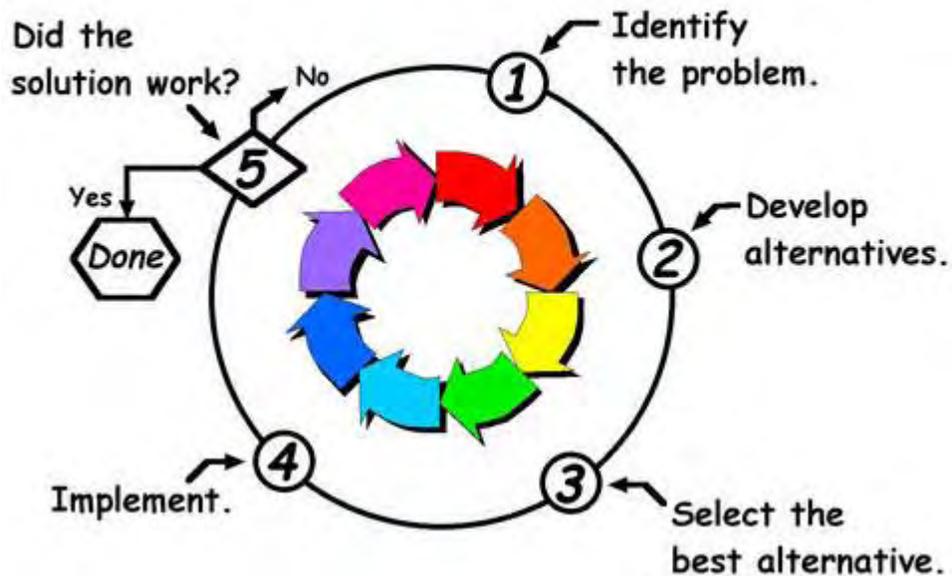




Problem Solving

Steps to solve a problem...



Instructional Goal: Provide managers/manager trainees with problem solving skills

Performance Objectives

- Discuss the Simplex 8 step problem solving model
- Practice the six thinking hats technique to improve creativity in problem solving

Problem Solving

WHAT

- What (exactly) do I want to achieve?
- What are the facts?
- What would happen if no decision was made or solution found?
- What do I need in order to find a solution?

WHY

- Why do I want to achieve a solution?
- Why did the problem or opportunity arise?
- Why do I need to find a solution or way forward at all?
- Ask 5 Whys

HOW

- How will the situation be different?
- How relevant is the information I am gathering?
- How can I find out more?
- How can I involve relevant people?

WHERE

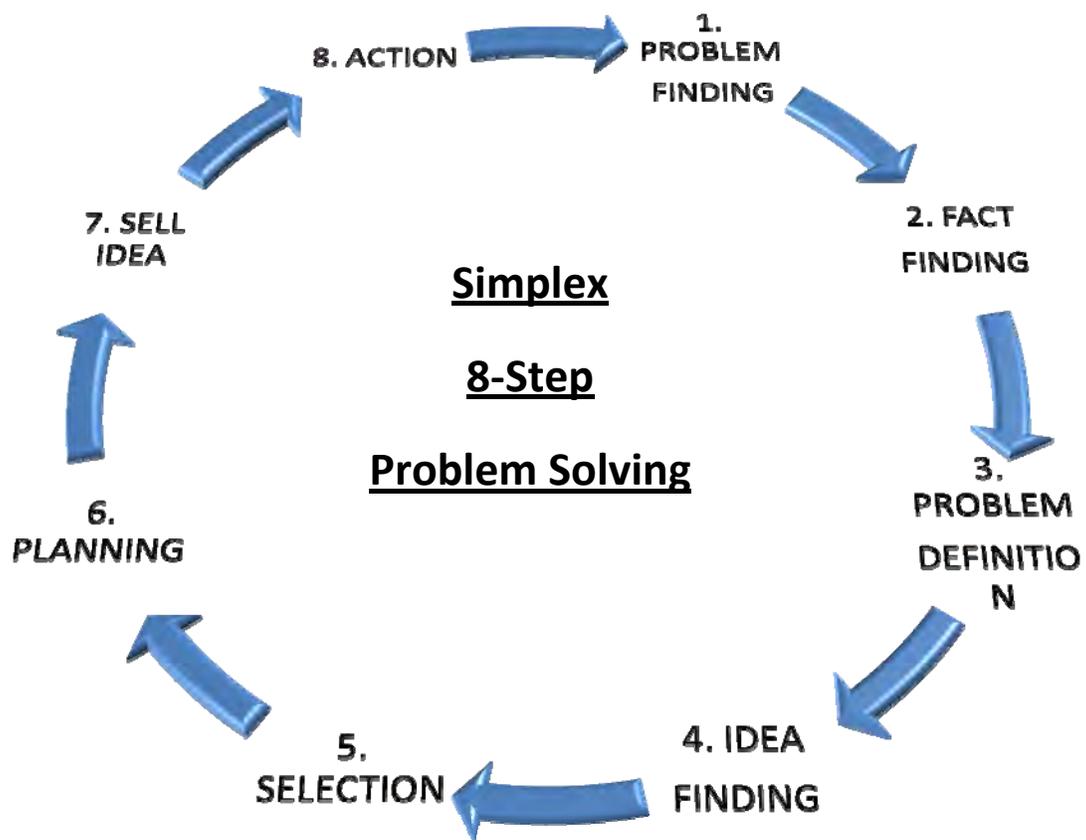
- Where did the issue arise?
- Where does it impact?
- Is the "where" important?
- If so why?

WHO

- Who am I trying to please?
- Who cares about this situation? Who is affected?
- Who is involved (information, help, action)?
- Who needs to be informed?

WHEN

- When did the issue arise?
- When do we need to act?
- By when must it be resolved?



Problem Solving Technique: 4 Steps to Improve Your Processes

This tool contains a useful problem solving technique to help you improve your processes. “Critical Examination” is a structured questioning process.

The questions in this tool are designed to help you examine your business processes, and to help identify possible improvements. The tool uses what, why, when, how, where, and who.

This problem solving technique is part of the comprehensive Seven Step Problem Solving process. Starting with the flow-diagram (below), it will help guide you from an assessment of the current situation, to challenging why things are done in a particular way, to option generation, and finally to the selection of appropriate solutions.

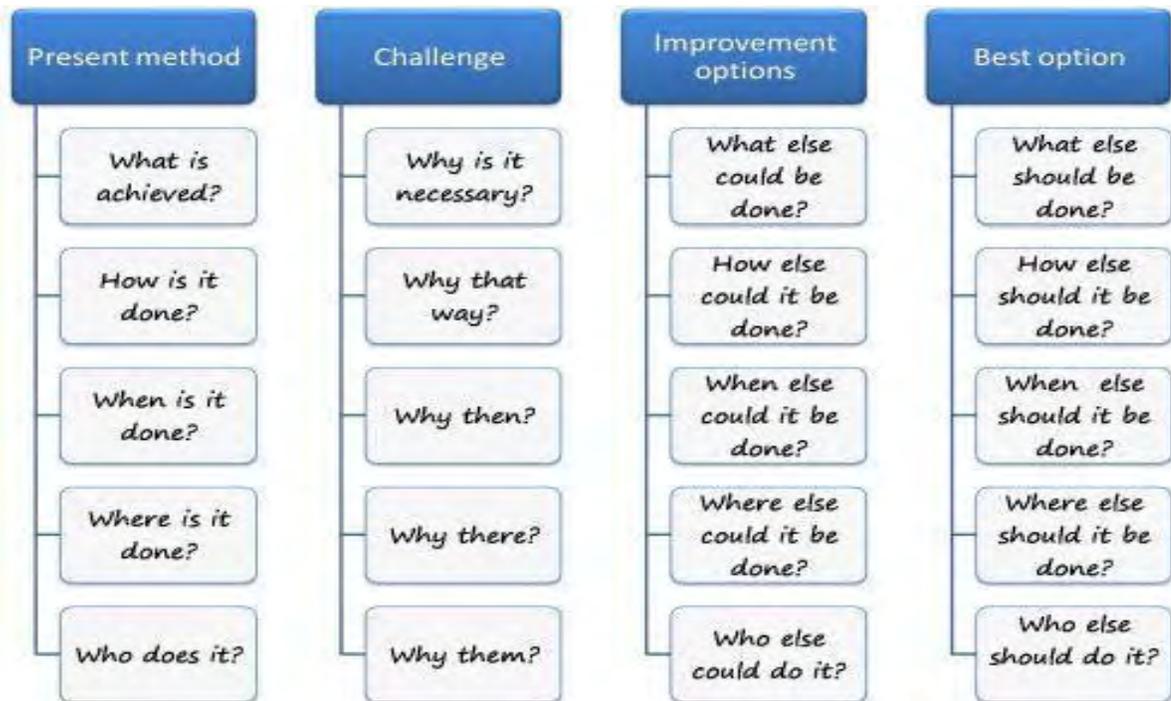


Next apply the systematic, structured, questioning technique, detailed below. Think about the task yourself, and then involve team members. Encourage creativity but ensure each step is taken in a thorough and disciplined manner.

The Critical Examination Technique

Read the questions in this problem solving technique then follow these 4 steps:

1. Answer the questions in the first column. These summarize the present process method, asking: what; how; when; where; and who.
2. Challenge each of your answers by asking “why?”
3. Use column three to help you generate a range of improvement options.
4. Use column four to help you decide on the best option.



(Adapted from Michael Tucker's *Successful Process Management in a Week*)

Tips to Implement the Critical Examination Technique

To make improvements to a process, work with the team responsible for that process.

Use step 1 to:

- identify the purpose of the process;
- explore what citizens and stakeholders expect the process to deliver

Use step 2 to:

- analyze how the process works, and its resource requirements;
- explore ways of measuring its efficiency and effectiveness.

Use step 3 to:

- examine ways to improve the process;
- assess the implications and consequences of these improvements

Use step 4 to:

- decide on the best option, given available resources;

A final tip: Look for the small changes to the process which could have a big impact as a whole.

Basic Guidelines to Problem Solving and Decision Making

Much of what managers and supervisors do is solve problems and make decisions. New managers and supervisors, in particular, often make solve problems and decisions by reacting to them. They are “under the gun”, stressed and very short for time. Consequently, when they encounter a new problem or decision they must make, they react with a decision that seemed to work before. It’s easy with this approach to get stuck in a circle of solving the same problem over and over again.

Therefore, as a new manager or supervisor, get used to an organized approach to problem solving and decision making. Not all problems can be solved and decisions made by the following, rather rational approach. However, the following basic guidelines will get you started. Don’t be intimidated by the length of the list of guidelines. After you’ve practiced them a few times, they’ll become second nature to you – enough that you can deepen and enrich them to suit your own needs and nature.

1. Define the problem/opportunity

This is often where people struggle. They react to what they think the problem is. Instead, seek to understand more about why you think there’s a problem.

Defining the problem: (with input from yourself and others)

Ask yourself and others, the following questions:

- a. What can you *see* that causes you to think there’s a problem?
- b. Where is it happening?
- c. How is it happening?
- d. When is it happening?
- e. With whom is it happening? (HINT: Don’t jump to “Who is causing the problem?” When we’re stressed, blaming is often one of our first reactions. To be an effective manager, you need to address issues more than people.)
- f. Why is it happening?
- g. Write down a five-sentence description of the problem in terms of “The following should be happening, but isn’t ...” or “The following is happening and should be: ...” As much as possible, be specific in your description, including what is happening, where, how, with whom and why.

Defining complex problems:

- a. If the problem still seems overwhelming, break it down by repeating steps a-f until you have descriptions of several related problems.

Verifying your understanding of the problems:

- a. It helps a great deal to verify your problem analysis for conferring with a peer or someone else.

Prioritize the problems:

- a. If you discover that you are looking at several related problems, then prioritize which ones you should address first.
- b. Note the difference between “important” and “urgent” problems. Often, what we consider to be important problems to consider are really just urgent problems. Important problems deserve more attention. For example, if you’re continually answering “urgent” phone calls, then you’ve probably got a more “important” problem and that’s to design a system that screens and prioritizes your phone calls.

Understand your role in the problem:

- a. Your role in the problem can greatly influence how you perceive the role of others. For example, if you’re very stressed out, it’ll probably look like others are, too, or, you may resort too quickly to blaming and reprimanding others. Or, you are feeling very guilty about your role in the problem; you may ignore the accountabilities of others.

2. Look at potential causes for the problem

- a. It’s amazing how much you don’t know about what you don’t know. Therefore, in this phase, it’s critical to get input from other people who notice the problem and who are affected by it.
- b. It’s often useful to collect input from other individuals one at a time (at least at first). Otherwise, people tend to be inhibited about offering their impressions of the real causes of problems.
- c. Write down what your opinions and what you’ve heard from others.
- d. Regarding what you think might be performance problems associated with an employee; it’s often useful to seek advice from a peer or your supervisor in order to verify your impression of the problem.
- e. Write down a description of the cause of the problem and in terms of what is happening, where, when, how, with whom and why.

3. Identify alternatives for approaches to resolve the problem

- a. At this point, it’s useful to keep others involved (unless you’re facing a personal and/or employee performance problem). Brainstorm for solutions to the problem. Very simply put, brainstorming is collecting as many ideas as possible, and then screening them to find the best idea. It’s critical when collecting the ideas to not pass any judgment on the ideas – just write them down as you hear them.

4. Select an approach to resolve the problem

When selecting the best approach, consider:

- a. Which approach is the most likely to solve the problem for the long term?
- b. Which approach is the most realistic to accomplish for now? Do you have the resources? Are they affordable? Do you have enough time to implement the approach?
- c. What is the extent of risk associated with each alternative?
(The nature of this step, in particular, in the problem solving process is why problem solving and [decision making](#) are highly integrated.)

5. Plan the implementation of the best alternative (this is your action plan)

- a. Carefully consider “What will the situation look like when the problem is solved?”
- b. What steps should be taken to implement the best alternative to solving the problem? What systems or processes should be changed in your organization, for example, a new policy or procedure? Don’t resort to solutions where someone is “just going to try harder”.
- c. How will you know if the steps are being followed or not? (these are your indicators of the success of your plan)
- d. What resources will you need in terms of people, money and facilities?
- e. How much time will you need to implement the solution? Write a schedule that includes the start and stop times, and when you expect to see certain indicators of success.
- f. Who will primarily be responsible for ensuring implementation of the plan?
- g. Write down the answers to the above questions and consider this as your action plan.
- h. Communicate the plan to those who will be involved in implementing it and, at least, to your immediate supervisor. (An important aspect of this step in the problem-solving process is continually observation and feedback.)

6. Monitor implementation of the plan

Monitor the indicators of success:

- a. Are you seeing what you would expect from the indicators?
- b. Will the plan be done according to schedule?
- c. If the plan is not being followed as expected, then consider: Was the plan realistic? Are there sufficient resources to accomplish the plan on schedule? Should more priority be placed on various aspects of the plan? Should the plan be changed?

7. Verify if the problem has been resolved or not

One of the best ways to verify if a problem has been solved or not is to resume normal operations in the organization. Still, you should consider:

- a. What changes should be made to avoid this type of problem in the future?
Consider changes to policies and procedures, training, etc.
- b. Lastly, consider “What did you learn from this problem solving?” Consider new knowledge, understanding and/or skills.
- c. Consider writing a brief memo that highlights the success of the problem solving effort, and what you learned as a result. Share it with your supervisor, peers and subordinates.

7-Step Problem Solving

1 Find the Right Problems to Solve.

Too often our approach to problem solving is reactive, we wait for the problems to arise. Firstly in our 7 problem solving steps, we advocate taking a proactive approach, go and find problems to solve; important and valuable problems. The real starting point then for any problem solving process is to find the right problem to solve.

2 Define the Problem

It is very tempting to gloss over this step and move to analysis and solutions. However, like the first step, it is one of the secrets of effective problem solving. Combining problems that are valuable to solve, with defining exactly what you are trying to solve, can dramatically improve the effectiveness of the problem solving process. The secret to defining the problem, is really about attitude. Try to see every problem as an opportunity.

3 Analyze the Problem

Analysis is a process of discovery of the facts, finding out what you know about the situation. In doing so you are breaking down complexity, stripping away the superficial and getting to the causes/issues.

4 Develop Opportunities

There are always more than one way to solve a problem, so take time to develop plenty of creative possibilities to solve the problem.

5 Select the Best Solution

Selecting is about making choices, about deciding. To do this you need to weigh up the competing value and risk of the different options you generated in the previous step.

6 Implement

Good solutions are often only as good as the way they are implemented. Implementation requires project management and a determination to deliver the outcomes essential to solving the problem you originally defined.

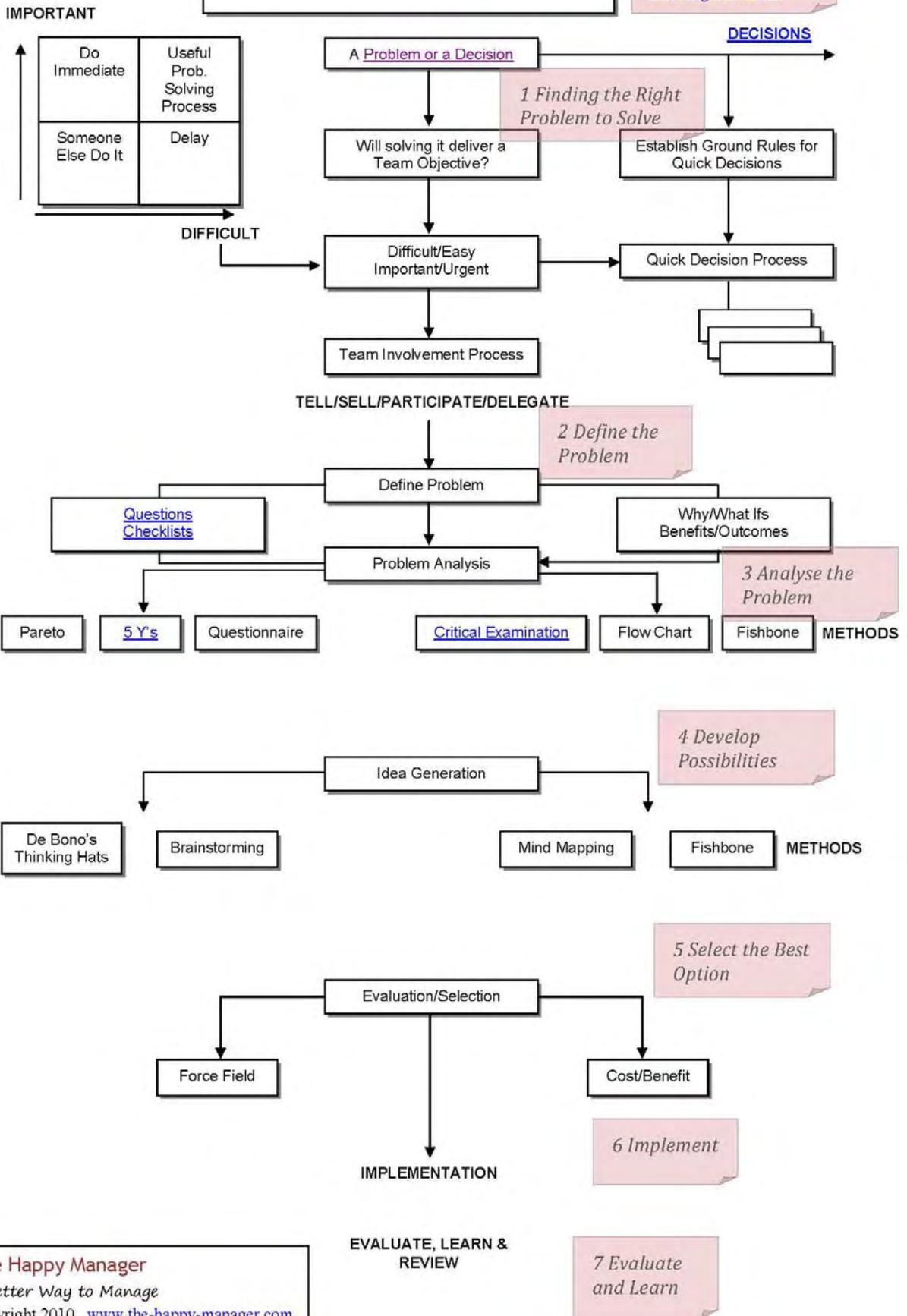
7 Evaluate and Learn

You will have done some things really well through this seven step problem solving process. It would be all too easy to forget them in rushing to solve the next problem, or to implement the solution. You should evaluate at least two areas:

- How you carried out the seven step problem solving process
- The effectiveness of the solution you implemented. Did it deliver the outcomes you expected?

Problem Solving Flow Chart

See [7 Step Problem Solving Process](#)



Six Thinking Hats
Looking at a decision from all points of view



Take different perspectives.

‘Six Thinking Hats’ is an important and powerful technique. It is used to look at decisions from a number of important perspectives. This forces you to move outside your habitual thinking style, and helps you to get a more rounded view of a situation.

This tool was created by Edward de Bono in his book ‘**6 Thinking Hats**’.

Many successful people think from a very rational, positive viewpoint. This is part of the reason that they are successful. Often, though, they may fail to look at a problem from an emotional, intuitive, creative or negative viewpoint. This can mean that they underestimate resistance to plans, fail to make creative leaps and do not make essential contingency plans.

Similarly, pessimists may be excessively defensive, and more emotional people may fail to look at decisions calmly and rationally.

If you look at a problem with the ‘Six Thinking Hats’ technique, then you will solve it using all approaches. Your decisions and plans will mix ambition, skill in execution, public sensitivity, creativity and good contingency planning.

How to Use the Tool:

You can use Six Thinking Hats in meetings or on your own. In meetings it has the benefit of blocking the confrontations that happen when people with different thinking styles discuss the same problem.

Each ‘Thinking Hat’ is a different style of thinking. These are explained below:

White Hat:



- With this thinking hat, you focus on the **data available**. Look at the information you have, and see what you can learn from it. Look for gaps in your knowledge, and either try to fill them or take account of them.
- This is where you analyze past trends, and try to extrapolate from historical data.

Red Hat:



- ‘Wearing’ the red hat, you look at problems using intuition, **gut reaction**, and emotion. Also try to think how other people will react emotionally. Try to understand the responses of people who do not fully know your reasoning.

Black Hat:



- Using black hat thinking, look at all the **bad points** of the decision. Look at it cautiously and defensively. Try to see why it might not work. This is important because it highlights the weak points in a plan. It allows you to eliminate them, alter them, or prepare contingency plans to counter them.
- Black Hat thinking helps to make your plans ‘tougher’ and more resilient. It can also help you to spot fatal flaws and risks before you embark on a course of action. Black Hat thinking is one of the real benefits of this technique, as many successful people get so used to thinking positively that often they cannot see problems in advance. This leaves them under-prepared for difficulties.

Yellow Hat:



- The yellow hat helps you to think **positively**. It is the optimistic viewpoint that helps you to see all the benefits of the decision and the value in it. Yellow Hat thinking helps you to keep going when everything looks gloomy and difficult.

Green Hat:



- The Green Hat stands for **creativity**. This is where you can develop creative solutions to a problem. It is a freewheeling way of thinking, in which there is little criticism of ideas. A whole range of creativity tools can help you here.

Blue Hat:



- The Blue Hat stands for **process control**. This is the hat worn by people chairing meetings. When running into difficulties because ideas are running dry, they may direct activity into Green Hat thinking. When contingency plans are needed, they will ask for Black Hat thinking, etc.

A variant of this technique is to look at problems from the point of view of different professionals (e.g. police officer, public, administrators, etc.) or stakeholders.

Example:

The directors of a property company are looking at whether they should construct a new office building. The economy is doing well, and the amount of vacant office space is reducing sharply. As part of their decision they decide to use the 6 Thinking Hats technique during a planning meeting.

Looking at the problem with the **White Hat**, they analyze the data they have. They examine the trend in vacant office space, which shows a sharp reduction. They anticipate that by the time the office block would be completed, that there will be a severe shortage of office space. Current government projections show steady economic growth for at least the construction period.

With **Red Hat** thinking, some of the directors think the proposed building looks quite ugly. While it would be highly cost-effective, they worry that people would not like to work in it.

When they think with the **Black Hat**, they worry that government projections may be wrong. The economy may be about to enter a 'cyclical downturn', in which case the office building may be empty for a long time. If the building is not attractive, then companies will choose to work in another better-looking building at the same rent.

With the **Yellow Hat**, however, if the economy holds up and their projections are correct, the company stands to make a great deal of money. If they are lucky, maybe they could sell the building before the next downturn, or rent to tenants on long-term leases that will last through any recession.

With **Green Hat** thinking they consider whether they should change the design to make the building more pleasant. Perhaps they could build prestige offices that people would want to rent in any economic climate. Alternatively, maybe they should invest the money in the short term to buy up property at a low cost when a recession comes.

The **Blue Hat** has been used by the meeting's Chair to move between the different thinking styles. He or she may have needed to keep other members of the team from switching styles, or from criticizing other peoples' points.

It is well worth reading Edward de Bono's book **6 Thinking Hats** for more information on this technique.

Key Points:

Six Thinking Hats is a good technique for looking at the effects of a decision from a number of different points of view.

It allows necessary emotion and skepticism to be brought into what would otherwise be purely rational decisions. It opens up the opportunity for creativity within Decision Making. The technique also helps, for example, persistently pessimistic people to be positive and creative.

Plans developed using the '6 Thinking Hats' technique will be sounder and more resilient than would otherwise be the case. It may also help you to avoid public relations mistakes, and spot good reasons not to follow a course of action before you have committed to it.

"Houston, We Have a Problem": Leadership in Times of Crisis

By: Winston Scott

Perhaps you've never been called upon to lead in a situation as fraught with potential peril as the manual capture of a \$10 million, 3,000-pound, out of control satellite in outer space (the mission faced by the crew of the space shuttle Columbia in 1999), but business leaders face major crises all the time: a scandal involving senior management, fall-out from an economic downturn, product malfunction and recall or the loss of a key employee.

