelp.com](http://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.

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➤ [www.justnet.org](http://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.

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- [www.loc.gov](http://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.

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- [www.npstc.org](http://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.

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- [www.federalgrantswire.com](http://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.

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- [www.techsoup.com](http://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.

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- [www.psa.us](http://www.psa.us)  
The Public Safety Foundation of America provides grants for public safety functions and issues including planning, equipment procurement and training.

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- [www.research.ucla.edu/ocga/sr2/Private.htm](http://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.

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- [www.Foundationcenter.org](http://www.Foundationcenter.org)  
This Web site also provides a list of potential private grantors, and information about grant writing courses and seminars.

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- [www.1hawthorn.com](http://www.1hawthorn.com)  
Here, you can research available grants and learn more about the process of applying for grants.

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- [www.nw3c.org](http://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.

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- [www.kresge.org](http://www.kresge.org)  
The Kresge foundation offers grants for community projects.

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- [www.GrantWritingUSA.com](http://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/](http://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.

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- [www.hoofsfund.org](http://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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[www.scdps.org/ojp/voca/Grant Writing Slide Show.ppt](http://www.scdps.org/ojp/voca/Grant%20Writing%20Slide%20Show.ppt)  
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# Human Resource Management Recruitment & Retention



**Human Resource Management (HRM)**

**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.

**Student Performance Objectives:** Upon completion of this course of instruction, managers should be able to:

1. Explain why demographics are important to the recruitment and retention process.
2. Identify questions that need to be answered before developing a strategic recruitment plan.
3. Identify motivators for becoming law enforcement officers.
4. Identify major sources of recruitment.
5. Describe successful marketing strategies.
6. Explain the importance of marketing an employer brand image.
7. Identify ways to recognize counter productive work behaviors early in the hiring process.
8. Identify factors that can help prospective candidates successfully navigate the hiring process.
9. Identify important steps to ensure a dynamic interview process.
10. Explain the importance of a solid initiation process to the retention of employees.
11. Analyze employer practices that maximize retention of top employees.
12. List key reasons employees leave jobs.
13. Explain the importance of promoting a learning organization.
14. Explain the importance of developing a succession plan.

## Nevada State Demographics



Total Nevada Population (2012) 2,723,322  
 Total labor Force (2012) 1,367,004  
 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) 22.1%
- Baby Boomers (Ages 45-64) 24%
- Silent Generation (Ages 65-84) 10.23%
- GI Generation (Ages 85 and above) .95%

### Percentage of Population by Race (2010)

- White not Hispanic Origin 66.2 %
- Black not Hispanic Origin 8.1 %
- Hispanic Origin 26.5 %
- Other 7.67%



## Developing a Strategic Recruitment Plan

Important questions to answer when developing a strategic recruitment plan:

- How many officers do you need to recruit?

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- Who is the ideal candidate?

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- Is diversity important?

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- Who are the stake holders?

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- What are your short and long-term hiring time frames?

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- What has attracted employees to your agency in the past?

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- What advertising/recruiting efforts have worked in the past? Why?

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- What advertising/recruiting efforts have failed in the past? Why?

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- To what extent are all employees engaged in the recruitment process?

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- Why do candidates decide they want to be in law enforcement?

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- What money has been budgeted for recruitment?

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## Motivators

Why do individuals become police officers?

- Steady income and benefits
- Need to make a difference
- Honorable position of authority—respect

Other reasons:

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### Best Recruitment Places



- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

Where has your agency had the best luck recruiting?

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### 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





## Marketing the Employer Brand



### **Activity**—Brand Image

For the organization your group was given, answer the following questions:

- Is the brand image positive, negative, or neutral?

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- What has and is influencing that brand image?

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- What has this organization done specifically to establish its brand image?

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- Do you think the brand image is accurate? Why or why not?

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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?

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How does this website sell a positive and dynamic law enforcement brand image?

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**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?

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2. How does your agency appeal to Generation Y?

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3. What are some of the things your agency does to promote a positive employer brand?

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4. What other things does your agency do to successfully recruit future employees?

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## 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?

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Name something discussed about the hiring process that you think could be helpful.

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## 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

#### Generational Needs

##### Baby Boomers

- Security:
  - Job
  - Benefits
  - Retirement

#### Generational Needs

##### Generation Y

- Mentoring
- Varied & exciting work
- Flexibility
- Options for child care
- Technology
- Social
- Advancement opportunities
- Feedback

#### Generational Needs

##### Generation X

- ❖ Advancement opportunities
- ❖ Need to feel valued
- ❖ Professional growth—training
- ❖ Forward thinking—room for change
- ❖ Flexibility
- ❖ Technology
- ❖ No bureaucracy

## Retention Practices Continued

### Retention

- Retention practices
  - Good supervision
  - Good leadership
  - Recognition (Award system)



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### Retention

- Create a Learning environment
  - Mentoring programs
  - Job rotation
  - Interim assignments
  - Task forces



Give high performers a chance to develop skills

44

## Class Discussion

How does your agency make new hires feel welcomed?