Leadership under extreme conditions, like those encountered aboard the Columbia, requires adherence to key principles that guide you, your team and your mission to success. The Columbia mission did ultimately succeed, and using the same principles of leadership that worked on this space mission, business leaders too can learn to turn obstacles into opportunities.

Space Mission Lesson #1: Prepare for the Unknown

A leader needs to anticipate any potential problems. The original Columbia mission was to launch a research satellite called Spartan, but the satellite malfunctioned almost immediately. The effort to retrieve it for repair went awry when the shuttle's robotic arm inadvertently tipped the satellite, setting this object—roughly the size and weight of an automobile—spinning unpredictably in space. Because NASA and the Columbia crew had already prepared for potential problems, they immediately knew what to do next. Two spacewalking astronauts—one on his first space flight—had to perform a dangerous manual capture of the satellite.

When an unanticipated problem occurs in business, leaders, like the astronauts, should be so thoroughly prepared that they already know what options and resources are available to help solve it. Otherwise, valuable time is wasted, during which the crisis may become even more dire.

So in your business, determine what possible factors could cause your company to suffer, and then devise action plans for dealing with each scenario. Should that problem ever occur, you will be able to react quickly and lead your team to victory.

Space Mission Lesson #2: Conquer Communication Barriers

Get to know the members of your team well. Ascertain their communication strengths and weaknesses, particularly in times of crisis. Don't assume that even the people closest to you will understand your plans. It's never more important for everyone to be on the same page than when you're confronting a problem. To ensure that your message is communicated correctly, solicit feedback, asking "Do you understand what I mean?" to encourage clarifying questions and honest responses from your team.

English was the second language of one of the spacewalkers, so the lead spacewalker

spent a lot of time with him to ensure they were speaking the same language, literally, before they attempted to capture the satellite. What's more, in space, all direction is relative to something else, so to facilitate the manual capture of a satellite while cruising at 18,000 miles an hour, *everyone* on the team needs to know what "up" and "down" mean in that context.

In the world of international space flight, there may be literal language barriers to overcome, and in an organization, even if everyone speaks the same language, the filters of culture sometimes put up major communication obstacles. Men and women may communicate differently, for example, and business leaders must ensure that communications' meaning and intent are clearly understood by everyone, especially when trying to solve a problem.

Space Mission Lesson #3: Be Alert to Non-verbal Communication

A good leader will pick up on cues to potential problems and misunderstandings before they arise. For example, while both the robot arm operator and one spacewalker on the Columbia mission were highly qualified individuals, both were on their first space flights. The lead spacewalker observed that the other spacewalker talked very little and kept to himself, away from the group. In response, he shared his own experiences on his first spacewalk, reassuring the other man that he empathized with his nervousness but was confident he would do well.

As a business leader, you must know how key team members act on a normal basis so that you can recognize behavioral changes. When a crisis occurs, does your usually social VP of Marketing lock himself in his office? Does your usually mild-mannered CFO begin barking orders like a drill sergeant? These are telltale, non-verbal cues that you must step in and take the lead.

Space Mission Lesson #4: Ask for Help

A leader must demonstrate an immediate understanding of the problem. You can't appear wishy-washy, even if, at the moment, you don't have a clue what's going wrong. You need to demonstrate self-assurance to show that you're in control. People follow confidence.

Keep in mind, however, that confident doesn't mean omniscient. You must solicit input and feedback from the experts both on your team and outside the team. NASA rehearsed the satellite's capture on the ground and sent images up to the shuttle. The spacewalkers constructed a Spartan simulator for practice, and the team leader rehearsed the terminology to use in the capture and to direct the commander where to fly the shuttle to get it close enough to the satellite so they could reach out with gloved hands and manually direct the satellite back into the shuttle.

You don't need to know every single nut and bolt involved in every single person's job, but there are people on your staff who are more expert in certain areas than you are. Acknowledge that and benefit from it when planning and problem-solving.

Space Mission Lesson #5: Earn Real Experience

Business leaders, like astronauts, obviously need technical training in their fields, but equally important are maturity and experience at making difficult real-time decisions. There's a reason you never see 22-year-old astronauts! You must have complete confidence in your ability to make critical judgments and to take action in tough situations—and the only way to acquire that confidence is through real-world experience.

While mounted in foot restraints on the edge of the shuttle, the Columbia spacewalkers spent 3½ hours safely manipulating the satellite into the single orientation that would fit it into the payload bay. The leader had never before attempted this particular mission, but he did have a vast array of experience—even some mistakes—that gave him the focus and determination that were essential to keep 3,000 pounds of mass from getting out of control, where it might injure the spacewalkers or damage the space shuttle.

As you came up through the business ranks, decisions you made may have cost your department money, set back a safety record, or otherwise affected some critical aspect of the business, but all of that is part of your essential on-the-job education.

Leaders Reach for the Stars

As NASA knows, one of the main considerations for hiring or promoting senior management must be their level of experience, training, and education in problem solving, especially in a crisis situation. Have they turned critical circumstances around? Do they thrive or shrink in the face of disaster?

Whether walking in space or walking into a boardroom, good leaders must not only be prepared for everything that might go wrong, they must come alive when faced with a thorny situation, large or small. Great leaders have confidence, can communicate what's necessary to handle a problem, and know how to best utilize the skills of each member of their team to solve it. The ability to lead in the face of a crisis separates the great leaders, those who have “the right stuff,” from those who don't.

About the Author(s)

Winston Scott Winston Scott is a speaker, consultant and retired astronaut who has logged a total of 24 days in space, including three spacewalks. He is the author of *Reflections from Earth Orbit*, based on his experiences in space. For more information contact him at jazzairllc@aol.com or visit www.winstonescott.com

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Risk Management



Instructional Goal: Provide a refresher on risk management and the responsibility of the manager and supervisor.

Performance Objectives:

- Discuss the cost of accidents in the workplace
- Discuss accident prevention
- List the manager's/supervisor's role in risk management
- List the three factors safety
- Discuss OSHA requirements
- Discuss liability issues

Risk Management

It is all predictable and preventable!

Risk Management Definition: Any activity that involves the evaluation of or comparison of risks and the development, selection and implementation of control measures to change outcomes

To carry out risk analysis, follow these steps:

1. Identify Threats

- Human – from individuals or organizations, illness or death, etc.
- Operational - From disruption to operations
- Reputational - Damage to reputation
- Procedural - From failures of accountability, internal systems, organization, fraud, etc.
- Project - Service quality
- Financial - Budget cuts, loss of staff
- Technical – from advances in technology, technical failure, etc.
- Natural – threats from weather, natural disaster, accident, disease, etc.
- Political – from changes in regimes, public opinion, government policy, etc.
- Others

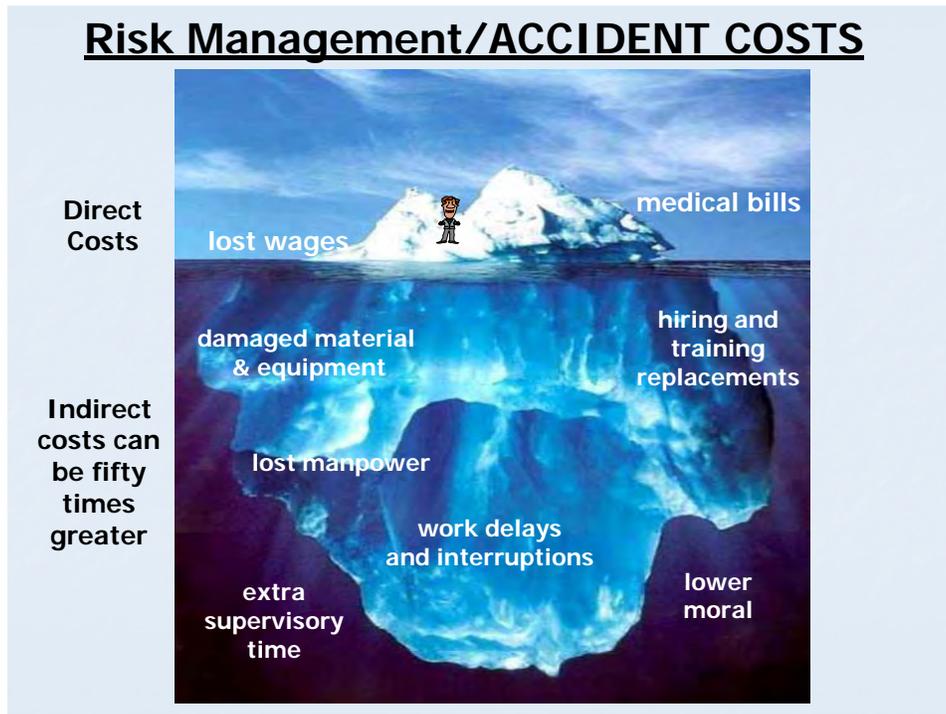
2. Estimate Risk – estimate the probability of the event occurring and multiply this by the amount it will cost you to set things right if it happens

3. Manage Risk – by using existing assets, contingency planning, investing in new resources

4. Review

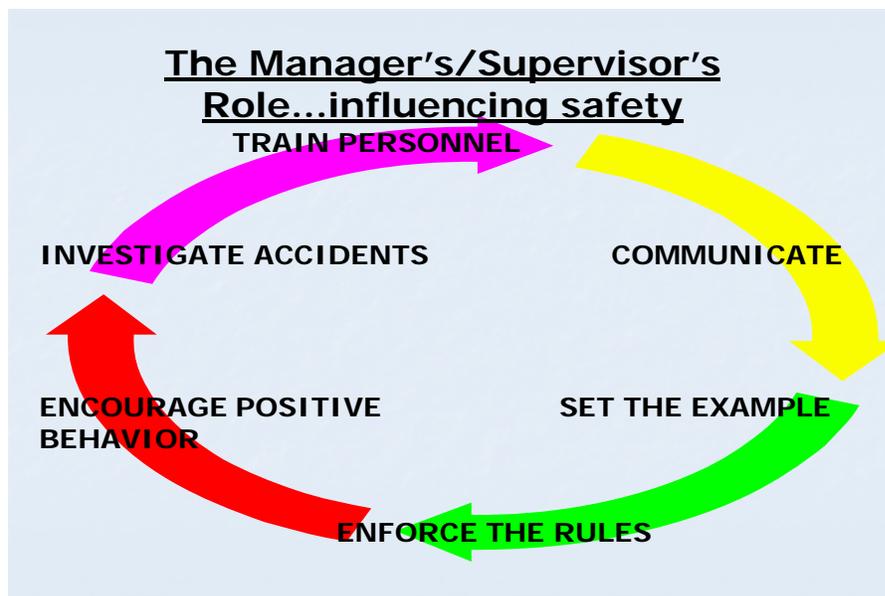
Risk = probability of event X cost of event

Risk Management/ACCIDENT COSTS



Accident Prevention

- Preventing accidents is critically important
- Supervisors play a key role
- Supervisors need to deal with many issues
- Certain techniques are useful to effectively lead others



Signs of a Leader

- Commands respect
- Shows respect for others
- Uses clear communication
- An effective trainer
- Has good listening skills
- Provides feedback
- Performs follow-up
- Understands human behavior

Factors Influencing Safety

- Management Systems - Policies, Procedures, Pro-Active Safety Culture
- Work Factors -Facilities, tools, equipment and materials, housekeeping, physical hazards
- Human Element - Behaviors, Skills, knowledge, abilities, intelligence, motives

Human Element

- Most safety programs deal with physical factors
 - easiest to identify and correct
- Can only do a partial job at best
 - human element is always present
- Examine human behavior as it relates to Safety
 - how & why workers commit unsafe acts
 - correct the human behavioral aspect

Human Factors

- Arrogance: Rules do not apply to me
- Ignorance: I have no idea what the rule are
- Complacency: I have always behaved like this and I do not plan on changing my behavior

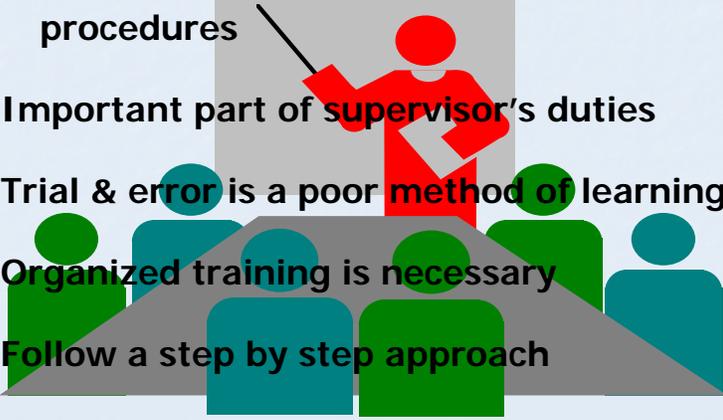
Focus on Behaviors, Not Attitudes

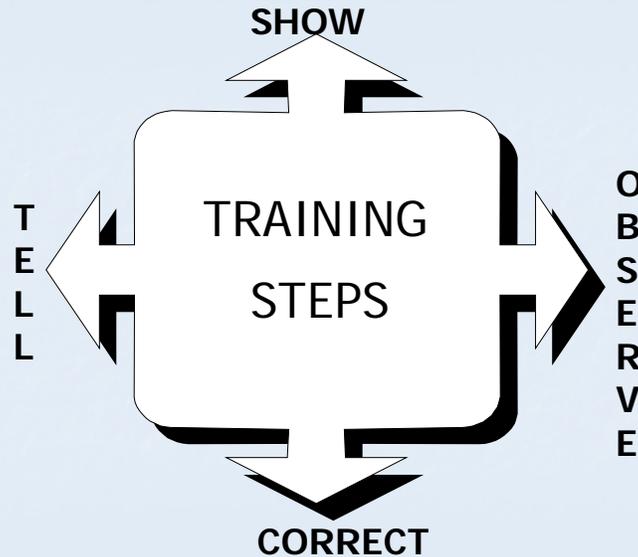
- Unsafe Behaviors should be your focus
 - failure to use PPE, safe guards, procedures. These are observable and can be changed
- Most Safety programs try to change attitudes
 - carelessness, laziness, “bad attitude” not directly observable, hard to change

Correcting Habits

- Reminders and repetitions of 100% safe behavior
- Enforcement is required
- Use disciplinary action if needed – ‘Up to & Including...Termination’
- Positive reinforcement is the most effective method
- Praise the employee for safe behavior
- Set a good example “yourself”
- Catch your people doing something right - rewards

EFFECTIVE TRAINING

- Employees need to know safe job procedures
 - Important part of supervisor's duties
 - Trial & error is a poor method of learning
 - Organized training is necessary
 - Follow a step by step approach
- 
- An illustration showing a red stick figure representing a supervisor standing at the front of a classroom, pointing with a black pointer towards a grey rectangular screen. In the foreground, several stylized human figures in shades of green and teal represent employees sitting at desks, looking towards the supervisor and the screen.



Training Guidelines

- Explain the job procedures
- Show the job procedures
- Employee explains it and shows you
- Praise for what is done correctly
- Correct the technique if necessary
- Employee explains and shows again
- Praise for correct technique / procedure
- Follow-up and repeat if necessary

Setting the Example

- Follow the rules yourself
- Be consistent in your approach
- Even small things count
- Do not make exceptions & do not play favorites
- Your actions say a lot more than your words
- Employees will watch you to see if you “lead by example.”

Accident Investigation

- Accidents are investigated, not to find fault or to blame, but to find out the Root Cause
- Get the who, what, when, where & why
- Careless is unacceptable “cause”
- Develop a plan for preventing the accident in the future

Manager’s/Supervisor’s Responsibility

- Besides an ethical and moral duty, you have a legal responsibility for safety supervision
- Managers/Supervisors can be held criminally liable for serious injury or death of an employee if they have been negligent in their duties

OSHA Requirements

- Effectively implement the Safety Program
- Enforce all safety rules
- Monitor safety equipment use
- Correct & report hazards as soon as possible
- Document all safety activities
- Be sure that all your employees know that they can come to you with safety concerns
- Always cooperate with outside inspectors

Record Keeping

- New hire training
- Safety meetings
- Safety warnings / disciplinary actions
- Correct & report hazards as soon as possible
- Document all safety activities
- Be sure that all your employees know that they can come to you with safety concerns
- Always cooperate with outside inspectors

Five Items Necessary for Management Liability Reduction

- People (Getting and Keeping)
- Policy (Reviewed & Updated annually, Knowledge)
- Training (Initial and ongoing)
- Supervision (Pre-Incident)
- Discipline (Prompt, fair and impartial)

One Last Point

- As long as you follow through on your duties and do not ignore safety issues / problems; and
- As long as you take the time to properly train and monitor your workers; and
- As long as you document all safety activities you should not have any legal problems
- It is when you ignore your duties and do not take safety seriously that trouble might erupt

Summary

- Accident prevention saves money and improves productivity
- Supervisors have a key role in the safety program
- Understand human behavior
- Be a leader - set the example, enforce the rules
- Train, communicate, motivate & do not play favorites
- Follow through on your responsibilities – make & take the time!

Risk Management Key Points

- Risk analysis allows you to examine the risks that you or your agency face.
- It is based on a structured approach to thinking through threat, followed by evaluation of the probability and cost of events occurring.
- Risk analysis forms the basis for risk management and crisis prevention. Here the emphasis is on cost effectiveness.

**Updating Ethics Training—Policing Privacy Series: Managing Risk by
Reducing Internal Litigation**

*By Thomas J. Martinelli, Adjunct Professor, Wayne State University, Detroit,
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For years, ethics trainers have taught that all illegal behavior committed by a sworn member is unethical, but that not all unethical behavior is illegal. Still, policy noncompliance involving department investigations into members' private lives remains a dicey business. Invariably, department policies and procedures dictate that sworn members, and sometimes the nonsworn, must conduct themselves both on duty and off duty in accord with their organizations' expectations, citizen expectations, and ethical expectations, and not according to their own subjective privacy expectations. These are training issues that must be addressed at an academy level as well as during annual in-service training sessions.

Time and time again, officers accused of policy noncompliance for unethical behavior claim that they did not know that legal, but questionably moral, behavior would subject them to department discipline. The law enforcement profession demands the highest standards of duty and credibility in its members in order to accomplish its mission to protect and serve. This demand implies that the mission strictly adheres to the tenets of the profession and is carried out constitutionally, ethically, and legally. This philosophical template of professionalism is the cornerstone of productive community-policing relations. In the end, citizens are the stakeholders of policing services, and reducing department internal litigation, specifically unethical misconduct and privacy issues, is a mandatory organization-wide challenge.

Minimizing Litigation Is Managing Risk

Renowned lawman, lawyer, and annual IACP conference presenter Gordon Graham travels the country speaking about what managing risk entails in law enforcement circles.¹ He uses a succinct definition for risk management, describing it as “any activity that involves the evaluation or comparison of risks and the development, selection, and implementation of control measures that change, reduce, or eliminate the probability or the consequences of a harmful action.”²

He has several risk management catch phrases applicable to law enforcement, such as “every identifiable risk is a manageable risk”; “the errors that he will make can be predicted from the errors he has made”; “things that go wrong in life are predictable, and predictable is preventable”; and “discipline is a form of training.”

Graham understands policing and is adamant about supervisory proactive prevention as he lectures on the costly mistakes made by supervisors failing to adequately supervise. More times than not, department liability is the result of “a supervisor not

behaving like a supervisor.”³ Graham repeatedly emphasizes that running a police department is a systemic team effort, and when tragedies occur, management drops the supervisory ball and fails in its supervisory duties.

Examples of dropping the supervisory ball include failures to adequately educate sworn personnel regarding department expectations of both on-duty and off-duty conduct regarding unethical behavior. In police training circles, there is a distinct disconnect between training blocks regarding “coffee shop ethics” and gratuities and training blocks regarding officer privacy expectations. Specifically, there is a lack of attention and policy implementation to both off-duty activities and department-related information technology oversight.

Graham’s wisdom regarding managing risk can be applied to the astronomical costs associated with internal litigation. These are the lawsuits employees engage in regarding labor law issues and discipline. To reduce liability, attorneys’ fees, and hours spent in defense of lawsuits, law enforcement executives must repeatedly provide notice through training of department expectations for officer behavior. An agency can markedly reduce its liability from internal lawsuits (police officers supplementing their incomes by suing their departments) if designated blocks of training address organizational expectations pertaining to officer privacy issues. Training curriculums must explain what “keeping one’s private life unsullied as an example to all” means in today’s policing values. Minimizing internal lawsuits through notice reduces or eliminates costly litigation. In these times of having to do more with less, this is a cost-saving managerial tool that can provide only positive dividends for the future.

Others have mirrored Graham’s definition regarding the organizational duties associated with departmental liability, which states that “risk management is a process that also includes basic managerial functions: planning, organizing, and leading, as well as controlling agency losses at a reasonable cost. It uses accepted managerial techniques in order to preserve the assets of an organization or entity.”⁴ This systemic accountability demands department-wide training in the agency’s expectations of officer behavior both on duty and off duty; policy implementation; vigilante supervision; and strict, swift, and certain discipline for policy noncompliance. Middle management buy-in for identifying potential risk, coupled with the use of early warning systems, is critical for success. Otherwise, organizational dysfunction results and can prove costly in civil court, win or lose.

When a member of a police department sues the department, the ultimate losers are the stakeholder citizens. This is an inexcusable cost that must be avoided. Failing to follow a risk management template for success, which must commence with a block of training comprehensively discussing systemic notice in training, can result in protracted internal litigation. What is worse is the problematic reality of having to reinstate a poor employee, with back pay, because a policy was void for vagueness or was inadequately addressed in training curriculums. Maintaining written records

of training curricula and attendees is a strong defense against an officer's "I didn't know" defense.

Lastly, prioritizing potential risks is the key to successful risk management.⁵ There are plaintiff attorneys who make their livings suing departments regarding fatalities resulting from police shootings and pursuits. These are priorities that agencies historically have had to address due to their relative frequency and are generally forgiven by civil juries in wrongful death actions. Time and time again, the dangerousness of the job, the tragic situations officers confront on a daily basis, and the split-second decision-making processes officers have to engage in cause juries to side with police departments. These lawsuits, though a part of the public service professions, must be minimized at all costs.

Civil trials for internal litigation involving unethical officer behavior and privacy issues may find that taxpayers are not as forgiving of the police in their jury verdicts as the disciplined officers would like them to be. Taxpayers are the clientele of the police department, and knowledge of their officers' off-duty promiscuity, on-duty derelictions, and sexual trysts may not result in their blind-faith forgiveness. Agencies have a duty in assessing their risk management priorities to minimize or alleviate the potential for all types of costly internal litigation.

Privacy Expectations and Off-Duty Sexual Trysts

Labor law literature is rife with examples of officers involved in off-duty sexual trysts. For years, police ethics trainers have referred to a wrongful discharge lawsuit wherein an officer involved his wife, his 18-year-old sister-in-law, his scout car partner, and tangentially, his entire department in a sex scandal that resulted in his termination.⁶

Rumors were rampant throughout the department that the 18-year-old was engaged in nefarious relations with numerous officers. The woman's parents complained to the chief, the mayor, and eventually to the media. Once the internal investigation was finalized, it was discovered the officer in question solely orchestrated sexual trysts with his scout car partner and his wife in order to seduce his 18-year-old sister-in-law.

The key to this case was the court's conclusion that the terminated officer knew, or should have known, that his legal but unethical off-duty behavior could cost him his job. His actions constituted unbecoming conduct, brought discredit to the entire department, and gave the citizenry, through extended media coverage, the perception that their police officers spent more time pursuing sex than protecting the streets.

In upholding the officer's termination, the court rejected the defense that the officer did not know his off-duty unethical behavior would deprive him of his job and police pension. In fact, the court used the IACP Code of Ethics as the template of notice, stating that the officer knew he was to 'keep his private life unsullied as an example to all' if he wished to be a part of this noble profession. In a paramilitary structured

organization, such unethical behavior is dysfunctional and tarnishes the good image of the agency in the public's eye.

Further, thousands of taxpayer dollars were used by the department to defend the lawsuit. In this case, one can conclude that the agency's termination process took many hours to investigate; litigate (in department labor hearings); and eventually defend in civil court. These internal law enforcement lawsuits are counterproductive, inefficient, and require significant time and money. In the end, the citizens the agency is tasked to serve are the losing faction.

Internal litigation is a management risk that is predictable, preventable, and can usually be avoided, or minimized, with adequate training, policy implementation, and middle management buy-in. There must be an organizational understanding, between rank and file, as to privacy expectations of the department and written policies supporting that understanding. Organizational training mandates limiting employee privacy expectations, coupled with department policy compliance measures, are the keys to successfully diminishing internal lawsuits.

Information Technology, Privacy Expectations, and Internal Litigation

In this age of information technology (IT), there will always be the organizational challenges of expediting law enforcement services through technological means and employee privacy expectations associated with these IT tools. One could argue it is a dereliction of duty for a law enforcement agency to not embrace this modern age of technology in order to better serve its constituents. But as the tools of the trade become more sophisticated, the rules of law associated with the use or abuse of those tools becomes more challenging.

Police administrators must employ a comprehensive IT privacy policy that instructs all sworn personnel using agency-supplied technological equipment that this equipment is to be used solely for police matters; that all communiqués will be randomly audited for work-related purposes; and that there exists no employee expectation of privacy for the use of such technological equipment. In this way, misconduct allegations are reduced, internal investigations are minimized, discipline in this regard is practically nonexistent, and plaintiff lawyers will have less causes of action to sue departments.

Organized policy implementation reduces departmental risk, but poorly drafted or vague policies have forever provided internal litigation headaches in policing. The wording in the policies themselves, coupled with assumptions, implications, and a blind faith that employees will always do what is morally right, have cost agencies time, money, and sometimes a drop in morale with increased employee cynicism. The "supervisory logic of good faith"⁷ presumes that subordinates will comply with policies and procedures and can police themselves in regard to policy compliance issues. As Graham said at IACP 2009 in Denver, "Show me a tragedy in law enforcement—and almost without exception (and there are some exceptions) I will

show you the fingerprints of a supervisor not behaving like a supervisor.”⁸ The U.S. Supreme Court recently had to adjudicate a poorly worded and poorly implemented department IT policy in deciding Fourth Amendment privacy issues.

In the case *City of Ontario, California, et al. v. Quon*, the Ontario, California, police department provided its special weapons and tactics (SWAT) team members with alphanumeric pagers, as the court put it, “in order to help the SWAT team mobilize and respond to emergency situations.”⁹ The agency purchased 25,000 text characters (letters and spaces) a month for each member’s pager, and the text messages from the pagers were subject to the agency’s computer policy. That policy stated that the city reserves the right to monitor and log all network activity including e-mail and Internet use, with or without notice, and that “users should have no expectation of privacy or confidentiality when using these resources.”¹⁰ Subsequent training at a staff meeting for the SWAT team and a memo from the chief further stressed that the texts sent on the SWAT pagers were considered departmental e-mail and were subject to random audits. The plaintiff, a sergeant on the SWAT team, fully acknowledged the computer policy, the relevance of the pager’s use with that policy, and the 25,000 character limit per month.

Despite this departmental policy of notice and officer acknowledgement, the sergeant filed a Fourth Amendment privacy rights violation suit against his employer after he was disciplined for his improper use of the SWAT pager.

The sergeant’s discipline resulted from an internal affairs investigation regarding his on-duty use of the pager for personal matters. The chief audited the team’s text messages to see if the department needed to purchase more monthly characters. The internal affairs investigation concluded that the plaintiff, in the month of August alone, sent or received 400 personal messages while on duty, which had nothing to do with the duties associated with the SWAT team. His record for one day at work was 80 text messages, and his daily average for sent or received personal messages was 25 texts. The investigation also discovered that some of the on-duty personal messages were sexually explicit in nature. After the sergeant was disciplined, he filed his privacy violations lawsuit.

Despite the presence of a written computer policy; further training on that policy; and a memo from the chief stating that all departmental networking, including the text messages from the SWAT pagers, were subject to random audits, the plaintiff argued his privacy expectations to the on-duty texts were violated. He argued that a subsequent verbal agreement between the team and its lieutenant nullified the computer policy, at least in regard to the SWAT pagers. The lieutenant assured the team members no one from the agency would audit the team’s text messages as long as they personally reimbursed the city for all monthly overages exceeding the allotted 25,000 texts per month, per pager. The court ruled in favor of the department.

Though the U.S. Supreme Court’s analysis is long and arduous, reading between the

lines facilitates a swifter conclusion. The court concluded that the plaintiff had a limited expectation of privacy, if any at all, and that the search was reasonable under the circumstances and under any Fourth Amendment application.

The majority relied heavily on the facts of the case. The plaintiff was a supervisor. He knew the policies and the agency's purpose behind those policies. He was on a special tactical team, held to higher standards than street-level supervisors due to the dangerous nature and duties of a SWAT team. The purpose behind the acquisition of the pagers was to facilitate work-related communications between the team members.

The court concluded that the plaintiff was a veteran officer and knew, or should have known, that department-issued communication technologies are many times subject to (1) review for performance evaluations; (2) reasonable Freedom of Information Act requests by citizens or the media; and (3) the lenient discovery rules used in civil lawsuits, especially lawsuits in which SWAT team members most likely would be involved. For these operational realities, coupled with knowledge and notice of the computer policy, the court rejected the plaintiff's expectation of privacy argument.

In this discussion of managing risk by reducing internal litigation, how did such a case, as costly as it was to the taxpayers of that community, ascend to the U.S. Supreme Court? On its face, the sergeant did not seem to have much of a legal leg to stand on from the outset. This is where poor policy drafting and poor policy implementation can cost an agency the multitude of hours and attorney fees associated with such internal litigation.

First, as previously mentioned, the plaintiff hung his privacy expectations argument on the lieutenant's subsequent verbal assertions that the department would not audit the SWAT team's text messages as long as the team members paid for their own overages. The lieutenant lacked the authority and the policy-making powers to circumvent a written departmental policy, and the court recognized that. This is an issue that must be addressed in supervisory training circles. Verbal, additional, or implied changes to written departmental policies cloud misconduct issues and disciplinary procedures and may fail in labor law hearings.

Secondly, the computer policy and subsequent text message training for the SWAT team never specifically addressed personal usage of the pagers, whether used on duty or off duty, and the discipline to be meted out for any policy noncompliance. It seems that as long as the team members did not exceed the 25,000 characters allotted, personal use, both on and off duty, was permissible. But had the plaintiff never exceeded his monthly characters, would the chief have been justified in ordering an audit of the text messages? The answer is yes; all random audits in policing have a special needs purpose in the professional administration of a department, and employee privacy should never be an issue.

Why, then, was a costly jury trial held to determine the chief's intent in ordering and

auditing the team's text messages? The departmental technology policies themselves never mentioned that the chief, the internal affairs department, or anyone with the authority to audit those messages had to rely on a Fourth Amendment exception to read those employee messages. Random audits in the workplace are just that: random, with no need for reasonable suspicion, probable cause, or allegations of misconduct. A random audit policy gives administrators carte blanche authority to audit all technological communication associated with department-issued equipment. Random audits of in-car videos, in-car lien communications, and Internet audit trails are specifically intended to deter employee abuses. The philosophy behind random audit policies is to deter any employee temptations to abuse their access to the specific technology available. This should have been explicitly written in the computer policy in order to deter the very behavior the plaintiff engaged in: his personal texting on duty.

A time-consuming, costly jury trial was held to decide the chief's intent in auditing the team's text messages. Written random audit policies alleviate any causes of action for bad faith, illegal searches, or maliciousness on the part of a chief of police or the internal affairs unit.

Though the jury ruled in favor of the chief, concluding that his audit had a legitimate, work-related purpose, thousands of taxpayer dollars were spent on this trial, as well as the monies spent for the appellate case and eventual U.S. Supreme Court proceedings. Focused policy verbiage regarding the agency's intent to conduct random audits, coupled with frequent random audits and appropriate disciplinary measures, most likely would have deterred the sergeant's abuse of the pager and eliminated any internal litigation paid for by taxpayer dollars. Notice, through training curricula, of how policies will be implemented and supervised is the key to limiting costly litigation.

Taxpayers are the stakeholders in the police business. The majority of justices, in this case, questioned what society accepts as proper behavior in regard to technological privacy expectations in the workplace. The answer is most likely that private citizens have little expectation of privacy at the workplace regarding their employer-issued desktops, laptops, and networking tools. In order to decrease extraneous Internet surfing, following sporting events, and excessive personal e-mailing during work hours, private employers issue directives informing their employees that audit trails are randomly conducted to prevent such wasteful uses of their work time and their computers.

In his concurrence with the majority, Justice Antonin Scalia reiterated his position from a previous employment privacy case wherein he wrote "that government searches to retrieve work-related materials or to investigate violations of workplace rules—searches of the sort that are regarded as reasonable and normal in the private employer context—do not violate the . . . Amendment."¹¹

The laws of privacy continue to evolve in criminal courts and in labor law courts. As

technological advances continue to enhance police services, agencies must revisit their own policies and procedures related to informational technology and employee privacy expectations. Only through training programs can department notice be established regarding policy implementation. Additionally, comprehensive ethics training curriculums must emphasize the sanctity of privacy issues in policing, both as applied to target citizen investigations and to internal affairs issues. Internal lawsuits are counterproductive and costly in relation to the overall agency mission to protect and serve. ■

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Notes:

¹To read more about Gordon Graham's advice for managing risk, visit

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

²Gordon Graham, "Risk Management in Policing" (lecture, Macomb Community College, Clinton Township, Michigan, October 2004).

³Gordon Graham, "Line Officer Training: Accountability for Supervisors: A Primer on Managing Risk" (presentation, IACP 2009, Denver, Colo., October 5, 2009).

⁴Darrell L. Ross, *Civil Liability in Criminal Justice* (Cincinnati, Ohio: Anderson Publishing, 2003), 73.

⁵Kim Mays, "Definitions: Risk Management," *IT Business Edge*, last modified April 1, 2009, <http://www.itbusinessedge.com/cm/docs/DOC-1312> (accessed January 31, 2011).

⁶*Fabio v. Civil Service Commission of the City of Philadelphia*, 414 A2d 82 (Pa. 1980).

⁷John Crank and Michael Caldero, *Police Ethics: The Corruption of Noble Cause* (Cincinnati, Ohio: Anderson Publishing, 2010), 47.

⁸Gordon Graham, "Line Officer Training: Accountability for Supervisors: A Primer on Managing Risk."

⁹*City of Ontario, California, et al. v. Jeff Quon et al.*, 560 U.S. ____ (2010), 6, <http://www.supremecourt.gov/opinions/09pdf/08-1332.pdf> (accessed January 31, 2011).

¹⁰Bill Mears, "Supreme Court to Hear Texting Privacy Case," *CNN*, April 19, 2010, http://articles.cnn.com/2010-04-19/justice/scotus.text.messaging_1_jeff-quon-text-messaging-arch-wireless?s=PM:CRIME (accessed January 31, 2011).

¹¹*Quon*, 560 U.S. ____ 2–3, quoting Scalia's concurrence in *O'Connor v. Ortega*, 480 U.S. 709, 732 (1987).

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Fundamentals of Risk Management by Steve Ashley & Rod Pearson

What is Risk Management?

Risk Management (at its simplest) is a "process for managing the risks that you can identify - and insuring those you can't manage." It uses accepted managerial techniques in order to preserve the assets of the organization or entity. The Risk Management process is comprised of two separate, but equally important components, risk control and risk financing.

Risk control involves identifying the organization's risk exposures, examining the various alternatives available to either eliminate those risks that can be eliminated or mitigate the effects of those that cannot be eliminated, selecting the best alternative or combination of alternatives to deal with each risk exposure, implementing the chosen techniques, and monitoring the process for the purpose of altering or improving the program based on the observed results. Risk financing is the method or methods by which an organization chooses to pay for those losses that result from the various risk exposures the organization faces.

Because the decision as to how to finance losses is generally left to the elected officials within each particular municipality, you (and your department's administrators) will have little control or influence on this aspect of the risk management function. The area where your efforts will best impact, where your influence and control will be felt, and noticed, is in the risk control arena. For this reason, the remainder of this article will focus on the risk control aspects of your municipality's overall risk management program.

Definitions Terms to Know

Before proceeding further, it is important that we all know and understand the terms and their meanings, as used frequently within the risk management profession.

- **EXPOSURE:** An exposure is any circumstance, item or situation that has the potential to cause a loss.
- **LOSS:** An actual expenditure as a result of an incident. An expenditure does not necessarily require a monetary outlay. The lost service of an employee is a loss.
- **RISK:** The degree of likelihood that a loss will occur.
- **HAZARD:** A condition or situation that has a high probability of causing a loss.
- **INCIDENT:** An occurrence with a potential for a resulting loss.
- **CLAIM:** A formal notification that an incident has occurred.
- **LIABILITY LOSS:** A loss arising when an individual or organization files suit alleging wrongdoing. A loss is incurred whenever funds are expended as a result of the lawsuit to investigate or defend the suit, and to pay a settlement, judgment or award whether the suit has merit or not. A loss results irrespective of any judgment or award.

Dispelling the Myth

All too often, people mistakenly believe that risk management is something created by, and for the benefit of, insurance companies. Nothing is further from the truth. Controlling risk is a management function, created by management to reduce its need for, or reliance on, traditional commercial insurance companies as the sole means of paying for losses.

In fact, most professional risk managers judge the success of their efforts based on the amount of insurance they are forced to purchase after implementing their program. The less insurance they need, the more successful their efforts. The theory is that although risk cannot be entirely eliminated, the frequency and severity of those losses that do occur can be minimized. This, in turn, allows the organization to finance losses by alternative methods such as retaining them rather than by paying the seemingly exorbitant premiums charged by traditional commercial insurers. The entity can invest the monies saved or use them to grow and expand the organization. This philosophy is completely compatible with the needs of municipal government. With more tax dollars available, the municipality can more effectively, with increased cost efficiency, provide the services the community has come to expect. The increased savings can be used to purchase patrol cars, increase manpower, pay for sidewalk reconstruction, or finance any other priority item.

Due to this increased awareness of the need to manage risk, many public entities are joining together to form risk management pools, which are very unlike traditional commercial insurers. Most pools are tax exempt, non-profit, quasi-governmental organizations that provide insurance type coverages and services by way of a joint arrangement. Participating municipalities "pool" their funds to cover each other's losses by group purchase of insurance coverage, thereby avoiding the prohibitive premium prices charged to individual municipalities by commercial insurers. Its very much like buying wholesale. For this reason, it is to everyone's benefit to contain and control losses. For risk control practices to provide maximum benefit to all pool members, all members must aggressively participate in the risk control process.

As a police trainer or administrator, you are a risk manager. You train for and manage the hundreds, or thousands, of interactions between your department's officers and the public, and you do this on a daily basis. These interactions all carry the potential for litigation, but more importantly they create the possibility of injury to your department's officers or citizens. It is your responsibility to train for and manage the daily activities of your department's personnel in such a manner as to maintain the lowest possible chance of loss. That's the bad news. The good news is that, if your municipality is a member of a risk management pool, you're not in this alone.

Until recently, police trainers and executives in pool member municipalities had no where to turn for advice, input, or direction on ways to manage their department's unique exposures. However, many pools are committed to providing the best possible coverage at the lowest possible price and believe that the risk control function will assist in achieving these goals. In some pooling organizations, this has led to the creation and funding of specific law

enforcement risk control efforts. Now, through the development of a strong, long term relationship with your law enforcement risk control specialists, many law enforcement trainers and administrators have a resource available through which information and recommendations can be obtained. Through this relationship many benefits and advantages can be achieved. Primary among these benefits is the opportunity to provide input that will affect the decisions made concerning the type and nature of services provided, specially tailored to your department's needs. Through a cooperative effort, by everyone working toward the same objective, you will greatly impact the amount of losses your department, and thus your pooling organization, incurs.

Where to Start?

Before you can take positive steps to reduce your risk exposures, you have to know what risks you face. You must analyze and identify the areas within your department's day to day operations that hold the potential for causing losses. This can be done in a variety of ways, many of which your law enforcement risk control specialists are ready and able to assist you with. Exposures can be identified by examining past loss experience and histories, on-site surveys, questionnaires, and by consulting with experts both from inside and outside your department. The identification process is the most important step in any concerted risk control program.

Of the various identification techniques available, on-site risk assessment surveys conducted by your pool's law enforcement risk control staff members, and a review of loss "runs" or histories provide the greatest amount of insight into those exposures unique to the delivery of police services, and identify trends or patterns within your department that may be cause for concern. Loss histories, which can be provided by most pooling organizations, document not only the severity (cost) of past losses, but the frequency with which they occur. If your agency or department does not have a significant history of losses, much valuable information can be gleaned from examining loss histories of comparable agencies or municipalities.

Frequency vs. Severity

By looking at past occurrences, we frequently can predict future events. By examining how frequently a loss causing situation has occurred in the past, we can predict with a certain degree of accuracy how often it will occur in the future. By reviewing the cost, or severity, of prior losses we can make an informed decision as to which conditions deserve priority attention and how best to finance the larger losses.

When reviewing loss histories you will quickly discover that, fortunately, there is usually an inverse relationship between frequency and severity. Those events that occur most frequently tend to be less severe in nature. Conversely, the most severe incidents occur much less frequently. With enough experience, or history, an analysis will further show that based on the frequency with which events occur a reasonably accurate forecast as to the severity of future losses can be made. That's the good news. The bad news is this creates another problem that police trainers and executives must deal with.

Statistically we know that frequency predicts severity. The issue, then, becomes one of foreseeability. If an event is predictable, is its future occurrence foreseeable, in a legal sense? And, if it's foreseeable, do we have a duty to act? AND, if we fail to act, are we behaving in a negligent manner? The answer to all of these questions is most probably Yes!

The courts often refer to this as being on "notice". Stated simply, you knew, or should have known, that a particular event or occurrence would take place. Courts have further ruled that if the need to take action is obvious, failure to act demonstrates a "deliberate indifference" towards the civil rights effected citizens. In other words, if something is foreseeable, if it is predictable, if it is likely to occur, it cannot be ignored as a potential problem.

Beyond the potential for litigation when a critical situation is left unresolved, is the likelihood of officer injury as a direct result of a department s failure to deal with such a situation (lack of or improper training is a good example). Not only do sound risk control practices insure a higher level of officer safety and result in cost savings to the municipality, but they are, in some instances, required by contemporary court decisions.

Risk Control Techniques

Once your risk exposures are identified, the next step is to choose the technique, or combination of techniques, best suited to effectively eliminate or control the exposure. There are five basic risk control techniques. Some can produce the desired results in and of themselves, others work best when used in combination, dependent on the particular exposure being dealt with. These five basic techniques are defined here:

RISK AVOIDANCE: Voluntarily choosing to no longer participate in the activity that creates or causes the loss. If you no longer provide the service or perform the function that created the loss exposure in the first place, you are no longer faced with the exposure. Examples of risk avoidance would include disbanding a SWAT team or canine unit, refusing to allow civilian ride-alongs in patrol cars, prohibiting misdemeanor pursuits, or a prohibition on the carrying of blackjacks or sap gloves.

For law enforcement, risk avoidance is not always an option. There are some things we just have to do, but it is nonetheless a desirable technique where its implementation does not significantly interfere with the delivery of vital and necessary police services.

PREVENTION OF LOSSES: Prevention involves measures or activities undertaken before a loss occurs, in an attempt to prevent the loss causing event from happening, or to render its impact less significant. Examples of preventive measures are the creation and implementation of sound policies that provide appropriate guidance to line level officers, continuous and on-going in-service training, patrol cars equipped with prisoner screens, and the issuance of latex gloves for the prevention of infection. The primary objective of loss prevention is to reduce the frequency with which the loss causing event occurs.

REDUCTION OF LOSSES: Reduction techniques can be implemented either before or after a particular loss occurs, in an attempt to reduce the amount of the loss or damages that may result. Sprinkler systems, fire extinguishers, soft body armor, and vehicle safety belts

are examples of reduction measures. These activities are intended to minimize the potential severity of loss. They do not prevent the loss causing event from occurring.

SEGREGATION OF RESOURCES: This technique actually consists of two separate elements duplication and separation, both having substantially the same goal: to segregate the agency's resources so that no one event can significantly impair the overall operation of the organization. Basically, segregation involves not placing all your eggs in one basket.

Duplication involves the use or creation of spares or backups, to be used only in the event the primary or original item is damaged or destroyed. Examples of duplication are tape backups of computerized data, spare patrol cars left in reserve, or an Emergency Operations Center (EOC) housed in another location that is only utilized if a power failure or natural disaster renders the primary communications facility inoperable. These items for the most part sit, unused, until after a loss occurs. Duplication efforts are intended to reduce the severity of potential losses because the department can still function, although possibly with less efficiency.

Separation is similar to duplication in that facilities, operations or items are duplicated in other locations. The difference is that these facilities or items are used on a daily basis. Examples of separation would be the creation of precincts or mini-stations that provide full service on a daily basis, and can serve to take up the slack in the event the primary location becomes disabled or inoperable. Separation also targets potential severity, but because of its daily usage, can actually increase the frequency of losses.

TRANSFER OF RISK: Transfer techniques are used to transfer, or move, the risk from one party to another. The most common examples of transfer strategies are the use of waiver forms, hold harmless agreements, insurance policies, and contracting with others for services such as prisoner transports or lodging. Ideally, to receive maximum benefit from transfer arrangements, the organization strives to transfer both legal and financial responsibilities for an incurred loss, although this is not always possible.

Implementing an Effective Risk Control Program

With an understanding of risk control fundamentals it is now possible for you, the police trainer or executive, to begin to design and implement a risk control program tailored to the needs of your individual department or agency. When planning how best to implement your program, it's important that you never lose sight of the fact that effective risk control practices involve more than just litigation avoidance. Of primary importance is officer safety and survival. A program that is founded on this premise will not only encourage officers to work safer and smarter, but will also, because of an obvious overlap in the issues that create both injury and liability, significantly impact liability concerns.

While researching the losses incurred by your department you will probably find that officers are getting hurt in the process of creating liability. The same things that cause officers to get hurt cause many of the civil suits we are forced to defend. Police officers are routinely involved in inherently dangerous situations, they carry a variety of weapons that can injure or kill, they drive cars at high speeds, and they have to take violent or resistive subjects into

custody. All of these activities can result in officer injury or litigation. It is entirely that a concentrated effort to reduce the potential for officer injury will positively influence your liability exposures. The law enforcement profession has, however, routinely placed a greater emphasis on avoiding liability. Not only has this failed to work, but it has also resulted in the loss of the valuable service of some of our best and brightest officers. We must, therefore, shift our emphasis, and implement a risk control program based on a top-down initiative. All levels within the agency, beginning with the chief executive, must be sold on the need and value of such a program, and encouraged to implement and practice sound risk control measures in all of their daily encounters with the public.

Police executives, supervisors, and line officers must feel a sense of ownership in the program. They must all feel they have participated in, or been allowed the opportunity to provide input into, the decision making process that led to the development and implementation of the program.

At the executive level, managers must willingly take responsibility for oversight and control of the program by developing sound procedural documents and by providing crucial in-service training in critical skills areas, and supervisory training to the agency's middle level managers.

At the supervisory level, employees must accept responsibility for oversight of line officers' daily activities to ensure that they conform to department policy, and are performed in a manner consistent with the agency's approved training. Supervisors must also communicate with police executives concerning the effectiveness, or continued feasibility, of the chosen techniques, policies, training, or programs.

Finally, if risk control techniques are to be effective, line level officers need to believe in the principles on which they are founded, so that the basic concepts are appropriately translated to the streets. They must understand the need for and comply with requirements to report all relevant and important data, so that activities can be monitored and measured against the intended goals of the risk control program. Without the line officer's feedback, it is impossible to monitor the risk control program and make necessary and appropriate adjustments to enhance and improve it.

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Strategic Planning

A Complete
Strategic Planning Solution



Performance Objectives:

- **Identify various steps in the strategic planning process**
- **Develop communication strategies to promote the planning process**
- **Discuss critical thinking**
- **Discuss the importance of projections**

What is Strategic Planning

An upper management-initiated process that sets specific goals

Identifies measurable steps for a division(s) or entire organization taking into account personnel and budgetary resources

A future-oriented process that deliberately anticipates planned change for an organization over a period of time, usually two to five year

Examples of strategic planning:

- **Community Oriented Policing (C.O.P.)**
- **CompStat**
- **Intelligence-Led Policing (I.L.P.)**

They are used by community groups, government departments, organizations, and agencies to develop a blueprint for action and change.

They should be community based, inclusive and participatory to allow for maximum stakeholder involvement and input.

Benefits of Strategic Planning

- **Defines mission, vision, & values**
- **Establishes realistic goals, objectives & strategies**
- **Ensures effective use of resources**
- **Provides base to measure progress**
- **Develops consensus on future direction**
- **Builds strong teams**
- **Solves major problems**

Top Three Reasons for having a Strategic Plan

- 1. Commitment to meeting community demands**
- 2. Interest in reducing crime**
- 3. Letting rank-and-file officers know what the administration and community expect of them.**

Other Reasons

- **Change**
- **Renewal**
- **Funding requirements**
- **Financial forecasting**
- **Mandate**
- **Build consensus**
- **Improve staff and board relations**
- **Develop ownership**
- **Build community support**

Strategic Planning is NOT about

- **What is wrong or how to fix it**

It is about

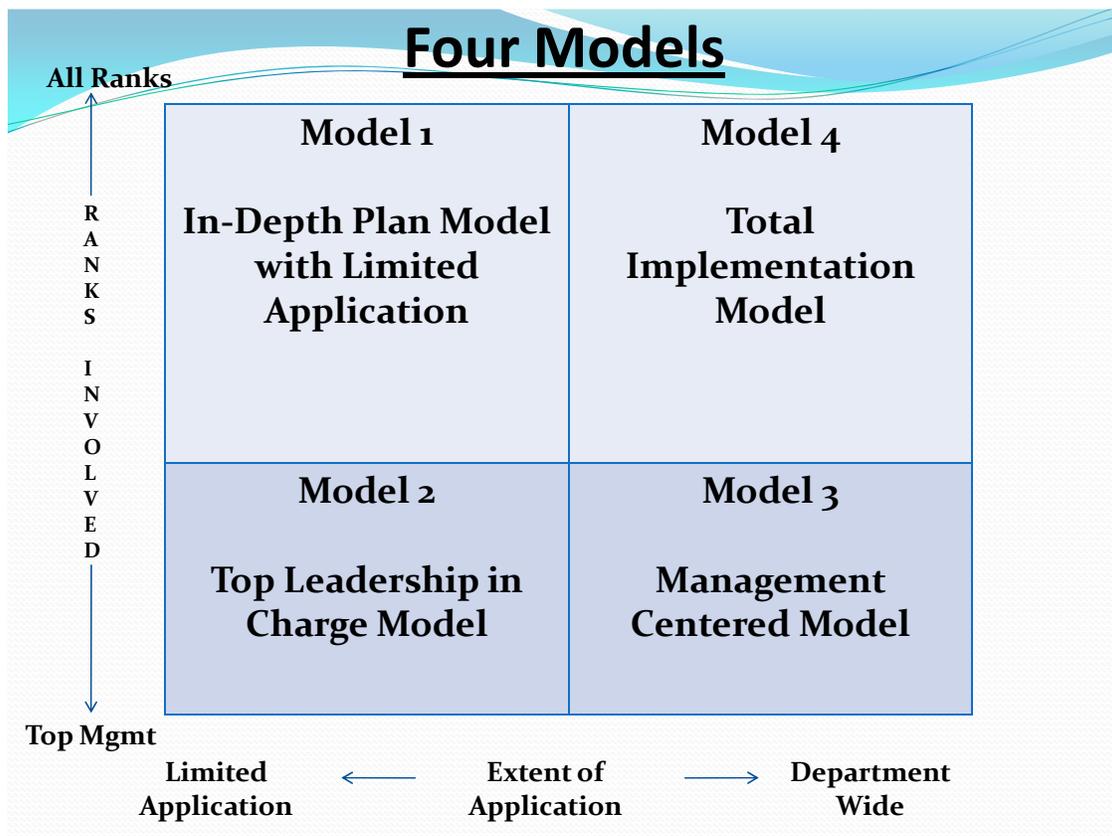
What can we do better or what change or challenges will improve our service

Major Findings

- Majority of large agencies have strategic plans
- Popular sources for learning about the implementation of a strategic plan are other agencies and community surveys
- 7 month average to develop a strategic plan
- An agency's chief executive or its command staff is responsible for the implementation
- Major strength is a comprehensive approach to planned change
- Lack of resources the greatest challenge to implement the plan
- There is no one best approach
- Personnel changes at the executive level reduces the likelihood that an existing strategic plan will succeed
- Major unexpected events reduce the likelihood of the successful implementation

Two Dimensions to a Strategic Plan

1. Width – the extent of coverage under strategic plan (units involved);
2. Depth – the extent of hierarchical involvement in strategic plan (ranks involved)



Developing the Plan

- **Mission** – Core purpose, presented in a clear, short statement
- **Vision** – What is your agency’s vision of excellence
- **Values**–What are the principles, standards, and actions considered worthwhile
- **Strategic Analysis** – Environmental Scan
 - Gathering of information
 - Analysis and interpretation
 - Application
- **SWOTT analysis** (Strengths, weaknesses, opportunities, threats, trends)
 - ✓ **Strengths** - Internal positive things about the organization
 - What does the community see as your strengths?
 - ✓ **Weaknesses**
 - What are some weaknesses in the organization?
 - What does the community see as your weaknesses?