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How does your agency keep in contact with new hires enrolled in a police academy?

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What strategies does your agency employ that helps retain employees?

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What are some of the positive outcomes of your agency's retention plan?

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## Succession Plans

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



## Succession Plans

Proactive, long-term succession plans are \_\_\_\_\_.

Traditional education and training have \_\_\_\_\_.

Developing and motivating 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

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Identify skills and attitudes needed for those positions

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Analyze the talent pool in place to fill those spots (Honestly assess the pool's strengths and weaknesses.)

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Create a training plan that would increase the strength of the training pools leadership potential.

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### Conclusion – Putting it all together

#### All agencies need:

- A recruitment plan
- A marketing strategy
- A retention plan (mentoring program)
- Succession planning



**Recruiting the 21st Century Police Officer**  
with Sgt. Joe Binns

**Recruiting the 21st Century police officer – Part 1**

“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 a 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.

## **Recruiting the 21st Century police officer (part 2)**

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 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.

### **Recruiting the 21st Century police officer (part 3)**

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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doi:10.1080/13600860801925045

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### **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-empt 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](mailto: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.

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# 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](http://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.

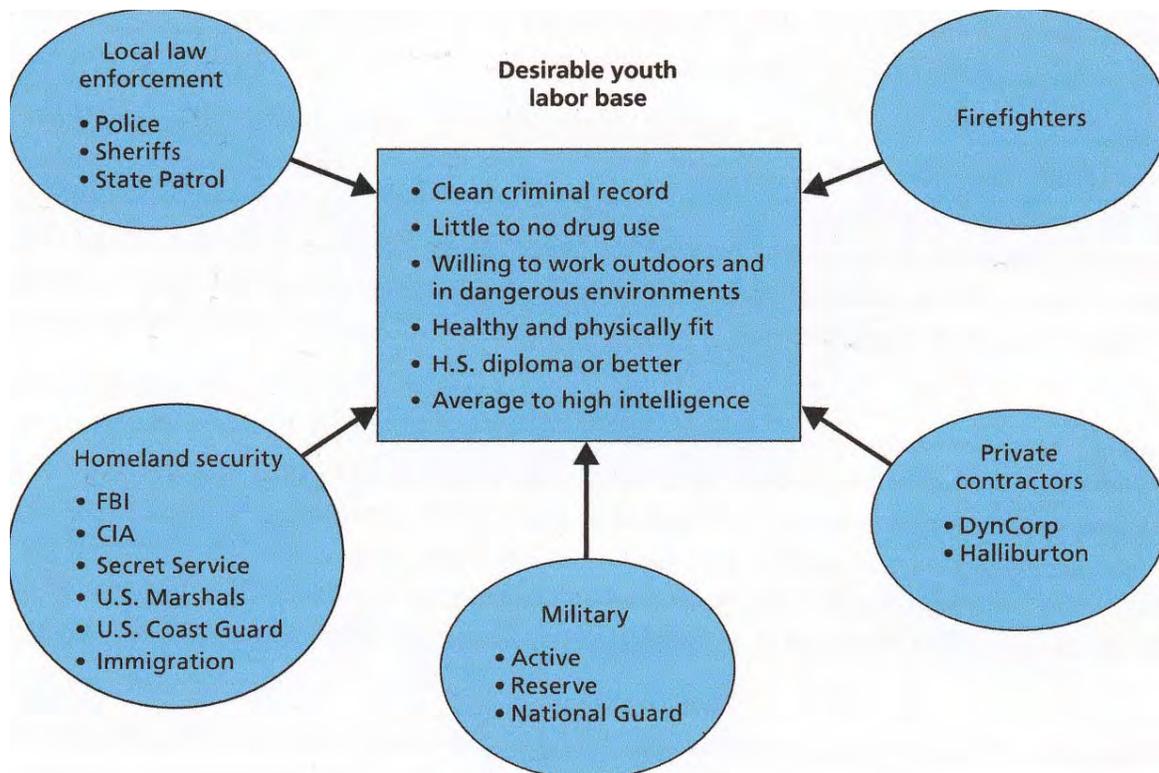
## **Solutions**

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 Zelif 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 Zelif 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 crimefighting 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/](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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