-
✓ **Opportunities**

- **What are some opportunities in your agency?**
- **What are some opportunities within your community?**

✓ **Threats**

- **What are some issues facing the organization?**
- **What are some technology issues that face the organization?**

✓ **Trends**

- **What are some of the national trends?**
- **What are some of the regional trends?**

- **Goals – Identify long-term outcomes to provide focus for the planning**
- **Strategies – Outline how you will achieve your goals**
- **Objectives – Identify specific, measurable results produced while implementing strategies**
 - **Goals and objectives should be SMARTER (Specific, measurable, acceptable, realistic, timed, extending, rewarding)**
- **Implementation – Tasks and timelines**
- **Funding – What is required to fund the goals in the plan**
- **Communicating the Plan – How will you communicate the plan to stakeholders**
- **Monitoring and Evaluation – Critical to the plan’s success and credibility**
- **Continuous Improvement**

Exercise

In a group setting, prepare a SWOTT analysis on your agency.

Strengths

❖ Internal positive things about the organization

1. _____
2. _____
3. _____
4. _____
5. _____

❖ What does the community see as your strengths?

1. _____
2. _____
3. _____
4. _____
5. _____

Weaknesses

❖ What are some weaknesses in the organization?

1. _____
2. _____
3. _____
4. _____

5. _____

❖ **What does the community see as your weaknesses?**

1. _____

2. _____

3. _____

4. _____

5. _____

Opportunities

❖ **What are some opportunities in your agency?**

1. _____

2. _____

3. _____

4. _____

5. _____

❖ **What are some opportunities within your community?**

1. _____

2. _____

3. _____

4. _____

5. _____

Threats

❖ **What are some issues facing the agency?**

1. _____

2. _____

3. _____

4. _____

5. _____

❖ **What are some technology issues that face the agency?**

1. _____

2. _____

3. _____

4. _____

5. _____

Trends

- ❖ What are some of the national trends? _____
- ❖ What are some of the regional trends? _____

Tools and Techniques

- **Appreciative Inquiry**
 - Effective for changing organizational culture
 - Based on 5-D model (Define, discovery, dream, design, deliver)
 - Open Space Technology
- **Public consultation**
 - Involve public and stakeholders in your planning process
 - Achieved through: interviews, meetings, open houses, websites
- **Public Meetings**
- **Focus Groups**
 - Provides opportunity to address specific issues
 - Provides opportunity for maximum participation
 - Provides maximum information I short period of time
- **Website Feedback**
 - Online survey
 - Online discussion paper to generate comments
- **Surveys**
 - Online survey
 - Community survey
 - Can be developed and administered locally
 - Can be conducted by firm specializing in surveys
 - Research
 - Focus groups, surveys
 - Literature review

Ten Keys to Successful Strategic Planning



-  1. A clear and comprehensive grasp of external opportunities and challenges (No, organization exists in a static environment).
 - Social, political and economic trends continually impact the demands for its services
 - Needs and community demographics are all subject to change
 - So too are methods for delivering programs and services
-  2. A realistic and comprehensive assessment of the organization's strengths and limitations
 - SWOTT analysis
 - Consideration of capabilities and strengths
 - Weaknesses and limitations
 - Information both subjective and objective must be gathered from a wide array of sources
-  3. An inclusive approach
 - All important stakeholder groups should have a voice
-  4. An empowered planning committee
 - Strategic planning should be a participatory undertaking
-  5. Involvement of senior leadership
 - Buy-in that goes above mere verbal endorsement is critical
-  6. Sharing of responsibility by board and staff members
-  7. Learning from best practices
-  8. Clear priorities and an implementation plan
-  9. Patience
-  10. A commitment to change
 - No matter how relevant its original mission, no organization can afford to shackle itself to the same goals, programs and operating methods year after year. Organizations must be prepared to change as extensively as conditions require

Phase 1: Formation of Strategic Plan

- ***Internal Methods***
 - **Command staff involvement**
 - **Middle Management Involvement**
 - **Rank-and-file officers participation**
 - **Civilian employee participation**
 - **Hiring an external consultant**

- ***External Methods***
 - **Community organization participation**
 - **Community resident participation**

- ***Methodological methods***
 - **Define mission and goals**
 - **Specify objectives and measures by using crime and other data sources**
 - **Set time frame for each goal and objective**
 - **Identify the designated person or team and budgetary needs**
 - **Participants' training**
 - **Modify performance evaluation to meet the requirement in the plan**

Phase 2: Implementation

- **Quarterly meetings to assess the progress**
- **Collect data as specified in the plan**
- **Analyze the data and produce monthly or quarterly updates**
- **Make sure all the participants are informed on the progress of the plan**

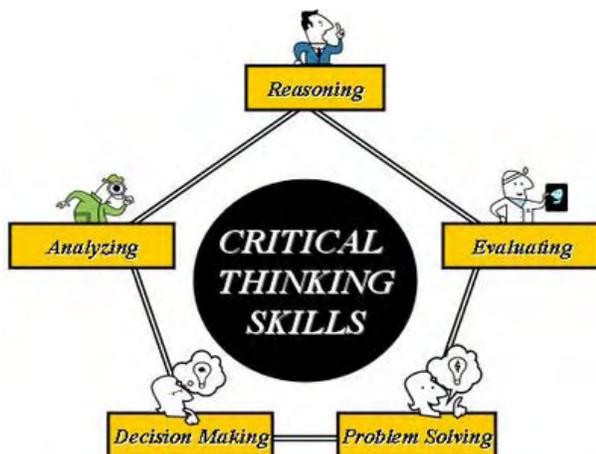
Phase 3: Annual Evaluation

- *Internal Methods*
 - Create data and document progress
 - Analyze data and assess attainment of each goal
 - Make reports available for community organizations and residents
 - Identify emerging issues in the process of implementation and make adjustments
 - Conduct employee surveys to assess the progress of change
- *External Methods*
 - Conduct citizen surveys to assess the effect of programs
- *Methodological Methods*
 - Frequency distribution and trend analysis
 - Correlations
 - Multi-causal analysis
 - Panel data analysis and time-series analysis

Three determining factors for a successful strategic plan:

1. Leadership Commitment
2. Plan for Unexpected Events
3. Management Style

Strategic Planning Needs Critical Thinking, Planning, & Projections

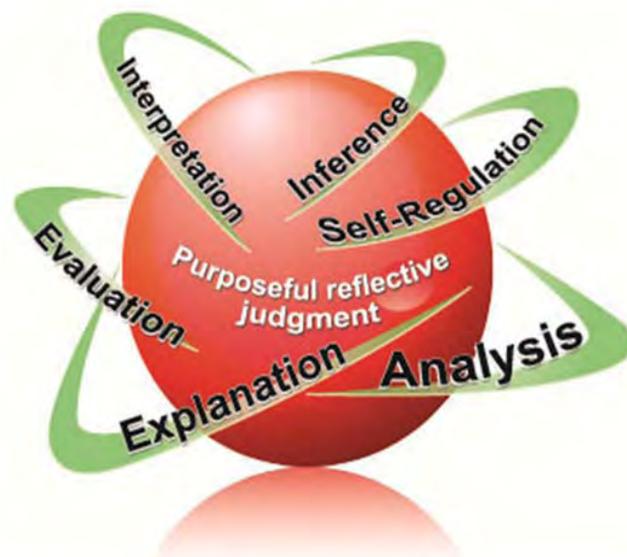


Critical thinking is skeptical without being cynical. It is open-minded without being wishy-washy. It is analytical without being nitpicky. Critical thinking can be decisive without being stubborn, evaluative without being judgmental, and forceful without being opinionated.

- **Critical thinking is thinking that is clear, precise, accurate, relevant, consistent & fair**
- **Critical thinking is self-directed, self-disciplined, self-monitored, & self-corrective that entails effective communication & problem-solving abilities**

Approaches to life of good critical thinkers:

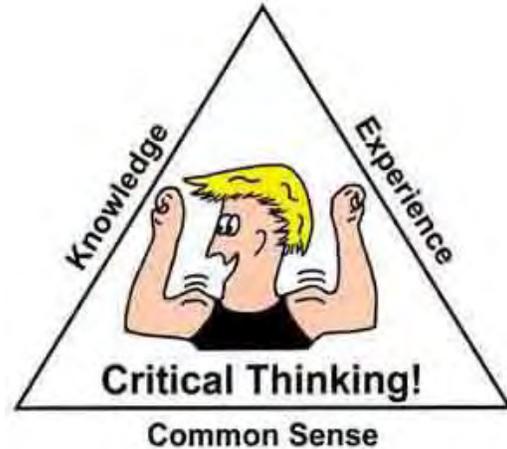
- **Inquisitiveness about a wide range of issues**
- **Concern to become & stay well-informed**
- **Alertness to opportunities to use Critical thinking**
- **Self confidence in their abilities to reason**
- **Open-mindedness about divergent world views**
- **Flexibility in considering alternative opinions**
- **Understanding the opinions of other people**
- **Fair-mindedness in appraising reasoning**
- **Honesty in facing one's own biases, prejudices, stereotypes, & egocentric tendencies**
- **Willingness to reconsider & revise views**
- **Clarity in stating questions or concerns**



Critical Thinking Requires:

- Interpretation
- Analysis
- Evaluation
- Inference
- Explanation
- Self-regulation

Critical Thinking Can Be Learned



Matt Stiehm - 04/11/2013

Strategic planning for small- and mid-sized departments

To prepare and plan for the future, a few business concepts should be introduced to our profession

Your law enforcement agency is still facing the same problems it faced last year and the year before — budget, planning, and development.

To prepare and plan for the future, a few business concepts should be introduced to our profession. If used correctly (or at times, at all), these can help your organization succeed and certainly weather this storm of uncertain budgets.

As law enforcement leaders move toward data-driven decisions, these processes will help prepare you for the fight (discussion) with your boss about eliminating or keeping a program, or introducing something new.

Organizational Assessments

First and foremost, you must understand where your organization is, what it needs to grow (assets, physical plant, deployment, training), and other areas of concern. This means that you need to take the time and conduct an internal organizational assessment.

With law enforcement departments fighting for tax dollars and budget against the roads, parks and recreation, fire department, general city office, and any other project that is planned for the upcoming year, the best way is to be prepared to argue how the money will be used. Your proverbial ducks should be in a row.

“Organizational Assessments are powerful tools for identifying an organization’s strengths and weaknesses. They are a critical starting point for initiating any type of organizational change” (Stark 2009).

The organizational assessment process should be an honest critique of your organization. This type of assessment is not a “bitch session” but a critical review of your shortcomings, and things you are doing well.

For those working in larger organizations, this assessment can be done by units, divisions, or shifts. There are a variety of ways you can conduct an organization assessment; the most simple thing that can be done is to review data from dispatch and records and compare year over year statistics, and look for any dramatic increases and/or extreme reduction and attempt to provide an answer.

But another option is to examine everything: training, deployment, crime areas, investigations, patrol, and office operations.

Compare miles driven by shift, training issues, contacts, calls for service, and any data point that you would like to know about.

Comprehensive Planning

Comprehensive planning is key to achieving success in any long range plan, complex idea, or project. The process itself predates the United States of America. Comprehensive planning was used in drafting of important documents like the Articles of Confederation and the Constitution.

The process is used by businesses, schools, and all levels of government. The plan is something that is real and prepares the organization[s] for the future (Becker & Kelly, 2000).

Planning is a rational way of preparing for the future. It typically involves the gathering and analysis of data, the examination of possible future trends, the consideration of alternative scenarios, some score of analysis of costs, and benefits...choosing a preferred scenario and plan for implementation. (Becker & Kelly, p.17)

Organizational change is pervasive today, as organizations struggle to adapt or face decline in the volatile environments of a global economic and political world. The many potent forces in these environments — competition, technological innovations, professionalism, and demographics, to name a few — shape the process of organizational adaptation.

As a result, organizations may shift focus, modify goals, restructure roles and responsibilities, and develop new forms.

Adaptive efforts such as these may be said to fall under the general rubric of redesign. (National Research Council Staff, 1997, p. 11)

Strategic Planning

The strategic plan provides for:

- 1.) Better informed, more timely decisions through continuous strategic thinking

- 2.) Clear direction to the organization on what the company will do, and perhaps more importantly, what it will not do
- 3.) Greater empowerment with clearly understood boundaries communicated to the entire organization

Departmental Implications

With a solid comprehensive plan, law enforcement agencies should be able to sustain current funding trends and quite possible weather the storm when lean times come.

For example with data driven information, departments can demonstrate how they improve safety within their community. Specific information regarding traffic enforcement, arrests, investigations, and services can be used to demonstrate how effective the law enforcement agency.

Once the department has started the planning process it prepares for community changes to include; demographic shifts, transit populations, tax decreases, and other problems that have recently confronted communities.

In Conclusion...

In these recent years, law enforcement funding has been difficult to forecast. Budgets are shrinking, grant opportunities are few and far between.

Preparing for the future through comprehensive planning, and strategic planning is key to long-lasting survival. Projecting when you will need to replace things and how to use money effectively is of vital importance.

Try to forecast for the future you will be surprised with what improvements and changes you will be able to prepare and plan for.

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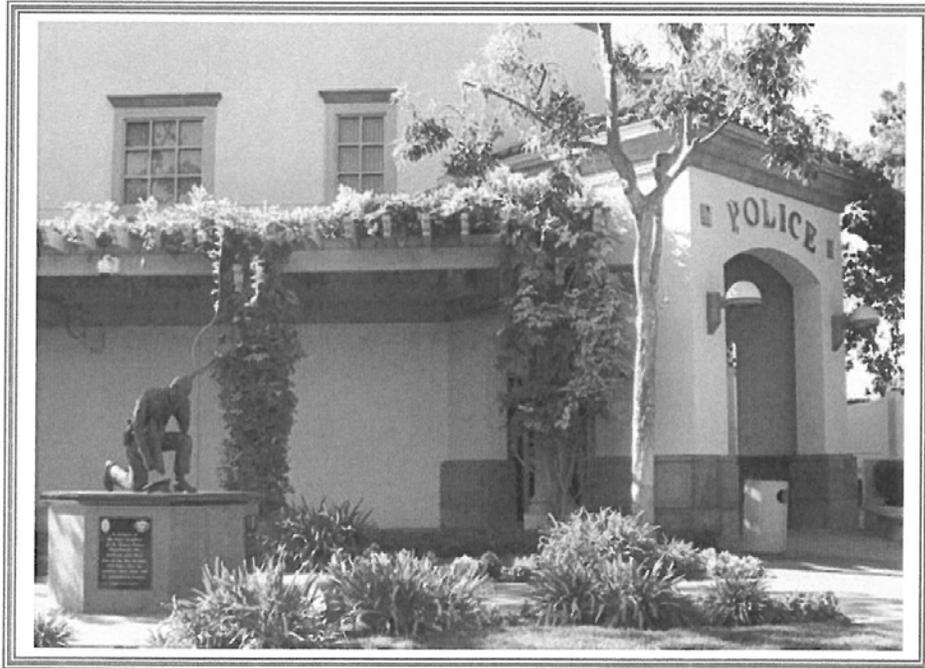
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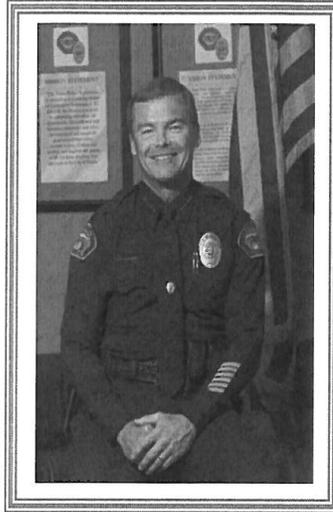
About the author

Dr. Matt Stiehm has received an Educational Doctorate from Argosy University, where the focus of his research was campus safety and security. He has served as a police officer in three states (CA, MN and NE), he keeps current on law enforcement trends. He currently is a member of ILEETA, MN Infragard, FBI LEEDS, an Associate Member of the IACP, Support Member of the MN Chiefs Association, the Midwestern Criminal Justice Association, and recently Police Executive Research Forum Subscribing Member. He is currently conducting some independent research projects into police use of force, campus public safety use of force, and general leadership trends.

Tustin Police Department
Strategic Plan
2012-2015



Chief's Message



For the past 85 years, the City of Tustin Police Department has proudly provided professional public safety services to the residents, business owners and visitors of the Tustin community. As we look forward to the years ahead, we are instantly faced with a number of challenges to overcome: shrinking budgets, rising crime rates and prisoner realignment to name a few. We recognize the compelling need to move forward as an organization despite the obstacles in our way, hence the creation of this Strategic Plan. If we fail to act on the future, we know the future will act on us.

Building on the successes of our last Strategic Plan 2006-2010, we learned from the experience gained in the planning process and can now appreciate the benefits of long range planning. The Strategic Plan provides our department with a framework from which we can make sound decisions and prepare our budget accordingly. The plan will act as a blueprint enabling us to meet the challenges of today and tomorrow; it is dynamic and will require regular evaluation to ensure its effectiveness.

As technology continues to advance, the role of law enforcement becomes more complicated and exciting at the same time. We will strive to provide our employees with the very latest in equipment and resources to increase both efficiency and effectiveness. In an effort to maximize our resources, we will look to alternate funding sources, such as grants and asset forfeiture, to finance these projects.

Tustin has a population of over 75,000 residents and continues to grow. With the projected development of the Tustin Legacy, we stand prepared to respond to the needs of a vibrant and diverse community. Understanding and respecting individuals and

families of various ethnic and cultural backgrounds is one of the cornerstones of our department values.

This plan is centered on three main goals for our department: Serving our Community, Serving our People, and Ensuring Resources and Technology. These goals were developed out of a comprehensive analysis of our strengths, limitations, opportunities and threats. Within each of those goals, our staff has diligently identified several specific strategies upon which success can be measured over the next four years. If the results are anything like we realized from the last strategic plan, then we are in for a busy and productive few years ahead. I have the utmost faith in our employees; they give of their time and talents to make Tustin one of the safest places in Orange County.

MISSION STATEMENT

The Tustin Police Department is committed to a policing model of Community Governance. To that end, the Mission is to work in partnership with other city departments, the residential and business community, and other governmental and non-profit agencies to reduce crime, provide a sense of safety and security and improve the quality of life for those who visit, live, and work in the City of Tustin.

VISION STATEMENT

It is our vision to make the City of Tustin and its neighborhoods the most livable and safest in the State of California by incorporating the components of Community Governance into our daily strategies and activities.

VALUES STATEMENT

For the Tustin Police Department to maintain public trust, we must constantly demonstrate that our partnership with the community will be objective and securely rooted in consistently applied ethical principles. As an organization, we propose to fairly and impartially carry out the Mission of the Department with **P.R.I.D.E.**

- **Partnership** -We take pride in developing relationships with the people we serve.
- **Respect** -We respect and value the dignity and worth of all persons, recognizing that diversity enriches our community.
- **Innovation** -We will remain an innovative and progressive organization through leadership, education and technology in partnership with the community we serve.
- **Dedication** -We hold an individual's right to constitutional protection sacred and place the highest value on preserving life. We are accountable and responsive to the community that we serve.
- **Excellence** - We will strive for excellence through the effective and efficient use of resources, and promote teamwork and the empowerment of employees at all levels.

Planning Process

"It is good to have an end to journey toward; but it is the journey that matters, in the end."
— *Ernest Hemingway*

On January 26th, 2012, Chief Jordan held a department-wide meeting to discuss the future of Tustin PD. During that meeting, the Chief highlighted many of the achievements from the last Strategic Plan 2006-2010. As a result of the diligent work of so many of our employees, we were able to accomplish nearly all of the objectives from that plan, the most significant being the complete restructuring of our organization to accommodate the Area Command policing system and the philosophy of Community Governance. The creation of new positions and units within the department, the development of several community outreach programs and the acquisition of state of the art law enforcement technology were just some of the successes of that plan; it was a major undertaking involving nearly every employee of this department. Although this current plan is not designed to be monumental in terms of organizational change, it focuses on refining the systems we have in place and searching for more efficient and effective methods for providing police services.

In order to properly plan for the future, it is necessary to take stock of the current situation. Chief Jordan discussed the strengths, weaknesses, opportunities and threats facing our agency, in order to properly guide the planning process. Although these are very challenging times, it is apparent Tustin is still a solid municipality with a bright future. Our goal is be poised in the right position to take advantage of future opportunities once the economy turns around and to be as fiscally responsible as possible, while still providing a high quality police service to the Tustin community.

The methodology for completion of this plan was similar to the last one. We created a Strategic Plan Steering Committee (SPSC), comprised of management level employees, with the mission of guiding the three main committees and respective sub-committees along the right path towards completion of the plan. The SPSC meets on a continuing basis to oversee all aspects of the plan's development and subsequent implementation.

Consistent with the Chief's shared vision, the Strategic Plan has been divided up into three main committees: Serving the Community, Serving the Employees and Ensuring Resources and Technology. The managers overseeing each of the committees quickly went to work and solicited volunteers, organized site visits, and formed sub-committees

to address the individual strategies within their goal framework. Those strategies are detailed in the Implementation Action Plan, included within the Strategic Plan.

A plan is only as useful as the paper upon which it is written, without specific and measurable milestones from which to assess its progress. We outlined several individual strategies under each of the three main goals. For each strategy, the SPSC assigned a responsible person(s), an estimated cost and a projected completion date. In order to ensure the various strategies are carried out, the SPSC will meet on a monthly basis to evaluate the progress and maintain accountability.

Goals and Objectives

"Our goals can only be reached through a vehicle of a plan, in which we must fervently believe, and upon which we must vigorously act. There is no other route to success." – Pablo Picasso

As a result of informal interviews, staff discussions and the Chief's vision, we developed three main goals for this plan: Serving the Community, Serving the People and Resources and Technology. For each of these goals, a committee was formed, co-chaired by two members of our management staff. Within each goal is a specific set of objectives, which were designed to be clear, realistic and with measurable results. Goals, by their nature, are on a multi-year timeline, while objectives are the means to achieve those goals. The objectives can vary in terms of resources needed and the time required to complete them. Following is a summary of the three goals and the corresponding objectives:

- Serving the Community
 - Creation of the Emergency Management Coordinator position
 - Creation of the Community Emergency Response Team (C.E.R.T.)
 - Upgrade of the Emergency Operations Center (E.O.C.)
 - Creation of the AB-109 Officer position within Special Operations
 - Restructuring of our Organizational Chart
 - Implementation of a Data-driven model of policing
 - Review of the Patrol Division schedule and leave guidelines
 - Target hardening of all TUSD schools (*Added Spring 2013*)
 - Lockdown training for TUSD personnel (*Added Spring 2013*)

- Serving the People
 - Enhancement of the recruiting process
 - Creation of a Recruitment Team
 - Creation of a Workplace Diversity Action Plan
 - Enhancement of the Specialty Assignment rotation process
 - Review of the Disciplinary process
 - Creation of a Leadership/Succession Plan
 - Evaluation of the Training Matrix
 - Enhancement of the Employee Wellness Program
 - Evaluation of Special Equipment needs
 - Creation of a Rewards and Recognition program
 - Create Sergeants' Training Manual

- Employee Evaluation Process
- Resources and Technology
 - Implementation of an Automated Report Writer System
 - Enhancement of the Mobile Data Computers
 - Enhancement of the License Plate Recognition infrastructure
 - Purchase of a License Plate Recognition trailer
 - Maximization of building space
 - Establishment of a Social Media presence
 - Implementation of Digital Signage
 - Creation of an internal communication system (Wiki/Blog)
 - Implementation of Online Reporting for citizens
 - CALEA Reaccreditation
 - Upgrade the Command Response Vehicle (*Added Spring 2013*)

Implementation Action Plan

"I never worry about action, but only inaction" – Winston Churchill

Any strategic plan is only as effective as the subsequent method to put the plan into action. We have chosen to include the implementation action plan within this document to serve as a blueprint for staff members to make the goals and objectives of this plan a reality. Included in the implementation action plan are the specific objectives under each of the three goals, along with the responsible person(s), the projected completion dates and any associated costs, if applicable. As we move forward over the next few years, we can mark off the milestones as each one is achieved, thereby building momentum which will carry us through to the successful completion of the plan in 2015. Of course, there will be modifications made along the way, as this is a dynamic and evolving document, responding to the internal and external stimuli as necessary.

Committee #1 - Serving our Community

Co-chairs: Lt. Strain and Lt. Tarpley

Objective: 1.1 -Emergency Management Coordinator	Person(s) Responsible: Lt. Garaven / EMC Joe Meyers
Description: Emergency preparedness is a critical function of any police department and is one in which the public demands. As of July 2012, the police department officially oversees emergency management for the City. To that end, there is a need to create a new position within the organizational structure: Emergency Management Coordinator.	Status: <i>Completed</i> Position has been created in the "analyst" series and it has been filled by Joe Meyers.
Costs: Incidental set-up costs for workspace	Projected Completion Date: July 2012

Objective: 1.2 - C.E.R.T.	Person(s) Responsible: Lt. Garaven/EMC Joe Meyers
Description: A Community Emergency Response Team (C.E.R.T.) program will allow citizens to provide basic disaster response to the community. Students will be trained in basic fire safety, light search and rescue, team organization and disaster medical operations. Our EMC will partner with the Orange County Fire Authority to coordinate two sessions per year.	Status: <i>In research phase</i> EMC Joe Meyers is completing a background report for Command Staff on starting a C.E.R.T. program.
Costs: TBD (Materials, equipment, and staff time for training)	Projected Completion Date: September 2013

Objective: 1.3 -Emergency Operations Center (EOC) upgrade	Person(s) Responsible: Lt. Garaven/EMC Joe Meyers
Description: Our current EOC is severely lacking in terms of space, equipment and connectivity for communications. The goal is to relocate the EOC to a more suitable venue and upgrade the necessary equipment to make it viable in the case of an emergency.	Status: <i>In research phase</i> EMC Meyers is conducting a full audit of our current EOC and its capabilities. From there, recommendations will be made to staff.
Costs: TBD	Projected Completion Date: December 2015

Objective: 1.4 - AB109 position	Person(s) Responsible: Lt. Tarpley/Sgt. Brabeck
Description: In October of 2011, the State of California passed AB 109 - Prisoner Realignment, pushing the responsibility of monitoring "low-level" offenders down to the local level. We have a need to create a new position for a sworn officer in the Special Operations Division to specifically monitor all AB 109 offenders, drug, sex and arson registrants, as well as federal probationers and parolees.	Status: <i>Pending deployment</i> Currently, our patrol deployment takes priority. Due to early retirements and injured/light duty officers, we will reassess this position in Fall of 2013.
Costs: Initial set up costs include training, equipment and office space (computer, phone, etc.). These costs will be reimbursed via the County through the AB 109 protocol.	Projected Completion Date: September 2013

Objective: 1.5 – Organizational chart

Description: In an effort to maximize efficiency of staff resources, we will examine our organizational chart for potential movement based on internal needs and the needs of the Tustin community.

Costs: None

Person(s) Responsible:
Lt. Strain/Sgt. Pickney

Status: *Completed*

Two of the budgeted vacancies were removed from the Traffic Unit and redeployed in Special Operations. One will become the new AB109 officer and the other will ultimately be filled within General Investigations. The current average caseload for each GI detective is nearing critical capacity.

Projected Completion Date:
September 2012

Objective: 1.6 –Data-driven model of policing

Description: Research and implement a data-driven model of crime control similar to that of COMPSTAT. Using data to effectively and efficiently deploy our patrol resources is both cost-effective and appropriate, given our Community Governance policing philosophy.

Costs: Staff time only

Person(s) Responsible:
Lt. Strain/Sgt. Blair

Status: *In process*

We are currently testing phase II of the DDACTS model (Data Driven Approach to Crime and Traffic Safety) which utilizes both crime and traffic data to develop hot zones. By deploying our resources disproportionately within the hot zones, we should see reductions in crime rates over time.

Projected Completion Date:
February 2013

Objective: 1.7 –Patrol schedule/Leave guidelines

Description: The method by which leave requests are approved in the Patrol Division is somewhat inconsistent and can lead to low morale and potential "burn out." The objective is to develop a set of fair, consistent and predictable guidelines for both the employees submitting the leave requests and the supervisor evaluating those requests. Committee personnel will work with TPOA to develop these guidelines.

Costs: Staff time only

Person(s) Responsible:

Lt. Strain/Sgt. Bullock/TPOA Board Reps

Status: *In process*

Lt. Strain has met with reps from the TPOA board for initial discussions on this topic. Ultimately, a solution will meet departmental deployment needs and provide employees with a consistent process.

Projected Completion Date:
February 2013

Objective: 1.8 -Target Hardening of all TUSD Schools

Person(s) Responsible:
Lt. Strain/SRO Wright

Description: In the wake of the Newtown, Connecticut school shooting, a renewed focus on school security and target hardening is necessary and appropriate. Our SRO will work with TUSD security personnel to conduct threat assessments for all TUSD schools located in Tustin's jurisdiction, and provide suggestions for target hardening strategies. Additionally, our City Emergency Operations Plan will be updated with the latest TUSD information.

Status: *Completed*
SRO Wright worked with TUSD Security personnel to conduct on site threat assessments of all 24 TUSD schools

Costs: Staff time only

Projected Completion Date:
May 2013

Objective: 1.9 -Lockdown Training for TUSD Personnel

Person(s) Responsible:
Lt. Strain/SRO Wright

Description: Provide the latest and most effective lockdown and safety training for all TUSD staff members, including teachers, administrative staff, and security personnel. The objective is to provide this training to all 23 TUSD schools within Tustin's jurisdiction by the close of the 2013/14 school year.

Status: *In process*
TUSD has been presented with "Run, hide, fight" curriculum and is considering options. Training planned for August 2013

Costs: Staff time only

Projected Completion Date:
August 2013

Committee #2 – Serving our People
Co-chairs: Lt. Welch and Mgr. Novotny

Objective: 2.1 –Recruitment enhancement	Person(s) Responsible: Lt. Garaven/Sgt. Birozy
Description: In order to recruit and retain the very best employees, it has become necessary to focus on marketing and brand development for Tustin PD. Part of this objective will include the creation of a professionally done recruitment video, which can be played via the website and social media outlets. Additionally, we will purchase recruitment related equipment (presentation screens, backdrops, banners, etc.) to enhance our brand. Finally, PSD personnel will find new and innovative venues to market the PD, such as college campuses, military job fairs, etc.	Status: <i>In process</i> PSD has already purchased some new equipment for recruitment events, such as canopies and backdrops. They have also obtained bids from various video production companies for the recruitment video
Costs: Approximately \$20,000 (Video and other assorted equipment)	Projected Completion Date: June 2014

Objective: 2.2 –Recruitment team	Person(s) Responsible: Lt. Garaven/Sgt. Havourd
Description: The objective involves the creation of a Tustin PD Recruitment Team. This formalized group of employees from a cross section of the agency will be responsible for enhancing our recruitment efforts to attract the very best employees. This will be a collateral assignment and individuals on the team will report directly to the PSD Commander for direction. It is yet another opportunity for our employees to get involved and to have a direct impact on the future of the organization.	Status: <i>In process</i> The goal is to include this assignment in the annual interest memo for collateral assignments, conducted in May of each year.
Costs: Staff time only	Projected Completion Date: May 2013

Objective: 2.3 –Workplace diversity action plan	Person(s) Responsible: Lt. Garaven/Sgt. Birozy
Description: The creation of this plan will provide guidance and motivation in working towards a more diverse workforce. A diverse department, due to the various points of view, is a department with a much stronger capacity to understand issues, both internal and external, and respond effectively to those issues. Our goal is to have the make-up of our workforce reflect the diverse make-up of the Tustin community.	Status: <i>In process</i> A draft plan has been completed and is being reviewed at the staff level.
Costs: Staff time only	Projected Completion Date: November 2012

Objective: 2.4 –Specialty assignment rotation process	Person(s) Responsible: Lt. Garaven/Sgt. Birozy
Description: Examine our specialty assignment rotation process from both an internal and external perspective. Conduct an in-house survey of all employees looking for feedback and suggestions on how to improve the process. Informally survey some neighboring Orange County agencies for some potentially new and innovative ideas on how to ensure the process is fair, consistent and predictable.	Status: <i>Completed</i> Internal survey completed with extremely low response rate. External survey revealed our process is a good model compared to outside agencies. Committee recommends no change.
Costs: None	Projected Completion Date: September 2012

Objective: 2.5 –Disciplinary process	Person(s) Responsible: Lt. Garaven/Sgt. Birozy
Description: Examine our current disciplinary process, including our policy and procedures. Conduct an internal survey for feedback from the employees on how to make the system fair, consistent and predictable. Additionally, we need to assess Internal Affairs management systems available for better tracking and reporting of IAs.	Status: <i>In process</i> Internal survey completed with extremely low response rate. PSD staff in the process of evaluating IA management systems.
Costs: Approximately \$5,000 (IA management software)	Projected Completion Date: June 2013

Objective: 2.6 –Leadership/Succession plan	Person(s) Responsible: Capt. Lewis/Sgt. Quinn
Description: This is a carryover from our last Strategic Plan (2006-2010) and will therefore take priority in this current plan. It is critical to have a leadership/succession plan in place in order to effectively develop our own employees to move up in the organization as people leave. With retirement incentives, budget cutbacks and natural turnover, this plan is more important than ever before.	Status: <i>In process</i> Data collection in process. The committee is also reviewing sample plans from other police departments as a starting point.
Costs: Staff time only	Projected Completion Date: September 2013

Objective: 2.7 – Training matrix evaluation	Person(s) Responsible: Lt. Garaven / Sgt. Quinn
Description: Utilize the Training Committee to conduct a training needs assessment to review the training matrix for both currency and relevancy of training. This is a CALEA required audit to maintain accreditation status.	Status: <i>In process</i>
Costs: Staff time only	Projected Completion Date: Annually (October/November)

Objective: 2.8 – Employee wellness	Person(s) Responsible: Sgt. Pickney/Supv. Kanoti
Description: The Wellness Committee has been in place for several years; however it is in need of enhancement now that wellness is gaining more support from other City departments. There are two pieces to employee wellness: Physical and Nutrition, and Peer Support. Both committees work in concert with one another to provide our employees with the needed physical, emotional and mental support.	Status: <i>In process</i> Working with IT staff to add a section to the Intranet for nutrition/exercise related information sharing. Also, the Peer Support Team is currently recruiting new members.
Costs: Staff time only	Projected Completion Date: September 2013

Objective: 2.9 – Special equipment needs	Person(s) Responsible: Sgt. Havourd
Description: Technology in law enforcement, as in other industries, continues to evolve at an increasingly rapid rate. Requests for new types of equipment come from all directions and various units within the department. The need exists for the creation of a Special Equipment Committee, not unlike the Uniform Committee, where requests for new equipment and technology can be vetted and streamlined for staff analysis.	Status: <i>In process</i> Steps are being taken to form the committee and decide when and how often they should meet.
Costs: Staff time only	Projected Completion Date: January 2013

Objective: 2.10 - Rewards and recognition program

Person(s) Responsible:
Sgt. Quinn

Description: A rewards and recognition program should be implemented to help motivate employees and improve employee satisfaction at all levels. We should explore new ideas on how to properly reward and recognize the good work being done by our employees, both sworn and civilian. Some ideas include a Chief's Leadership Award, a Health and Wellness Award and biannual award ceremonies at pre-designated times.

Status: *In process*

Costs: Staff time only

Projected Completion Date:
January 2014

Objective: 2.11 - Create Sergeants' Training Manual

Person(s) Responsible:
Sgt. Pickney

Description: The learning curve for newly promoted sergeants is substantial and we need to provide them with the tools necessary for a successful transition into a formal leadership role. This manual will be chock full of valuable information and will serve as a reference guide as sergeants progress throughout their careers.

Status: *In process*
Sgt. Pickney has nearly completed the first draft of the manual and will share it with the leadership team for feedback.

Costs: Staff time only

Projected Completion Date:
January 2013

Objective: 2.12 - Employee Evaluation Process

Person(s) Responsible:
Lt. Garaven/Sgt. Blair

Description: Our current employee evaluation process, although satisfactory, has not been enhanced in several years. The goal is to create a new evaluation format which is less restrictive for the supervisor authoring the review. Additionally, we would like to build in a goal-setting feature to assist in leadership development and succession planning.

Status: *In process*
Sgt. Blair is researching evaluations from other agencies/organizations for ideas on how to improve our current system.

Costs: Staff time only

Projected Completion Date:
August 2013

Committee #3 - Resources and Technology
Co-chairs: Lt. Garaven and Mgr. Miller

<p>Objective: 3.1 - Automated report writing system</p> <p>Description: Automated report writing systems would greatly reduce the staff time associated with documenting a variety of incidents. By using technology in a way to streamline report writing in the field and coordinate interoperability with internal systems, we can minimize data entry and manual functions associated with police reports.</p> <p>Costs: Staff time only</p>	<p>Person(s) Responsible: Mgr. Miller/Sgt. Harper</p> <p>Status: <i>In process</i></p> <p>A beta system was launched in August of 2011, but there were several difficulties associated with the system. The difficulties were addressed by West Covina Service Group and currently the system is again in a testing phase. Pending further review of the current system, we will determine if the West Covina product will serve our needs or if other vendors need to be researched.</p> <p>Projected Completion Date: December 2012</p>
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<p>Objective: 3.2 - Mobile Data Computers enhancement</p> <p>Description: The software program, NetMotion, has been installed in all of the units allowing us to expand the computing experience and bring many features of the workstation desktop into police units. NetMotion allows us to remain CLETS compliant as all data transmission is encrypted and secured. The expanding applications are becoming limited by MDC capability and Internet performance.</p> <p>Costs: Approximately \$30,000 for RAM, 4G and T-1 upgrades. Unknown costs for CPU replacement at this time.</p>	<p>Person(s) Responsible: Mgr. Miller/Supv. Kanoti</p> <p>Status: <i>In process</i></p> <p>To maximize the efficiency of the MDCs, we are working on several upgrades. These upgrades include adding RAM, 4G LTE air cards, adding MPLS to our existing T-1 line and replacement of the CPU.</p> <p>Projected Completion Date: September 2014</p>
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<p>Objective: 3.3 - License Plate Recognition infrastructure enhancement</p> <p>Description: We have been using mobile LPR (license plate recognition) units mounted on our police vehicles for several years now with success. As we evaluated our LPR strategy, it became apparent there are several needs for the years ahead. From consolidating the different LPR platforms into one, to purchasing additional units for deployment, to integrating the software with the national database, there is much work to be done.</p> <p>Costs: Approximately \$50,000</p>	<p>Person(s) Responsible: Mgr. Miller/Supv. Kanoti</p> <p>Status: <i>In process</i></p> <p>We are currently phasing out the older PIPS system for the new Vigilant Video equipment.</p> <p>Projected Completion Date: October 2014</p>
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<p>Objective: 3.4 - License Plate Recognition trailer</p> <p>Description: Creating a LPR equipped trailer will enhance our ability to develop valuable intelligence in specific high crime areas throughout the City. The mobility will allow for a flexible and expeditious response to rising crime trends.</p> <p>Costs: Approximately \$20,000</p>	<p>Person(s) Responsible: Mgr. Miller/Supv. Kanoti</p> <p>Status: <i>In process</i></p> <p>Fleet Coordinator Tom North is gathering bids to build the trailer from the ground up.</p> <p>Projected Completion Date: April 2013</p>
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Objective: 3.5 - Building space maximization	Person(s) Responsible: Mgr. Miller/Sgt. Taylor
Description: This is an ongoing issue with a limited amount of space available and the potential to increase staff in the future. Eventually with the build-out of the Tustin Legacy, there will be a need to increase staff, whether sworn or civilian. We must be creative in how we utilize the current space available to be as efficient as possible, yet still provide a comfortable workspace for our employees. Costs: TBD	Status: <i>In process</i> We are exploring the possibility of upgrading the locker rooms, as well as some additional smaller remodeling projects. Projected Completion Date: January 2015

Objective: 3.6 - Social media presence	Person(s) Responsible: Capt. Celano/Lt. Garaven
Description: Social media is the new way to disseminate information to the community. Our goal is to establish and/or enhance our current mediums, such as Nixle, AlertOC and Facebook. We would also like to set up a PD Youtube account. We can upload any video footage for investigations, crime prevention and for special events. Twitter would be another social media platform for us to relay important information and to solicit feedback. Costs: Staff time only	Status: <i>Completed</i> As of July 2012, we have PD Facebook, Twitter, and YouTube accounts up and running. These sites are maintained by the Social Media Team and are guided by SOP AD300. Projected Completion Date: July 2012

Objective: 3.7 - Digital Signage	Person(s) Responsible: Capt. Celano/Crime Analyst, Howard
Description: The goal of digital signage is to improve the efficiency and effectiveness of internal communication regarding crime trends and quality of life issues by communicating information through enhanced technology on a 24/7 basis. This will improve the flow of information and aid in the presentation of training for department employees. The installation of video monitors strategically placed throughout all city-owned facilities will allow information sharing to the community as well. Costs: Approximately \$30,000	Status: <i>Research phase</i> Since this will involve other City departments, we will be working with IT staff on an enterprise-wide solution. Projected Completion Date: July 2013

Objective: 3.8 - Internal communication system (Wiki/Blog)	Person(s) Responsible: Lt. Strain/PSO Ortiz
Description: Communication is critical to the overall success of the Area Command system of policing. As officers work across all days and times of the week, it becomes necessary to find more effective communication tools to share information. There are systems available that can provide us with a framework to enhance our ability to communicate through either Wikis or Blogs. Costs: Approximately \$10,000 (\$3,500 annual maintenance)	Status: <i>In process</i> PSO Ortiz and CIO Breskin are proposing the use of Crime Free Multi-Housing Software, which may accomplish this objective. Projected Completion Date: November 2013

Objective: 3.9 - Online reporting	Person(s) Responsible: Mgr. Miller/Supv. Nguyen
Description: COPLOGIC's Desk Officer Online Reporting System (DORS) allows agencies to collect reports from citizens online so patrol and front desk officers will no longer complete reports in person. The system is intended to be used for reports with no suspect/lead information, primarily filed for insurance purposes. It provides a convenient way for community members to report minor incidents, crime tips, submit forms, etc., through an online service available 24 hours a day, 7 days a week.	Status: <i>In process</i> Supv. Nguyen will be proposing a contract of services with Coplogic to management staff for approval.
Costs: Approx. \$12,000 initial costs (\$7,000 annual maintenance)	Projected Completion Date: January 2013

Objective: 3.10 - CALEA reaccreditation	Person(s) Responsible: Mgr. Miller
Description: In April of 2014, we will go through our first reaccreditation process, which can, in some ways, be more difficult than the initial accreditation assessment. We have to ensure we have kept up all of our standard files, along with the associated proofs. This process is overseen by the Operations Support Division Manager, however it requires the efforts of all members of the management staff to make it happen.	Status: <i>In process</i> We are current on our proofs for most of the standards and the required reports for CALEA compliance.
Costs: Approximately \$5,000	Projected Completion Date: April 2014

Objective: 3.11 - Upgrade the Command Response Vehicle	Person(s) Responsible: Joe Meyers
Description: The Command Response Vehicle has not been upgraded since it was first built in 1999. The communication and emergency equipment inside the vehicle is beyond obsolete and needs upgrading. New MDCs and monitors, which are fully CAD equipped, will allow the Communications Unit to fully operate out of the Command Vehicle. Smart boards and flat screen TVs will allow for more effective emergency planning and Incident Command operations. Additionally, the purchase of a new generator will provide a constant and reliable source of energy for the vehicle.	Status: <i>Completed</i> Major upgrades completed. New MDCs with full CAD capability and SMARTboard have been installed. Only minor IT configurations remain.
Costs: Approximately \$20,000	Projected Completion Date: May 2013

Evaluation and Accountability

"Discipline is the bridge between goals and accomplishments" – Jim Rohn

A tremendous amount of time, effort and talent went into the formation of this plan. If we were to simply place the plan on a shelf and hope that it would come to fruition, we would most likely be disappointed with the results. With every good plan comes an equally effective evaluation and accountability strategy to ensure the successful completion of objectives. As we learned in the process of the last strategic plan for the department, there will be successes as well as failures along the way. We must constantly evaluate our progress and make adjustments where needed, based on economic conditions and the ever-changing world of law enforcement.

The Strategic Planning Steering Committee (SPSC) will meet monthly to monitor the overall progress of the plan, provide updated sub-committee reports and make adjustments as necessary. Additionally, the SPSC will provide quarterly update reports to the Chief of Police to keep him apprised of what has been accomplished and what still needs to be done. Additionally, once a year the Steering Committee will conduct a formal assessment of the Implementation Action Plan, make adjustments where necessary, and provide a report to the Chief of Police. In turn, this information can be utilized in the budget planning process to efficiently allocate our resources and guide our decision making. Ultimately, this will ensure the group stays on track and moving in a positive direction.

By assigning each objective to one or two members of the management team and linking that objective to a projected completion date, we have built in a mechanism for ownership and responsibility that will ultimately lead to successful results. Assignment without accountability is wholly ineffective and will therefore be avoided. In the end, the employees involved from creating the plan to achieving the individual objectives, will feel a sense of pride in their accomplishments and the department will be better for it.

Acknowledgements

"The first responsibility of a leader is to define reality. The last is to say thank you. In between, the leader is a servant" - Max de Pree

The Department would be remiss in not recognizing the hard work and dedication of the members of the Tustin Police Department who brought this plan to fruition. We acknowledge all of your valuable contributions and thank you for your participation in this Strategic Plan.

John Strain, Lieutenant	Thomas Tarpley, Lieutenant	Jeff Blair, Sergeant
Jim Brabeck, Sergeant	Ryan Coe, Police Officer	Sarah Fetterling, Police Officer
Luis Garcia, Sergeant	Chris Gerber, Police Officer	Steve Giddings, PSO
Brian Girgenti, Police Officer	Brian Greene, Sergeant	Dana Harper, Sergeant
John Hedges, Police Officer	Mike Jensen, Police Officer	Mike Lamoureux, Sergeant
David Maher, PSO	Matt Nunley, Police Officer	Marilyn Packer, PSO
Del Pickney, Sergeant	Matt Roque, Police Officer	David Skube, Police Officer
Jeff Taylor, Sergeant	Mike Van Cleve, Sergeant	Manny Arzate, Police Officer
Andy Birozy, Sergeant	Kristin Cappel, Comm. Officer	Penni Foley, Admin Secretary
Clark Galliher, Sergeant	Duane Havourd, Sergeant	Steve Lewis, Captain
Tom Lomeli, Police Officer	Elyse McNeff, Property Technician	Sharon McCann, Records Lead
Natalie Nguyen, Police Officer	Mary Novotny, Support Svcs. Manager	Sean Quinn, Sergeant
Melissa Trahan, Police Officer	Mark Sauerwein, Police Officer	Pat Welch, Lieutenant
Paul Garaven, Lieutenant	Kristin Miller, Support Svcs. Manager	Steve Brooks, Police Officer
Tom North, Fleet Coordinator	Suzanna Howard, Crime Analyst	Jeremy Laurich, Police Officer
Chuck Mitchell, Police Officer	Thao Nguyen, Records Lead	Stephanie Nichols, Sergeant
Ruby Ortiz, PSO	Lisa Polley, Comm. Supervisor	Brad Saunders, Police Officer
Jeff Singleton, Police Officer	Amanda Shanahan, Comm. Officer	Shirl Tyner, PSO Supervisor
Pam Hardacre, Police Officer	Ronald Sandoval, Police Officer	

This document is also available on our website at www.tustinpd.org. Printed copies can be obtained by contacting our Professional Standards Division.

Comments are welcome and can be submitted to:

Tustin Police Department
300 Centennial Way
Tustin, Ca. 92780



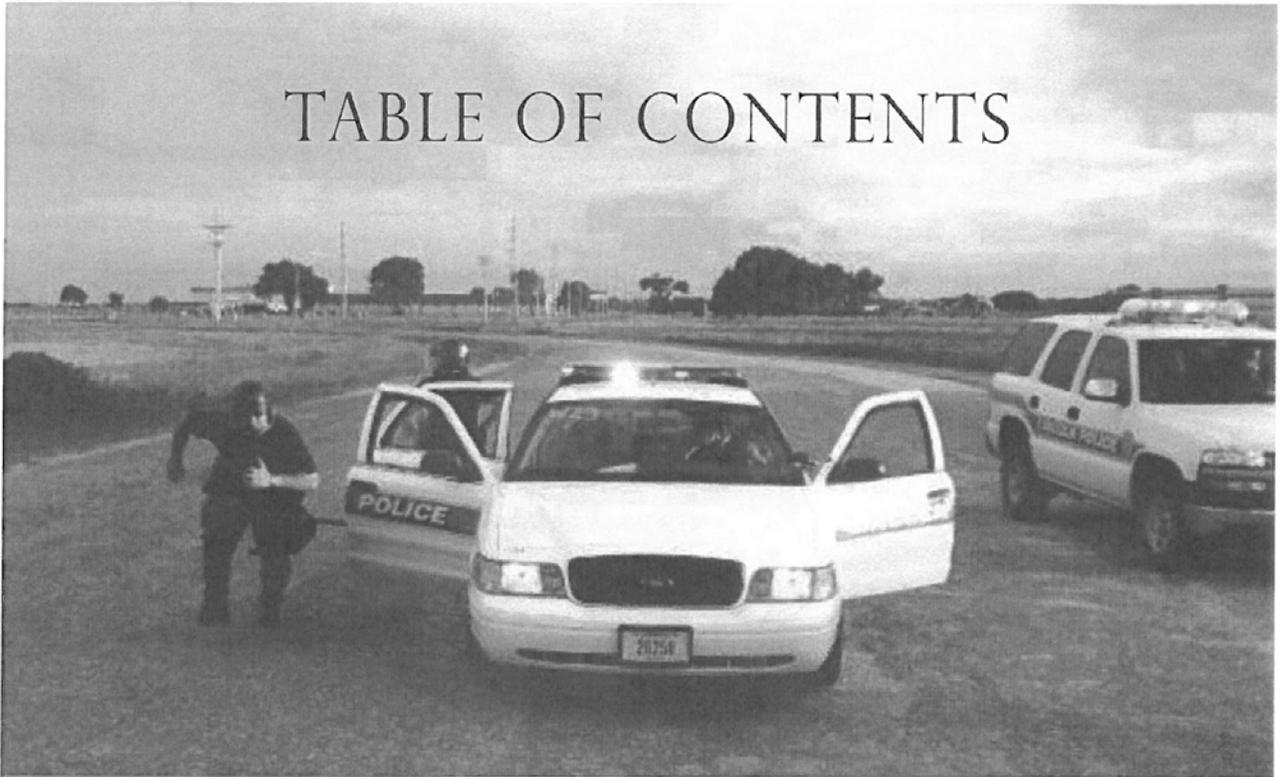
STRATEGIC PLAN

LINCOLN POLICE DEPARTMENT

2012-2016

2012

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Civilian Support Employees	102
Lincoln Population	258,379
Lancaster County Population	281,531
Annual Budget	\$36,150,119

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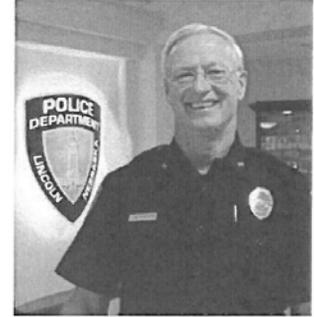
676 S 10th Street, Lincoln, Nebraska Telephone 402.441.7204

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MESSAGE FROM THE CHIEF

I am proud to present the Lincoln Police Department's 5 year strategic plan. This document represents the collaboration and input from a wide variety of community, government and employee participants who contributed to the final product.

I want to thank everyone involved in the development of this plan for their dedication and willingness to help create a strategic plan for the future of our organization.



The Lincoln Police Department prides itself in providing our community with innovative solutions and best practices in the delivery of law enforcement services. As a department we will continue to build on the accomplishments of our past while providing outstanding service to our community now and in the future.

Two of the primary themes of this plan are partnerships and collaboration. As an organization we are aware that improving the quality of life in our community will always be a collective effort and one which we will continue to support.

A strategic plan is a flexible document that will serve as a guide to our future efforts. As we implement this plan, we will be continuously measuring progress and evaluating outcomes to ensure we are meeting our goals. This strategic plan is our continuing pledge to provide services through Leadership, Performance and Dedication.


James Peschong, Chief of Police



MISSION, VALUES & GOALS



LIFE

We are committed to preserving life and enhancing the quality of life.

EMPOWERMENT

We are committed to an environment that encourages problem solving, both by ourselves and the community.

ACCOUNTABILITY

We are committed to being responsible for our actions and taking ownership of our work.

DEDICATION

We are committed to our community, our profession and to each other.

EDUCATION

We are committed to educating ourselves and our community about the causes, resolution, and prevention of crime and disorder.

RESPECT

We are committed to human dignity and the worth of all individuals.

“WE, THE MEMBERS OF THE LINCOLN POLICE DEPARTMENT, WORKING WITH ALL PEOPLE, ARE COMMITTED TO PROVIDING QUALITY POLICE SERVICES THAT PROMOTE A SAFE AND SECURE COMMUNITY.”

- ◆ Ensure that all persons may pursue their lawful activities without fear or impediment by maintaining public order.
- ◆ Reduce the impact of crime, fear of crime, and public disorder on the daily lives of Lincoln residents through patrol, crime prevention, criminal investigation, and law enforcement.
- ◆ Respond to calls for service and other public needs promptly in order to provide services which resolve problems and protect persons and property.
- ◆ Manage the fiscal, capital, information, and personnel resources of the department with efficiency and care.
- ◆ Develop and maintain open relationships and communications with other agencies, organizations, and the public at large.
- ◆ Protect safe and orderly transportation through traffic direction, law enforcement, and accident investigation.
- ◆ Recruit and retain the best possible employees, reflecting the diversity of our population.
- ◆ Provide employees with opportunities for meaningful work, challenging goals and growth throughout their career.



STRATEGIC PLAN

INTRODUCTION

ORGANIZATIONAL STRUCTURE

The Lincoln Police Department is led by Chief James Peschong. He was appointed to the position in 2011, during the formulation of this plan, when former Chief of Police Tom Casady was named Public Safety Director for the City of Lincoln.

Chief Peschong and Assistant Chief Brian Jackson oversee the two divisions of the department: operations and support.

The Operations Division consists of five community police teams, each headed by a captain. The division also includes duty commanders and the Traffic Enforcement Unit.

The Support Division is comprised of Criminal Investigations, Narcotics, Crime Analysis, Education & Personnel, Victim/Witness, Property, Records, Service Desk, Information Services, Forensics, Police Garage and Finance. Each of these units is headed by a captain or civilian manager.

The Lincoln Police Department is a nationally accredited agency through the Commission on Accreditation for Law Enforcement Agencies, CALEA. In 1989, LPD was the first agency in Nebraska to be accredited and the 103rd in the nation. The department has been re-accredited six times and during the last accreditation cycle was awarded "Meritorious" (accredited continuously for 15 years) and as a "Flagship Agency" (two continuous accreditations without corrections.)

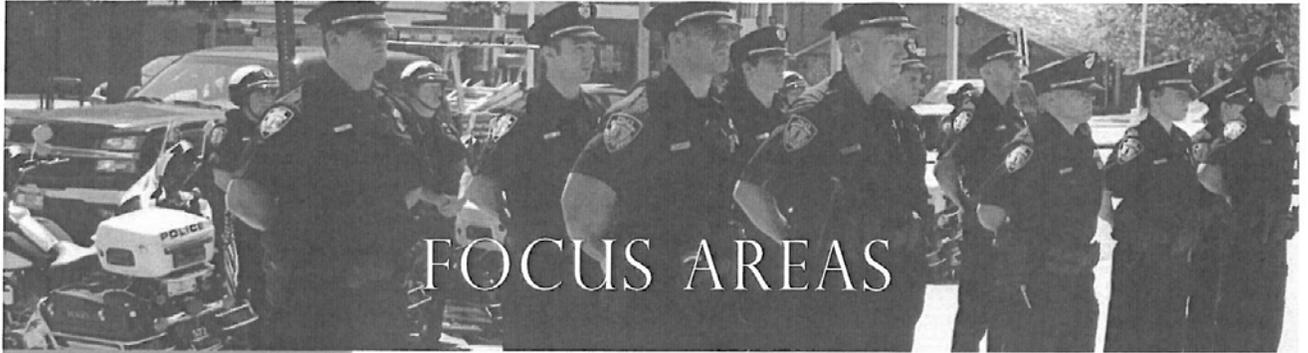
With a sworn staff of 320 and a civilian staff of 102, the Lincoln Police Department is considered a leader in technology and innovative strategies in problem solving. We have a strong commitment to community policing and intelligence led policing.

Sergeant Don Scheinost and Captain Joy Citta were assigned to create the department's strategic plan during 2011. Four committees were assembled consisting of commissioned, civilian and government employees along with community members. The committees met over several months discussing, researching and creating the LPD 2012 strategic plan.

The Strategic Plan consists of four focus areas, Equipment and Technology, Professional Development, Staffing and Facilities and Policing. Once implemented the 2012 Strategic Plan will serve as the vision for the growth and advancement of the Lincoln Police Department.

The next several years will be pivotal to the City of Lincoln and the Lincoln Police Department. A new arena, hotels and roadways will open in the Historic Haymarket district. The police department will face a turnover in management as a number of command staff reach retirement age and new commanders begin leading the department. Budgets will continue to be closely watched.

This Strategic Plan is a guideline to be used as the vision looking to the future of the department and the community we serve.



FOCUS AREAS

The twenty-seven members of the strategic planning committee were assigned to four subcommittees. They met at regular intervals to discuss critical issues and form plans for impact. Each group consisted of sworn officers, civilian personnel and members of the community. Together, they developed a common vision and a road map for the future success of the Lincoln Police Department. They recognized that, in order for this document to be meaningful, it needed to be attainable. True to this ideal, the elements contained within this plan are attainable goals which will assist the department in charting a course for the future.

EQUIPMENT & TECHNOLOGY

Captain Michon Morrow, Chair
Tyler Petit, University of Nebraska-Lincoln Student
Dixie Johnson, Northeast Team Citizen
Nancy Clark, Lincoln/Lancaster County Health Department
Sergeant Todd Beam, Lincoln Police
Officer Tracy Graham, Lincoln Police
Officer Joe Yindrick, Lincoln Police

PROFESSIONAL DEVELOPMENT

Sergeant Danny Reitan, Chair
Jeremy Walther, University of Nebraska-Lincoln Student
Dr. Linda Becker, Union College
JJ Mayer, Executive Secretary to the Chief of Police
Jon Carlson, Mayor's Aide
Marie Mathine, Crime Analysis Unit
Officer Andrew Ripley, Lincoln Police
Officer Andrew Vocasek, Lincoln Police

POLICING

Captain Jason Stille, Chair
Joshua Maguire, University of Nebraska-Lincoln Student
Vicki Lamb, Southwest Team Citizen
Shirley Terry, Lincoln/Lancaster County Health Department
Officer Tarvis Banks, Lincoln Police
Sergeant Chad Barrett, Lincoln Police

STAFFING & FACILITIES

Sergeant Teresa Hruza, Chair
Lance Johnson, University of Nebraska-Lincoln Student
Steve Langdon, Community Action Partnership of Lancaster and Saunders Counties
Rashi Jain, Lincoln Planning Department
Pat Wenzl, Police Garage Manager
Captain Jim Davidsaver, Lincoln Police
Officer Trevor Schmidt, Lincoln Police





EQUIPMENT & TECHNOLOGY



RECOMMENDATIONS

The Lincoln Police Department strives to be on the cutting edge with technology use and the ability to place information in the hands of officers and employees who use it in their daily work. Benefits to the community include web based crime mapping and most of the department's public information available to the public through any computer or smart phone.

RADIO SYSTEM

The current radio system became operational in 1988 and was upgraded in 1997, but is at its end of life. Parts are no longer available leaving the system in a compromising position should any part of the system fail. This system is used by all the city agencies but the critical usage is in the safety areas of 911, fire and police.

Recommendation: The radio system needs to be replaced with an 800MHz digital system. Updating the system will include upgrades to some portable radios and additional radio tower sites in Lincoln and Lancaster County. The cost estimate is \$15 to \$18 million dollars. Due to the current economic budget climate, replacing the radio system will require a bond issue. It is paramount to begin the process of educating the public on this need in the near future to obtain a positive result with the bond issue.

SWAT TEAM

SWAT continues to be activated in a variety of critical situations. They must maintain up-to-date equipment and training.

Recommendation: The SWAT team should have access to an armored vehicle, upgraded weapons, audio and video surveillance, monitoring equipment, radios and recording devices. They should have the most up-to-date body armor available.

TECHNOLOGY ASSIGNED TO A PERSON, NOT A PLACE

With the trend toward smaller cruisers, two officer cruiser assignments and the significant amount of information available to officers, it is relevant to address the placement of technology resources.

Recommendation: We have extensive policing applications, most notably P3i (Proactive Police Patrol Information) and on-line reports available for officers, but the devices necessary to utilize the technology are fixed and shared. The mobile data computers are bulky, creating space and safety issues for smaller vehicles and two officer cruisers. They are also costly to purchase and install. Numerous smaller devices are currently being tested for the P3i application. These devices are less costly and are portable. They can also be mounted in cruisers, saving space and allowing for the integration of Computer Aided Dispatch and P3i to improve officer safety, productivity and efficiency. The department should also research the ability to purchase and assign smaller, portable devices to individual officers.

RISING FUEL PRICES

The cost of fuel has continued to increase leaving the department to search for ways to economize on this necessary product.

Recommendation: Continue purchasing smaller, fuel efficient cruisers, include technology that allows the cruiser to fully function as their office. The use of air cards in Mobile Data Computers allows officers to work from their car as if they were in a station decreasing the need to travel. Two officer cruisers, Global Positioning Satellites and Automatic Vehicle Locators used by 911 dispatchers will allow assignment of the closest cruiser to a call for service. Consideration should be given to providing officers with their cruiser fuel use reports on a monthly basis.





EQUIPMENT & TECHNOLOGY



RECOMMENDATIONS

DIGITAL TECHNOLOGY

Advances in technology continue to permeate the entire department from bar coding in Property, on line reports in records, virtual evidence rooms and in-car digital cameras.

Recommendation: The technology available should be integrated into the department's daily functions. Property should have an electronic bar coding system, allowing for accurate documentation of chain of custody and reduce the space needed for storage.

Virtual evidence rooms allow other necessary agencies like city and county attorneys to view and access evidence, saving employee time retrieving and copying evidence for court.

In-car digital cameras provide an un-biased account of events as they unfold, increasing officer safety, providing evidence for prosecution and limiting department liability. Digital cameras should be expanded to all cruisers with the ability to cover several different angles. Wearable cameras carried by the officers when they leave the cruiser are also a highly recommended option. Consideration should be given to digital storage capacity and retrieval with policies and procedures in place to keep evidence secure.

BRIEFINGS

The Lincoln Police Department conducts over 10 employee briefings a day to off-site locations and offices. Because of varying shifts and assignments the information presented is repeated for several days possibly causing some of the information to drop off or new information to be missed.

Recommendation: The department needs to review different formats for acquiring the daily briefing information determining if there is a better way to provide quality and timely information.





PROFESSIONAL DEVELOPMENT



RECOMMENDATIONS

Professional development includes training and advancement with each having a direct effect on job satisfaction. Training resources and opportunities to learn are critical elements in maintaining a high level of service for the community.

All employees of the Lincoln Police Department, civilian and commissioned, play a vital role in meeting our mission. Preparing future leaders by keeping staff up to date with changing technology prepares the department to move into the future. Our employees are our most valuable assets. We must continue to invest in their ongoing development to ensure needs are met on the individual and department level. This investment provides a rewarding and healthy work environment which in turn drives our employees to seek excellence.

Overall quality of service will begin to deteriorate if employees spend all of their time just accomplishing their core duties and are not trained to be the next generation of supervisors and leaders.



INSTITUTIONAL KNOWLEDGE

There is a need to preserve and share institutional knowledge and best practices. When employees leave after many years of service a certain amount of expertise and experience may be lost, especially in some specialized investigative areas or key positions in the civilian and commissioned ranks.

Recommendation: Use of retired employees as instructors should be more fully explored. Lateral entry employees should also be recruited and considered as resources for new ideas or for identification of other available training options.

TRAINING

Fiscal constraints have affected the ability to participate in outside training other than specialized requirements.

Recommendation: Strive to create public/private partnerships that would facilitate training opportunities. Examples of this partnership could include the insurance industry for auto theft training, the banking industry for fraud training and the various universities for management or personnel development. Cross training with other agencies for critical incidents and disasters prepares staff to function effectively during larger incidents involving multiple entities. Seek additional funds through grant programs or partnering with community companies and organizations to fund training. Existing union contracts contain clauses for educational advancement for some civilian and commissioned employees. A restructuring of negotiated language could make funds available for individual employees to use.



PROFESSIONAL DEVELOPMENT



RECOMMENDATIONS

TRAINING AS A "REWARD"

Staffing factors, and the perception of training being approved as a 'reward' or based on length of service, have curtailed several opportunities for employees to participate in optional training. This has led to some frustration on the part of employees trying to improve their performances. Scheduled in-service sessions also impact pre-existing staffing levels. Time commitments from outside sources may also limit the availability to provide new and relevant training to employees.

Recommendation: Make training available through web-based computer programs, utilizing resources such as the Department of Homeland Security or Department of Justice programs for training not readily available locally. An on-line training library should be developed that can be accessed by all employees via the internal home page. These resources would allow employees to have training available at their fingertips at any time while still maintaining staffing levels on the street.

ADVANCEMENT PROGRAMS

There is little ability for an employee to experience positions of an advanced rank.

Recommendation: Creation of detailed Standard Operating Procedures (SOPs) for critical positions in the civilian and commissioned ranks is essential for passing on knowledge from those positions. Pre or post promotional process programs should be implemented to assist those seeking advanced positions. Mentoring or shadowing could be an important element of professional development. An example would include allowing those eligible for a promotion to spend a period of time with employees already in that position to begin to draw upon their experience prior to appointment.

SPECIAL ASSIGNMENTS

Advancement is not limited to promotion. Appointment to a specialized position is often a career goal for employees.

Recommendation: Temporary special assignments should continue to be utilized to either provide additional training or to prepare for appointment to a specialized position. Specialized positions should continue to rotate giving employees opportunities in different areas of the department.

Other Recommendations: Implement a practice of periodic meetings within and between teams or units to discuss needs, goals, obstacles and opportunities. These structured meetings provide the opportunity to offer guidance, gain feedback, and give wider insight into broader responsibilities. This is an important foundation for leadership development. Cross training should be examined as a way to provide an opportunity for advancement.





POLICING



RECOMMENDATIONS

The Lincoln Police Department's ability to deliver core police services through community based policing is part of the on-going partnership we have with the Lincoln community. For over 30 years we have involved the community in the way Lincoln is policed.

COMMUNITY BASED POLICING

We have continued to refine and implement additions to our community based policing philosophy since beginning Team Policing in 1975. Partnering with community groups and neighborhood associations has been central to our organizational goals and become part of the culture of the Lincoln Police Department.

Recommendation: Maintain the community policing model established over 30 years ago but continue to refine our response by including technology advances, best practices and innovative ideas. Community Based Policing works for Lincoln and we should continue this high level of partnership with the community.

DE-CENTRALIZED SUBSTATIONS

As the community continues to grow officers who start their shift by reporting to the main station have to travel long distances to reach their assigned areas and begin answering calls for service. The high costs of fuel and increased travel time to reach outlying team areas continues to increase response time.

Recommendation: The southeast portion of the city is one of the fastest growing areas in square miles and population. The department should plan for a full service team station in that quadrant of the city and evaluate the need to realign the geographic team boundaries to evenly distribute police resources based on need. Opportunities to combine this station with other public safety needs, such as a fire station, should be explored.



TECHNOLOGY

Technology continues to rapidly change the way we police allowing for more efficient policing and response to the community.

Recommendation: Citizens continue to gather information and communicate electronically. There is a need for the 911 call center to accept calls for service via text message and this method of communication will only increase in the coming years. With the proliferation of smart-phones and recording devices, there will be an increase in cellular phone photographs, video surveillance, and cellular phone video provided as evidence or sent to the police department at the onset of a report. There is a need to enhance our ability to examine and process this evidence as the current backlog on cases is only expected to increase.

The use of Global Positioning Satellites that can monitor the location of police vehicles and our portable radios should be explored. This can increase the safety of our officers and allow dispatch to send the closest units to a call for service. Potential benefits include lower response times and reduced fuel consumption.



POLICING



RECOMMENDATIONS

BUDGET CONSTRAINTS

Government budgets continue to require a close financial look for cost savings while continuing to provide quality services that promote a safe and secure community. Our community continues to list maintaining quality police services as a top priority.

Recommendation: Explore the use of two-officer response cars as a cost saving option. The test should evaluate times, number of calls for service and team areas.

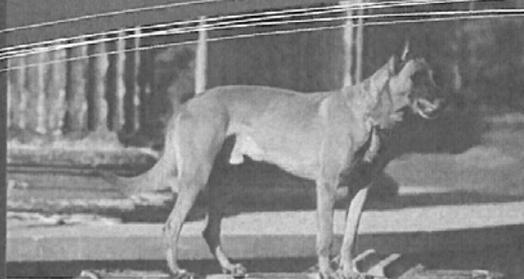
Increase the types of work and the areas volunteers/ interns can provide services on the department. Recruitment of long term skilled volunteers and interns for specific projects can increase the ability of the department to move forward without incurring additional costs.

The Lincoln Police Department should also explore the possibility of taking some belated or non-urgent calls for service over the phone. Examples of these types of calls are crimes without suspects, calls for service without physical evidence and runaways.





STAFFING & FACILITIES



RECOMMENDATIONS

The Lincoln Police Department will need to plan for future growth as the city continues to increase in size. As this growth takes place, additional personnel and off site facilities will need to be developed. The police garage, range and canine facilities are also in need of redevelopment or renovation.

POLICE GARAGE AND K STREET STORAGE

The police garage, built in 1930, at 635 J Street continues to require costly repairs. The garage increased it's workload two years ago when it started handling maintenance and repairs for most of the city's small vehicles. Storage at a city owned building located at 10th and K Streets utilized by LPD property is limited with no opportunity for expansion.

Recommendation: A new or remodeled garage facility in a central location will allow for efficient servicing of department and city vehicles. Combining the garage with additional storage for LPD property eases the growing storage problem.

DE-CENTRALIZED SUBSTATIONS

As the city continues to grow in population and square miles additional decentralized police substations or stand-alone Team Stations will be needed. De-centralized stations allow the department to continue providing neighborhoods with accessible police services and response times within 10 minutes to most calls for service

Recommendation: A cooperative effort between the Lincoln Police Department and other agencies should be examined. The Lincoln Police Department should work with other city agencies to develop shared decentralized locations throughout the city. A shared facility would reduce costs.



K-9 AND RANGE FACILITIES

LPD does not have a K-9 training facility for the weekly training required for the five canines and their handlers. The long term rental of the police firing range will end in the next couple of years forcing the department to move to a new location.

Recommendation: The development of a police firing range is the top facility priority for the department. Combining the location of a range, training classrooms and a training area for the department canines would be ideal. Partnering with other city or governmental agencies would reduce the initial building costs to the department and potentially allow for rental use providing additional revenue.

FORENSIC LAB

The demands of the Lincoln Police Department's Forensic Lab continue to increase.

Recommendation: Better facilities that can handle the future needs of the department should include the ability to handle more video evidence and blood spatter. The expansion of the forensic lab would allow LPD to accept contracted work from other departments creating a revenue stream to support on-going lab equipment upgrades.



STAFFING & FACILITIES



RECOMMENDATIONS

STAFFING

LPD has continued to operate with 1.29 officers per thousand population, one of the lowest officer / population ratios in the nation. Optimal staffing for the Lincoln Police Department is 1.5 officers per thousand citizens. However, under the current economic conditions this is not a reasonable goal. There are also several positions unique to law enforcement and a limited number of people are qualified to perform those functions, especially in our Technical Resources and Information Services Unit. There will be several retirements in the next few years that will impact the entire department.

Recommendation: The department should maintain their current staffing ratio. We should continue to review each position currently filled by sworn officers determining if the department would be best served by converting the position to civilian staff allowing the officer position to complement street staffing. The effects of retirements and ability to fill various key positions with qualified and skilled individuals should be kept in mind as a potentially problematic issue facing the Lincoln Police Department.





TEMPE

POLICE DEPARTMENT

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CALENDAR YEAR 2012 - 2014 STRATEGIC PLAN

Message from the Chief

As Chief of Police, I am pleased to present the Tempe Police Department's 2012-2014 Strategic Plan. Strategic planning is the foundation for the future of any organization and our plan will serve as the map to guide the Tempe Police Department for the next three years. Specifically, this plan will ensure that we are focused on the issues that are critical to fighting crime, keeping our community safe, providing a positive work environment for our employees and taking full advantage of technology.

This year's strategic planning process was the most inclusive to date and involved a variety of meetings that included city leaders, community members, and police employees from across the entire organization. As a result of this comprehensive process, our new Strategic Plan includes many new strategies that enhance our commitment to fighting crime and ensuring the safety of the Tempe community.

Additionally, our strategic goals have been updated to reflect how we will proactively address public safety issues while streamlining and optimizing our resources during these challenging financial times. The four main strategic goals that will guide the efforts of the department for the next three years include:

- Fighting Crime & Enhancing Community Safety
- Promoting Community Involvement
- Supporting & Developing Employees
- Enhancing Innovation & Technology

Reaching these goals will ensure that we can meet the demands of our growing, diverse, and dynamic community now and in the future. As Chief, my commitment to achieving the highest level of organizational excellence has not wavered. I am very proud of the hard work and effort that went into developing this plan and look forward to the successes we will achieve.

On behalf of the men and women of the Tempe Police Department who worked together to create our Strategic Plan, I would like to thank the residents of Tempe and our Mayor, Council and City Manager for their continued partnership and support. It is with this support that we will be able to implement our Strategic Plan and proactively address the current and future public safety needs of the Tempe community.

Respectfully,

Tom Ryff
Chief of Police



Prepared by the Strategic Planning, Analysis & Research Center

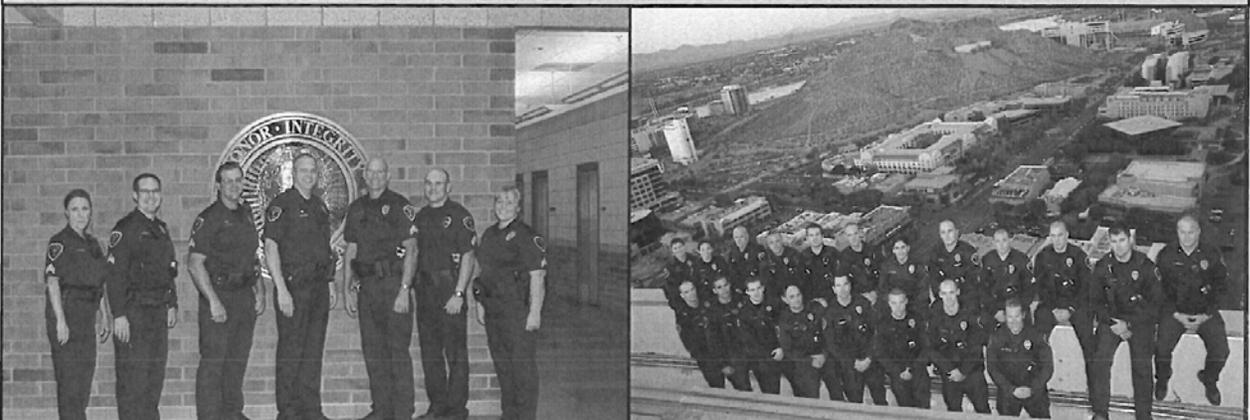
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THE STRATEGIC PLAN FRAMEWORK



Each year the Tempe Police Department conducts a comprehensive strategic planning process to update the strategic plan. This year's strategic planning process was redesigned to be even more inclusive of city and community priorities. The process involved four main components that included:

- City leader input: A full day retreat where police managers heard from city leaders about the current realities (opportunities and challenges) facing the city and the Police Department over the next three years. Guest speakers included the Mayor, the City Manager, and a variety of Department Directors from across the city.
- Community input: Several community forums took place and provided police managers with an opportunity to communicate with citizens and community representatives (including representatives from the Human Relations Commission, the Tempe Police Oversight Commission, the Chamber of Commerce, the Downtown Tempe Community, and the faith-based community) about the Police Department and acquire feedback on community priorities.
- Employee input: Police managers attended workgroup briefings and met with union representatives throughout the fall of 2011 to inform employees about the strategic planning process, discuss organizational issues, and gather employee ideas about the future priorities of the Department.
- Strategic planning retreat: Police managers attended a full day workshop where they reviewed the ideas from city leaders, the community, and employees. Additionally, as part of this retreat, the Department's mission and vision were reviewed, the strategic plan goals were updated, and new strategies were created and incorporated into the strategic plan.



STRATEGIC GOALS

The Department strategic goals serve to guide the activities and direction of the Department and provide a foundation for decision-making so we can continue to deliver the highest quality police service to the Tempe community for years to come. Our strategic plan is dynamic and flexible and is updated on an annual basis to reflect the new challenges and opportunities that face the Department.

Strategic Goal 1: Fight Crime & Enhance Community Safety

We are committed to fighting crime and increasing community safety in Tempe through the development of adaptive and proactive crime suppression strategies and intelligence-led policing that focuses on analyzing and predicting criminal activity to optimize the allocation of police resources.



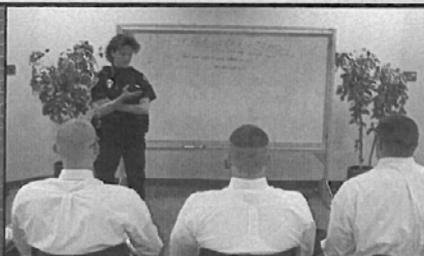
Strategic Goal 2: Promote Community Involvement

We are committed to further enhancing the delivery of our services by providing strong customer service, strengthening communications with the community, promptly addressing community concerns, and engaging in collaborative community partnerships.



Strategic Goal 3: Support & Develop Employees

We recognize the importance of supporting the needs of our employees in the performance of their duties by improving communication throughout the organization, being responsive to employees, providing training opportunities, and attracting and retaining a skilled and diverse group of employees.



Strategic Goal 4: Enhance Innovation & Technology

We will advance our organization by incorporating new technology as well as the best law enforcement practices into our operations, challenging the limits of traditional public safety methods, and successfully managing the diverse range of information technology systems and infrastructure.



GOAL 1: FIGHT CRIME & ENHANCE COMMUNITY SAFETY

Objective 1.1: Utilize Intelligence-Led Policing to Detect and Suppress Crime

We will adopt an intelligence-led policing philosophy that supports our crime prevention, enforcement, and suppression efforts. In support of this philosophy, we will centralize and improve existing systems for the gathering, analysis, and dissemination of crime and intelligence information.

- 1.1.1 Reduce Part I crime (i.e., Homicide, Rape, Robbery, Assault, Burglary, Larceny, Auto Theft, and Arson) in the City of Tempe by 5%.



Objective 1.2: Optimize and Deploy all Resources to Prevent and Suppress Crime

We will strategically allocate our resources towards preventing and suppressing crime. Moreover, we will ensure that all employees understand how their positions can serve to prevent and suppress crime in Tempe and that they are provided the necessary equipment to do all that they can to aid in this effort.

- 1.2.1 Develop a plan to implement investigative technology including mobile camera systems.
1.2.2 Develop a comprehensive multi-departmental traffic safety plan for the City of Tempe.

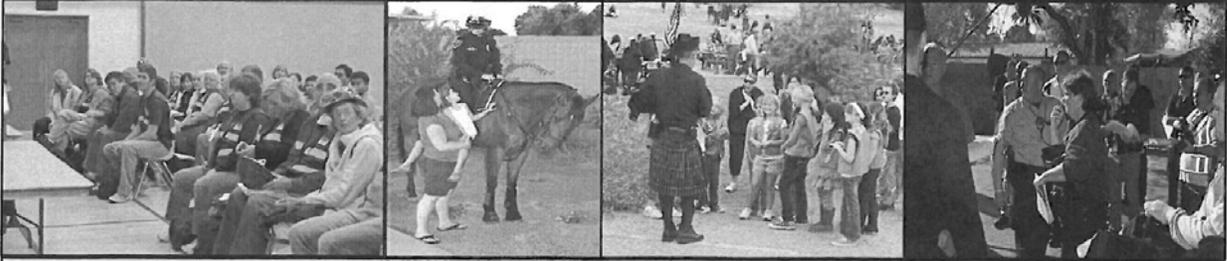


Objective 1.3: Enhance Proactive Policing

We will shift our focus to fight crime proactively. Specifically, we will promote proactive crime prevention and enforcement initiatives and we will strive to identify the origins of crime issues within Tempe to establish long-term solutions and apprehend those that violate the law.

- 1.3.1 Train all police employees on proactive policing and intelligence-led policing strategies.

GOAL 2: PROMOTE COMMUNITY INVOLVEMENT



Objective 2.1: Strengthen Communications with the Community

As our partners in resolving issues, our community members are key to our success. We will strive to seek and disseminate information to the residents, businesses, and fellow city workers through various methods in the most time effective and efficient manner possible. We will continue to improve our ability to recognize and respond to the changing needs of the community.

- 2.1.1 Develop a social media plan and increase social media use for communicating with the community.
- 2.1.2 Reengineer the Police Department website to make information easier for the community to access.
- 2.1.3 Provide citizens with interactive mechanisms to access and initiate public safety information including police reports.
- 2.1.4 Develop an interactive web portal for the public to submit investigative tips and leads.



Objective 2.2: Channel Effective Use of City and Community Resources

We recognize that we can maximize our resources, develop strong systems of implementation, and improve the services we deliver by working cooperatively and collaboratively with our city and community partners. To this end, we will improve existing relationships and promote the development of new city and community partnerships. We will also work to pool police, city, and community resources so that they can be used most effectively.

- 2.2.1 Identify specific partners with Arizona State University and develop a process to communicate regularly with them.
- 2.2.2 Implement a Tempe Police Department/Arizona State University public safety alert system.
- 2.2.3 Develop a private/public partnership program with the business community.



GOAL 3: SUPPORT & DEVELOP EMPLOYEES



Objective 3.1: Provide Training and Development Opportunities for Employees

We are committed to providing high quality training and career development opportunities that benefit both the employee and the Department. In addition to increasing access to internal and external training opportunities for all employees, we strive to develop systems of consistent training designed to reduce risk and increase employee safety. We also seek to enhance the abilities of our current supervisors and develop the future leaders of our organization.

- 3.1.1 Enhance attractiveness of promotional opportunities through leadership development.
- 3.1.2 Formalize and implement supervisor training program for all civilian and sworn supervisors.
- 3.1.3 Initiate e-performance employee evaluations assessing employees' support of crime suppression and other key organizational priorities.
- 3.1.4 Develop an executive management training seminar series.



Objective 3.2: Foster Communication and Cooperation Throughout the Organizations

We will develop mechanisms to increase information sharing, facilitate employee feedback, improve responsiveness, strengthen internal partnerships, and improve cooperation among employees. We seek to enhance working relationships across divisions, bureaus, and individuals, both sworn and civilian, throughout all levels of the Department.

- 3.2.1 Develop a process to streamline and centralize Department information to reduce information overload.
- 3.2.2 Develop an internal and external Department marketing plan.



GOAL 4: ENHANCE INNOVATION & TECHNOLOGY

Objective 4.1: Enhance Department Planning Efforts

Recognizing that day to day emergencies can interfere with planning, the Police Department is committed to setting aside the resources it needs to prepare for challenges and opportunities. We will continue to advance our organization forward and ensure that we stay one step ahead of future demands.

- 4.1.1 Develop a long-term organization-wide staffing plan.
- 4.1.2 Create a technology needs assessment/replacement calendar and technology operational plan that is tied to the CIP process.
- 4.1.3 Develop organization performance and workload measures.



Objective 4.2: Implement a Centralized Police Information Network (PIN)

The Department will work toward developing centralized and accessible information systems throughout the organization. This will result in a better dissemination of internal information throughout and across all levels and functions of the Department. In addition, centralized systems will streamline work processes, increase efficiencies, ensure data consistency, as well as promote enhanced information exchange systems.

- 4.2.1 Implement the mobile report entry and record management system report entry modules of the PIN system.
- 4.2.2 Implement the case management modules of the PIN system.
- 4.2.3 Implement the Arizona Criminal Justice Information System (ACJIS) interface of the PIN system.

Objective 4.3: Manage Information Technology

It is not enough to merely seek out and implement new technology. We as a Department also need to manage and sustain our technological infrastructure. A commitment to sustaining our technical resources will result in proactive planning and ensure that the appropriate resources are in place to maintain and support the Department's technology and ensure that employees have the resources they need to fully utilize technology now and in the future.

- 4.3.1 Develop in-house dedicated information technology and PIN system sustainment support.
- 4.3.2 Establish a process to maintain a Police Department geographic information system (GIS) and data layers.



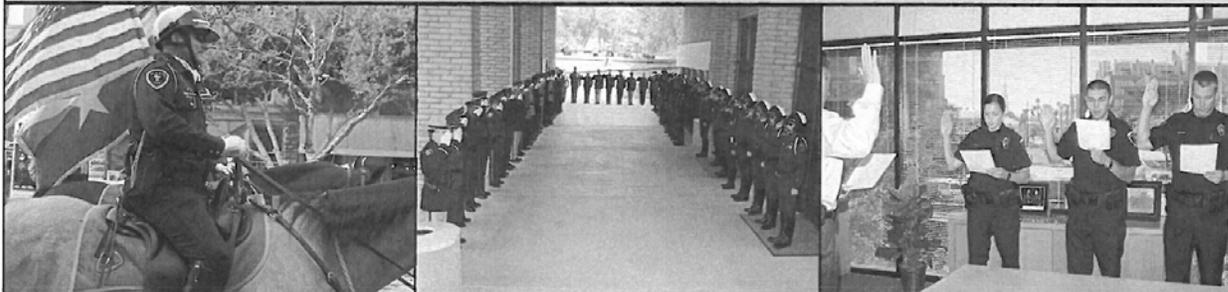
MISSION, VISION, & VALUES

The Mission of the Tempe Police Department is to suppress crime and promote the safety of our community.



The Vision of the Tempe Police Department

- We are a highly adaptive, flexible, and proactive organization that integrates both community oriented and intelligence-led policing philosophies.
- Our organization is fully staffed with collaborative, accountable, and highly skilled employees who are dedicated to providing the highest quality police services to the community.
- We utilize innovative technology, systems, and processes to gather, analyze, and disseminate crime and intelligence information throughout our organization.
- We operationalize crime information and intelligence to allocate our police resources strategically and prevent and suppress crime in the community.
- We promote regional information sharing and cultivate active community and interagency partnerships.



Core Values

Honor - We will be honorable in our principles, intentions, and actions.

Integrity - We value honest communication and our actions match our words.

Loyalty - We are committed to fellow employees and the community we serve.

Dedication - We are devoted to the delivery of effective and efficient police services.



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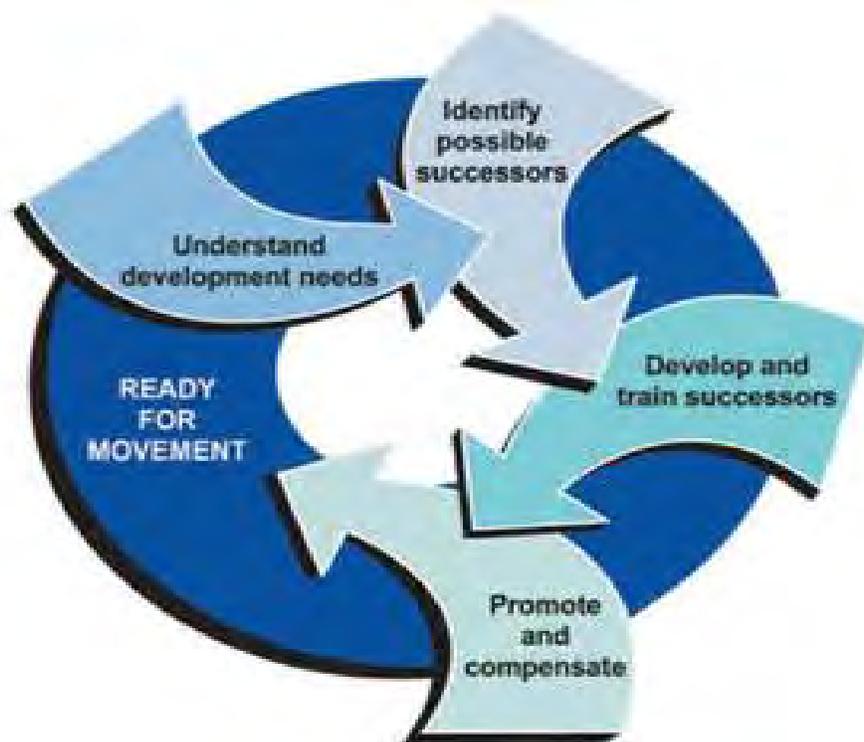
Succession Planning



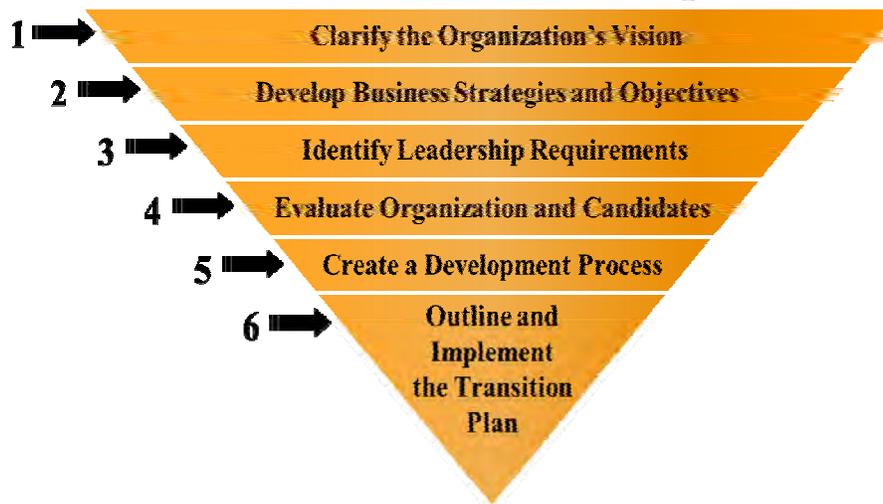
Instructional Goal: Discuss the importance of succession planning

Performance Objectives:

- Review succession planning
- Discuss core principles of succession planning
- List different levers of learning
- Discuss key elements of succession planning
- Review succession planning toolbox
- Discuss options for succession planning



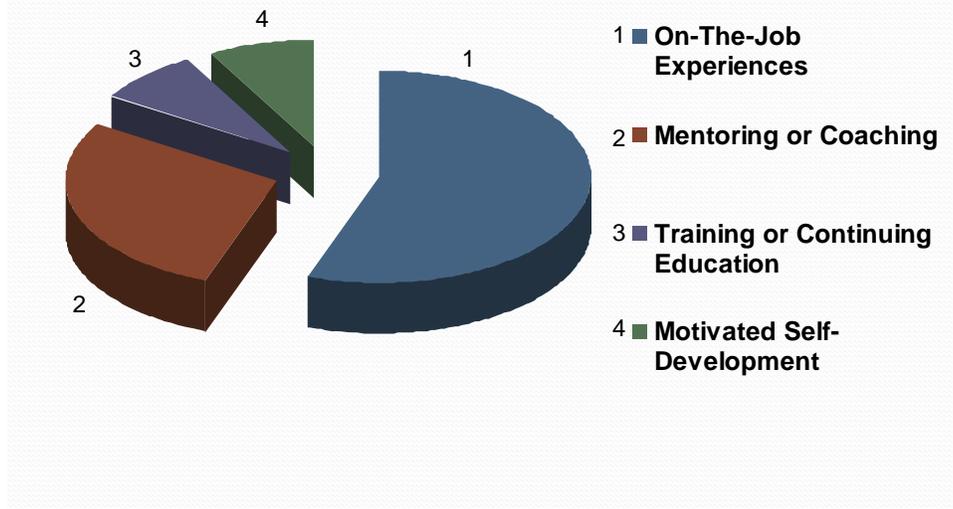
Succession Planning



Core Principles Underlying Succession Planning

1. Leaders really do matter ... in managing/driving accountability, results, culture.
2. Performance is what counts ... top performers over high potentials
(the “what” & “how” both count).
3. Today’s top performing leaders aren’t necessarily tomorrow’s ...
even our best leaders can fall behind or derail.
4. Talent is an enterprise resource ... willingness to share talent makes
the system work.
5. A broad set of experience & assignments is the best classroom ...
yet a balanced approach is still necessary for development.
6. It’s incumbent upon today’s “top-100” to leave a legacy of
future talent ... current leaders must teach, mentor, & role model others on what
it takes to succeed.
7. Invest in the best ... focus the rest.

Four Levers for Learning



There are two kinds of people in organizations:

- **Those with 20 years experience &**
- **Those with one year experience repeated 20 times**

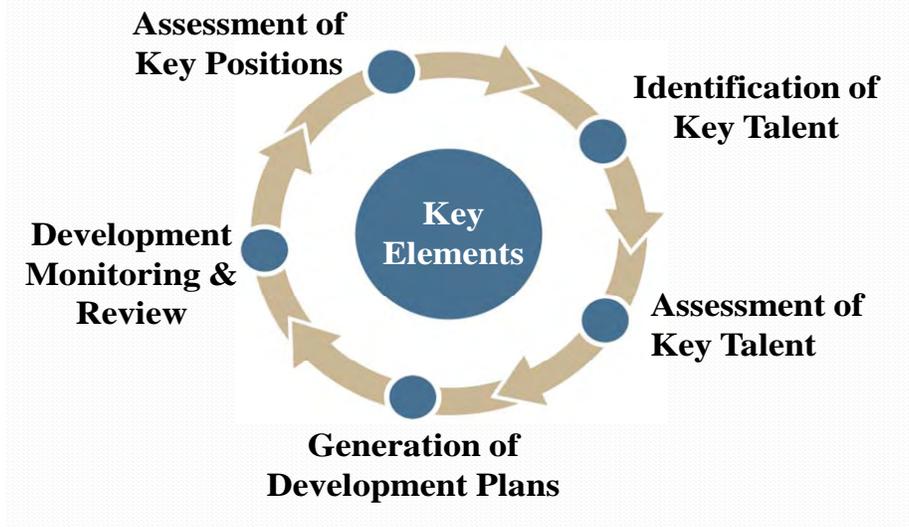
$$\text{Leadership Development} = V + C + L$$

Variety of Experiences +

Challenging Assignments +

Ability & willingness to Learn

Succession Planning: Key Elements



1. Assessment of Key Positions:

- What are the competencies and experiences needed to qualify for each key position?

2. Identification of Key Talent:

- Typically people at the top two levels of the organization and high potential employees one level below.
- Identified by their management's assessment of their performance and potential for advancement.

3. Assessment of Key Talent:

- For each person on the radar screen, primary development needs are identified focusing on what they need in order to be ready for the next level.

4. Generation of Development Plans:

- A development plan is prepared for how we will help the person develop over the next year.

5. Development Monitoring & Review

- An annual or semi-annual succession planning review is held to review progress of key talent and to refresh or revise their development plan.

Necessary Skills Needed

- **Delegating and Powers Others**
- **Showing Integrity**
- **Creating a Climate for Success**
- **Communicating Well**
- **Coaching & Developing Others**
- **Showing Fiscal Responsibility**

SUCCESSION CANDIDATES

KEY POSITION TITLE _____

Backup Candidate Name: _____

Current Title: _____

Div: _____ **Level of Readiness (Circle One):**

Within 1 Yr. 1-3 Yrs. 3-5 Yrs.

Strengths for this position:

Developmental needs for this position:

Comments:

Date: _____ **FY:** _____

Completed by: _____ **Division:** _____

Succession Plan Summary

Organization: _____

Key Position Title	Incumbent Name	Position			Succession Candidate		
		Vulnerability			Names		
		Open in < 1 Yr	Open in 1-3 Yrs	Open in 3 + Yrs	Ready in < 1 Yr	Ready in 1-3 Yrs	Ready in 3 + Yrs

Executive Development Plan

Name: _____

Title: _____

Overall Performance Summary:

(Indicate recent performance including major accomplishments or performance issues.)

Key Strengths:

(List 2 - 3. Indicate key technical or professional competencies, skills, or knowledge the person has.)

Development Needs:

(List 2 or 3. Indicate key experiences, skills, or knowledge the person lacks in order to move to the next level.)

Development Actions:

1. On The Job: (What new responsibilities do you plan to assign to help this person develop this year?)

2. Special Assignment: (What task force, projects, or special assignments will be given this year to aid development?)

3. Training: (What specific training or seminars are recommended this year for his/her development?)

Potential For Promotion:

(Indicate this persons readiness to be promoted to the next organizational level.)

Ready now for the next level.

Ready in the next 24 months.

Ready in 2 to 3 years.

Recommended Next Position: *(List the next assignment that would most benefit the individual in his/her development.)*

PLANS FOR SELECTED TALENT

ORGANIZATION: _____

Name	Title	High Level Plan

Highest Return...

- ❖ Full Job Change Focused On Development Needs
 - ❖ Job Restructuring Based On Development Needs
 - ❖ Mini Assignments
 - ❖ Cross Divisional Project Leadership Or Assignment
 - ❖ Focused Coaching & Counseling
 - ❖ C. M. Denny Leadership Scholarship
 - ❖ Industry Representation
 - ❖ Customer Visits Accompanying Senior Executives
 - ❖ Formalized Education Programs
 - ❖ Full 360 Degree Feedback and Evaluation
 - ❖ Motivated Self Development
 - ❖ Seminars and Conferences

... Lowest Return

DEVELOPMENT TOOLBOX

On The Job:

- Job Enrichment
- Special Projects
- Committee Assignments
- Task Force Participation
- Lead Person Responsibilities
- Giving Presentations
- Preparing Proposals
- Installing A New System
- Leading A New Program
- Temporary Job Assignments
- Full Job Change

Learning From Others:

- Working With a Mentor
- Teaming with an Expert
- 360 Feedback
- Focused Interviews
- Job Shadowing

Training & Education:

- Seminars & Conferences
- Continuing Education
- E Learning
- Cross Training

Semi-Annual Succession Planning Review

- ✓ Review of succession candidates and development plans in each organizational unit
- ✓ Report development progress and make necessary adjustments to the plan
- ✓ Orchestrate moves for the next six months

Organization-Wide Leadership: Expanding the Traditional Succession Planning Model

By Mitchell P. Weinzetl, Chief of Police, Buffalo, Minnesota, Police Department

What occurs within a police agency when the organizational leader vacates the position, whether the departure is planned or it occurs rather abruptly? Will the organization flounder, or will it move in a positive direction? How about the individuals within the organization; will they stay focused and on track, or will they become distracted and concerned about a future that seems uncertain?

The answer to these questions is simple: It depends greatly on the actions of organizations' leaders during their tenures and through the periods leading up to their departures. If the agency head has engaged in sound leadership practices, and if a positive direction and a sound legacy have been established, the organizational direction will not only stay on course but may actually improve. This is not necessarily best accomplished through a process of succession planning as traditionally considered, but rather through an expanded process that intentionally engages organization-wide leadership and staff development practices.

The term *leadership* is broad and embodies a wide range of actions and behaviors that intend to lead and guide individual and organizational functionality and to produce specific outcomes. The most successful law enforcement leaders are those who, through their actions and influence, create, support, and sustain the performance of an organization in a manner that is rooted in a commitment to performance excellence, ethical practices, professionalism, and service. Effective leaders assume the burden of setting the organizational tone and focus and also for establishing and maintaining the organization's culture and values. This level of stewardship over the organizational ideals is an enormous responsibility, and because it is of paramount importance, it must ultimately rest squarely on the shoulders of the organization's leader. The agency head must not only set and promote the organizational direction but also do this in a way that is accepted and supported by individuals within the organization. When executed properly, this will include engagement, contribution, and agreement by the organizational staff, as well as participation from key external stakeholders who have been identified.

If effective leadership is linked to the ability of the organizational leader to ensure a variety of positive organizational aspects—including establishing a foundation for the culture and core values of the agency and setting expectations for individual and organizational performance and other outcomes—then the concept of legacy leadership

is related to how these principles and concepts are handed down over time from one generational leader to another.¹ Also important is a foundational premise that “legacy-oriented leadership requires a strong continuity that addresses organizational practices and norms.”² In essence, at its core, legacy-oriented leadership is about recognizing the positive aspects of the past, using the skills and experiences of the leader to build on these prior practices for the purpose of individual and organizational growth and improvement, and creating an atmosphere in which those who might someday ascend to the ranks of leadership in various positions can engage in and repeat this process.

Over the years, much has been said about the concept of succession planning, but what exactly is it? Most would agree that succession planning is a process through which many organizations—public and private—prepare for the eventual departure of key leaders. Through this process, organizations engage in a variety of strategies to identify individuals who might eventually assume a primary leadership role, generally taking steps along the way to prepare these individuals for the transition. This can be important from a strategic perspective because “during a leadership change, a succession plan maintains the continuity of the agency’s mission and reduces uncertainty,” and it can also help ensure that the organizational legacy will remain intact.³

Despite the positive aspects of succession planning, there are some potential drawbacks to this process, particularly if a traditional succession planning model is engaged. In many police organizations, everyone has a pretty clear idea of who will be promoted to the next sergeant, lieutenant, or chief executive position. They know this because these promotions are often predictable to members of the organization based on a fundamental flaw in some succession planning models: “They are overly focused on identifying successors for a particular job or position and not on the future leadership needs of the organization.”⁴ In short, many succession planning models rely on identifying a particular individual to step into the next leadership role instead of working to establish solid leadership skills throughout the organization and among all staff. In fact, this replacement-oriented focus is cited as a key problem many managers identify in terms of their criticisms of various succession planning models currently in use.⁵

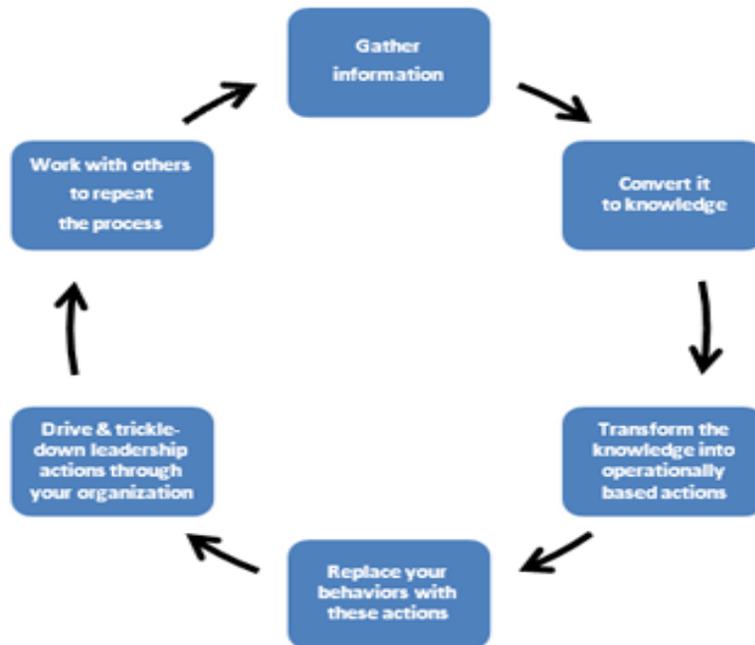
Because some succession planning models orient toward a particular individual or individuals, they can have detrimental effects on other staff members. In many police and sheriff’s agencies, the number of supervisory- and executive-level positions is small, and the frequency with which these opportunities arise is also very limited. Many officers have a desire to move up the ranks at some point in their careers, but they may become discouraged if they are overlooked for these positions or are unable to develop their personal leadership skills. This is particularly true as it relates to newer generations of workers who have a need to feel valued and want to increase their individual sense of self-worth by building marketable skills.⁶ Appropriate succession plans are “not necessarily focused on creating replacements but rather on making a solid plan for the future”⁷ of the organization; however, staff may become disenchanted, and the result may be turnover or other performance-related problems.

The alternative to a succession planning process that focuses on one person or a scant few individuals is to engage in a process of organization-wide leadership that targets everyone within the organization as having the potential to take on a formal leadership role. Organization-wide leadership is a concept in which each individual organizational member, regardless of one's organizational role, is provided with the opportunity for instruction, guidance, and direction concerning leadership concepts and principles. For too long, leadership education and the accompanying philosophies have been reserved exclusively for those who are assigned to formal leadership roles. Additionally, more often than not, leadership education is not provided to these individuals until after the promotion occurs. Because of this back-end process of leadership development, many aspiring leaders miss the opportunity to develop an understanding of leadership principles early in their careers and also do not develop an understanding of how decisions are made that might impact them within their positions. This process also occasionally results in the promotion of individuals who have a misguided understanding of what their new roles entail, which can lead to operational problems.

Although only a handful of organizational members will ever be placed in formal leadership positions—particularly in those roles that include a leadership title and the associated pay and responsibility—many organizational members will be asked to take on leadership responsibilities related to projects or assignments, or they may simply become informal leaders within the organizational ranks because of their tenure, experience, charisma, or personality. While in these informal roles and settings, these individuals will shape and mold the organization based on their knowledge, their abilities, and their experiences. In order to ensure that the influence of informal or aspiring leaders is consistent with key aspects of the organizational legacy, formal leaders must engage in an intentional process of mentoring and guiding. This process must be looked upon as a marathon, not a sprint, however, because legacy and leadership elements are not the result of “swift interaction, but due to the accrual of modeling, educating, and feedback.”⁸

This type of mentoring and guiding cannot occur, however, without a proper foundation. Although it may seem a peculiar place to begin, a sound and comprehensive succession planning process must start with the competency of the organizational leader. For the legacy left behind by the organization leader to have any value, the leader must first ensure that the legacy is positive and productive and that it is one that others want to follow and maintain. There is an awesome responsibility on the part of the organizational leader in this regard: The individual must desire and endeavor to become the type of leader who others look up to and wish to emulate, and through that process, they must develop their own skills to a high level. Once the leader has developed a high degree of competency (something that should continually be worked on, for that matter), the individual can engage in a process of developing others in a way that will carry on the legacy.

One model that can be used to promote an individual and an organizational legacy is the Leadership Replication Cycle (LRC):



The LRC process has two key components: The development of the capabilities of the individual leader, and the process through which the leader engages others within the organization in an effort to replicate the actions and behaviors of the formal leader. At its center, the LRC is a legacy-oriented leadership tool. The first steps of this model are designed to challenge the leader to actually become the leader that staff wants to follow. This occurs through a process of gathering information, reflecting upon what has been learned, and then using that knowledge and reflection to intentionally transform oneself, which ultimately helps individuals to engage in specific actions and behaviors that contribute to positive and effective leadership.

The second portion of the LRC is where the concepts of legacy-leadership and succession planning meet. In this section, the transformed leader uses skills and abilities to teach others within the organization, passing along not only the important aspects of leadership but also a process through which skills and abilities can be shared. The key benefits of this type of process (mentoring and modeling) are that the amount of effort is minimal, and, oftentimes, the delivery method is passive. “Mentoring is an effective and low-load way to pass on crucial knowledge, skills, and abilities in public organizations.”⁹ It is important to note, however, that this second section is not merely a conduit to developing general leadership behaviors; it intends to *replicate* the leader’s style, actions, and behaviors to the extent that this is possible and practical.¹⁰ This is important because the replicable aspects of the organizational leader are, in essence, the legacy of

leadership that is hoped to survive the leader's eventual departure.

In addition to implementing a philosophy that promotes organization-wide leadership, organizations also should engage in an organized succession planning process. The IACP Leading by Legacy (LBL) program considers an open succession planning process, such as the one described in this article, to be a vitally important aspect of legacy-oriented leadership. To carry out this objective, the LBL program identifies four steps that can be used to create an environment that supports leadership development and an ongoing legacy.¹¹

Step 1: Identify the potential talent within the organization. Whether through observations or conversations, try to determine who may be interested in taking on a leadership role within the organization. Keep in mind that not everyone who has a talent for leadership will show a direct interest. All supervisors and leaders should be constantly searching the ranks for the next great leader to emerge. Stay alert and watch for informal leaders who are impacting the organization in a positive way; this is a great way to identify future formal leaders.

Step 2: Provide training to those identified. Do not wait for talented people within the organization to come forward and ask for leadership training. Many prospective leaders are unaware of or too humble regarding their potential, and as a result, they will be reluctant to envision themselves in a leadership role. Invite all organizational members to any in-service leadership training offered, but strongly encourage attendance by those who may benefit the most from the training.

Step 3: Mentor the individuals who show promise. Once potential leaders are identified, take the time to teach them. These individuals will need nurturing and guidance in order to learn and grow into the leaders of tomorrow. When possible, invite these individuals to important meetings so they can observe and learn from those who are present. Most importantly, model the behaviors that are most essential in promoting and maintaining the organizational legacy.

Step 4: Empower staff to make key decisions within the agency. Assigning responsibilities to aspiring leaders is a great way to measure their interests and their capabilities. It also affords them the opportunity to ease into leadership roles without feeling overwhelmed. When working on developing staff who are already supervisors, share important issues and discussions, such as those that relate to policy, procedure, or disciplinary matters. Afford them a voice, but also explain how leadership decisions are made so that they can gain insight and understanding.

Succession planning is an important tool that can help ensure continuity of operations for the organization and that the organizational legacy will survive the departure of the organizational leader. To safeguard against being caught unprepared, it is critical that organizations establish a clear plan in advance. Succession planning should be "a thorough process designed to ensure the continued effective performance of an organization by planning for the development and replacement of key people when the

need arises.”¹² It is important to remember, however, that this process should not rely on a myopic focus; consideration—and attention—should be given to everyone. A strong and successful strategy for succession planning should include an organization-wide leadership philosophy; establishing replicable leadership behaviors that teach, promote, and reinforce critical core values and a positive organizational culture; and a step-by-step process, which ensures that the plan is thoughtfully carried out and executed. Organizational leaders are responsible for constructing and implementing a plan to carry forward the organizational legacy, and a process that intentionally works toward this end will help promote a positive outcome. ♦

Notes:

¹International Association of Chiefs of Police, Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice, *Leading by Legacy: Leadership and Management Training for Rural Law Enforcement Agencies* (Alexandria, Va.: IACP, 2010).

²J. Patrick Dobel, “Managerial Leadership and the Ethical Importance of Legacy,” *International Public Management Journal* 8, no. 2 (2005): 237.

³*Leading by Legacy: Leadership and Management Training for Rural Law Enforcement Agencies*, 91.

⁴Robert Barnett and Sandra Davis, “Creating Greater Success in Succession Planning,” *Advances in Developing Human Resources* 10, no. 5 (October 2008): 724.

⁵Ibid.

⁶Jeff Miner, “Bringing Out the Best in Generation X,” *The Futurist* 33, no. 1 (January 1999).

⁷Kathleen Dodd and Carolyn Simons, “Succession Planning—Securing Your Organization’s Future,” *Home Health Care Management Practices* 17, no. 5 (2005): 401.

⁸Dobel, “Managerial Leadership and the Ethical Importance of Legacy,” 228.

⁹Bruce J. Pearlman, “Introduction: New Rules and Approaches for Succession Planning,” *State and Local Government Review* 42, no. 1 (April 2010): 49.

¹⁰Mitchell Weinzetl, *Acting Out: Outlining Specific Behaviors and Actions for Effective Leadership* (Springfield, Ill.: CC Thomas, 2010).

¹¹*Leading by Legacy: Leadership and Management Training for Rural Law Enforcement Agencies*, 92.

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Increasing Organizational Leadership Through the Police Promotional Process

By Patrick J. Hughes



Law enforcement agencies and their design appear to differ from any other type of organization. Although usually compared with the military, police departments have been referred to as having "hyper-bureaucratic military organizational attributes— those of formal rank, formal hierarchy, and a chain of unquestioned and unquestioning command."¹ Only until a few years ago, the term police management, designated only for those holding a title, described what those in the profession believed to constitute leadership. However, more recent years have shown that managers are not necessarily leaders. Rather, those placed into managerial roles should possess leadership skills, behaviors, and knowledge. Employing such a concept could improve officers' connections with their departments and aid in succession planning when promoting future leaders within the agency.

So, how do officers obtain a police leadership position, and what measures their leadership behaviors and skills? Are the right people placed into these positions, and can these individuals lead larger numbers of officers in the future? For the past few decades, some police research has dealt with such topics as leadership styles of those in positions of authority. Other studies have focused on leadership as it pertains to gaining organizational commitment. Little research, however, has examined the promotional process and how it can impact organizational leadership and commitment. In today's world, a need exists to research and create changes to both the design of these agencies and the process to promote future leaders.

To this end, the author explores the current assessment process used to promote firstline supervisors and discusses leadership education and its availability and applicability to all officers. He draws a connection between desired leadership styles and how a proper assessment process, coupled with leadership education and training of future first-line supervisors, could enhance the abilities of those in positions of authority to lead the officers in their charge.

Examining the Design

When focusing specifically on organizational design, law enforcement agencies are highly structured with welldefined charts that describe the roles that accompany the position titles set forth. In addition, top-down communication exists inside these agencies.

Some arguments have highlighted the need for this design because of the severe situations officers encounter and the great amount of liability that accompanies such incidents. These organizations and their design, however, lack some items that officers would like, such as better communication networks, more participation, improved decision making, and enhanced ethical leadership. Through these requests for change, organizational

commitment may increase. Research has indicated that "participative role clarification improved organizational commitment."² Inside a militaristic-designed organization, the levels of rank in management and their importance often are oversimplified and many times seen as a mere conduit of communication having no real influence on subordinates. Researchers have argued that "obedience socialization and military command supervision across the hierarchal levels appear to distort the nature of police work."³ Police organizations face a changing environment at a faster than normal pace and should have a structure flexible enough to handle such situations, as well as flowing communication and leadership firmly embedded in the design. In most police structures, ranks descend from chief to deputy chief, captain, lieutenant, sergeant, corporal, and patrol officer. These levels exist more in larger metropolitan or county-level agencies mainly due to the number of officers employed. However, in some states, such as Pennsylvania, department size does not allow for such rank design, making the levels of sergeant and patrol officer more open to leadership situations. One study noted that the "quasi-military model makes no provision for the situational effects of a leader's behavior."⁴ Other researchers echo this by suggesting, "Although many agencies appear to rely on military arrangements in terms of structure, rank, and hierarchies, this model may not effectively serve police leaders and their respective organizations. Replacing the military model of leadership development with behavioral competency development may be more effectual in leadership and agency performance."⁵

Many in the police arena believe that law enforcement agencies differ greatly from organizations in the private sector. However, one study compared the scores of police leaders on the California Personality Inventory with those from the business world and found that "results indicate very similar scores."⁶ Is there truly a difference in how leadership is applied between the policing and business worlds? Some in law enforcement will argue that at their basic cores, the two differ in followers, motivation, and desired leadership styles. Many people associate the word entrepreneur with the world of business. One study introduced the concept of entrepreneurial policing with the basis behind such a term being that the leadership concepts in policing do not differ greatly from those of business. It suggested that "entrepreneurial policing is an open style of management linked to, but transcending, individual leadership styles because it can be practiced by everyone within the police service irrespective of rank. This link between the rubrics of entrepreneurship and leadership is vital because for a practical theory of entrepreneurial policing to develop, policing requires the active participation of future

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Police organizations face a changing environment at a faster than normal pace and should have a structure flexible enough to handle such situations....
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Professor Hughes, a former police officer, is the director of criminal justice administration at Central Pennsylvania College in Harrisburg and also instructs at the Harrisburg Area Police Academy.

generations of police leaders."⁷ This concept not only intertwines the business world with policing but also exemplifies that leadership should be seen at all levels within the police organization. To further support this, the study connected entrepreneurship and policing by reporting that it "is action-oriented cognitive human ability, which guides policing as an everyday practice and paradoxically links managerialism and conformity to risktaking behavior."⁸

In addition, some studies have reported other perceived leadership styles gathered from sworn personnel.⁹ For example, researchers examined how these styles affect officer-integrity violations. Findings identified three styles as openness, role model, and strictness, concluding that "all three aspects of leadership...have a significant effect on the frequency with which corruption occurs."¹⁰ Another study revealed that the most effective perceived style admired by officers was transformational leadership.¹¹ Finally, another researcher focused on officers as the "change agents" in police organizations, arguing that "police departments could be well advised to encourage participatory involvement as a vehicle for organizational reform."¹²

As seen by this variety of research, many studies have identified styles sought by officers of their supervisors. It appears that through employing these styles, officers may have stronger organizational commitment. By engaging in these styles, supervisors may strengthen the integrity and ethical behavior of the organization. Apparently, strengthening leadership among supervisors, especially first-line ones (e.g., sergeants), would benefit many law enforcement agencies and their followers.

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Many in the police arena believe that law enforcement agencies differ greatly from organizations in the private sector.

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If police organizations need more flexibility and incorporate leadership at all ranks, what, then, should change, and who should participate in that change? Moreover, Does the current promotional process truly select candidates with these styles, and, if not, how can that process be improved to do so?

Analyzing Promotions and Assessment

These processes can differ from department to department given the resources and number of employees. Many larger agencies usually employ a procedure involving written and oral examinations, performance evaluations, psychological and physical tests, and drug screening created and disseminated by a consulting department.¹³

Agencies can expand and contract on these steps if they so choose. However, this can prove costly for smaller ones that often must rely on years of service and performance evaluations to promote their officers. With all of this in mind, the question remains, Is the current promotional process truly choosing candidates with the wanted leadership styles, and, if not, what improvements can be made?



One of the most difficult tasks in the promotional process is creating standardized testing, a system employed in such areas as collegiate admissions, government civil service, psychological measurement, and

high school academic proficiency. As a means of bringing fairness and equality to all who take them, the exams seek to measure, through written words, a person's skill or personality. Prior to the test, candidates should complete a job-task analysis, which offers performance dimensions needed for a certain position. While such testing has served its purpose, recent research has shown some flaws.¹⁴ For example, researchers administered the California Psychological Inventory (CPI) to promotional candidates in Texas attending leadership training. They gave both a preand posttest, advising "results indicate that the CPI-260 can be utilized to assess change through training and that, in this case, the training seemed effective at helping the law enforcement executives develop their leadership skills, awareness, and abilities."¹⁵ In the current processes, many candidates never attend, nor are given the opportunity to do so, any leadership training prior to testing. Some attributing factors may be cost, shift coverage, availability of training, or simply not viewing it as needed.

Assessment centers also have made their place in standardized testing and often exist in the government and public sectors. "Over 62 percent of the respondents in a recent survey of police and fire chiefs reported that they use assessment centers, especially for promotion."¹⁶ Further findings showed that centers "are inappropriate for selection procedures which purport to measure traits or constructs, such as intelligence, aptitude, personality, common sense, judgment, leadership."¹⁷ This study suggested an alternative to the written assessment. It used the term task-specific centers, defining this concept as "exercises (work samples) and not performance dimensions."¹⁸ Given the various differences among organizations, each could design its own task-specific assessment using the officers, administrators, and subject-matter experts. This would suggest better participation by officers at all levels. One downside to this concept is that "assessors...are not determining how much leadership or judgment a subject has; they are attempting to measure how well the subject handles a specific job-related situation."¹⁹ Interestingly, the study did not say that leadership may not exist in the behavior while completing the task. Some situational leadership skills could emerge during the performance of the work. "It would be appropriate, however, to have an exercise where the subject was designated group leader and there was an issue to address."²⁰ Then, it could be asked if this assessment measures behavior. The answer is yes. The study included a component termed behavior observation in the assessment process. When discussing the assessment of future leaders, leadership is observable, thus a behavior. "Checklists can include a short 8-15 list of items considered important...a method for recording the subject's actions."²¹ Revisiting the desired leadership styles of officers, it is suggested this checklist be designed specifically for those behaviors sought by the officers to be led. This would ensure the right person is chosen to lead. Another researcher said it correctly, "Leadership is a behavioral quality which has to be demonstrated in everyday contexts."²² That is the concept that supports using behavior observations in task-specific center assessments.

By further investing time into creating a better testing process to observe leadership behavior, law enforcement agencies would improve their organizational design. Ultimately, they would provide those being led with their chosen leader. It also would be a positive step into planning for the future for many agencies because law enforcement organizations often do not consider the concept of succession planning.

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When discussing the assessment of future leaders, leadership is observable, thus a behavior.

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Planning for the Future

The final question to investigate is, How do police organizations plan and train future leaders of their departments? Many do not invest time or money into sending officers to leadership training. This could be at a federal, state, or local level. On a federal level, the FBI maintains the Leadership Development Institute.²³ Some states also may have some type of leadership seminars or classes. For example, Pennsylvania, through the Penn State Justice and Safety Institute, offers nine leadership development courses.²⁴ Of these, seven require the officer to hold the rank of lieutenant or higher, one requires the officer to be in the promotional process or promoted, and one has nothing noted about who may attend. This concept in offering leadership training does not appear to be in line with that of succession planning. Instead of supplying training to those choosing or aspiring to be leaders, the training occurs after the officer is selected from a list of eligible candidates. Educating in this manner appears to "place the cart before the horse." After all, officers seek certain styles from those who lead them, but these styles do not appear to be measured through the current written assessment process. One researcher suggested, "The quality of police leadership could be improved by more effective methods to identify officers in the middle rankings posts who had the potential to become chief officers."²⁵ He advised that succession planning can increase overall police leadership that can be accomplished through training the right people. His research sought to "modernize the police workforce, enhancing training and career progression to improve leadership and management skills at all levels of the service."²⁶

Another issue in succession planning might be that not enough individuals want to take part. This could be for various reasons, such as satisfaction with the current assignment, monetary loss, lack of support or motivation, poor test-taking ability, or a disconnect with current administration values. In one study, officers perceived their promotional process as "not picking the best police officers" and "the testing and selection method."²⁷ Whatever the reason, this does not suggest a lack of those who can lead given the right tools. Sometimes, as stated in another study, officers have the "perception that promotions are not based on merit and reflect a hidden administrative agenda."²⁸ However, in the same study, "black test takers indicated leadership as a prominent concern."²⁹ While this is a positive sign of those focusing on leadership, this notion needs to be permeated throughout the organization. Proper succession planning can make this possible with researchers agreeing on "the importance of creating a seamless continuity in leadership development and succession planning."³⁰ By law enforcement changing the admission and availability of currently offered leadership training simultaneously with the current promotional processes, police organizations can begin to assure that they chose the right leaders.



Conclusion

Research has shown that the current design of police organizations does not support change easily. However, research also has demonstrated that officers want improvements in how their future leaders are chosen and the styles these superiors should exhibit. Making leadership training available to those aspiring to become leaders and changing written assessments to those that measure task behavior could help bring about these desired advances. Further research could focus on leadership training and how to build it into an organization's succession planning, thereby improving the overall leadership throughout.

In this day and age of increasingly complex challenges for the law enforcement profession, such changes seem warranted. Concerning policing in the 21st century, one researcher aptly stated, "Our job now is to go out and garner learning from wherever it exists and increase the richness of our leadership culture.... Police leadership is not essentially different from all other forms of leadership."³¹

Endnotes

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- ³ Ibid.
- ⁴ Ibid.
- ⁵ H.A. Miller, R.J. Watkins, and D. Webb, "The Use of Psychological Testing to Evaluate Law Enforcement Leadership Competencies and Development," *Police Practice and Research* 10, no. 1 (2009): 49-60.
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- ⁹ L. Huberts, M. Kaptein, and K. Lasthuizen, "A Study of the Impact of Three Leadership Styles on Integrity Violations Committed by Police Officers," *Policing: An International Journal of Police Strategies and Management* 30, no. 4 (2007): 587-607; S.A. Murphy, "The Role of Emotions and Transformational Leadership on Police Culture: An Autoethnographic Account," *International Journal of Police Science and Management* 10, no. 2 (2007): 165-178; Jermier and Berkes; and Toch.
- ¹⁰ Huberts et al.
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- ¹² Toch.
- ¹³ For example, Pennsylvania departments can administer this exam process for various fees. As of October 15, 2008, self-scoring exams would cost \$15 per test; those scored by the association, \$24.50 per test; administrator's guide, \$10 per guide; study guide, \$4 per guide; examiner's manual, \$10 per manual; and proctors, \$200. See, Pennsylvania Chiefs of Police, <http://www.pachiefs.org/testing.aspx>
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- ¹⁵ Miller, Watkins, and Webb.
- ¹⁶ Lowry.
- ¹⁷ Ibid.
- ¹⁸ Ibid.
- ¹⁹ Ibid.
- ²⁰ Ibid.
- ²¹ Ibid.
- ²² Smith.
- ²³ For additional information, access <http://www.fbi.gov/hq/td/academy/ldi.htm>.
- ²⁴ For additional information, see Penn State Justice and Safety Institute, <http://jasi.outreach.psu.edu/#index.php?lawenf/Programs> (accessed July 1, 2009).
- ²⁵ M. Rowe, "Following the Leader: Frontline Narratives on Police Leadership," *Policing* 29, no. 4 (2006): 757-767.
- ²⁶ Ibid.
- ²⁷ S.A. Murphy, "Executive Development and Succession Planning: Qualitative Evidence," *International Journal of Police Science and Management* 8, no. 4 (2006): 253-265.
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Conclusion

Future Trends In Law Enforcement

Law Enforcement and the Law with Ken Wallentine

Law enforcement trends to watch

Successful police agencies will be those that adapt and change rapidly, embrace technology and analyze emerging trends in their communities

“In the year 2525, if man is still alive, if woman can survive, they may find...” that policing has transformed far more in the fifteen years between 2010 and 2525 than in several preceding generations. The most significant trend will continue to be the application of technology to law enforcement, manifest in nearly every facet of policing. Technology will help solve crimes, prevent crimes, and facilitate crimes that haven’t yet been conceived. Evolving human factors will equally impact law enforcement as the nation’s population ages, immigration increases and minority group fertility rates skyrocket.

Hi-tech Crime Fighting

Almost every high-level police executive conference in the past few years has featured a seminar or two on “intelligence-led policing.” The core of intelligence-led policing is identification of specific criminal activities or specific criminal populations and targeted enforcement against the highest-risk crimes or criminals to achieve overall reduction in the impact of crime in a community. It is essentially risk management applied to law enforcement. In one of the early works advocating intelligence-led policing, author Mark Riebling encouraged police officers to become more like spies. But just where does the intelligence come from?

The human element of intelligence-led policing involves the intelligence analyst. How many police departments even had an intelligence analyst a decade ago? Now even my own small agency of about 40 has a full-time intelligence analyst with a professional background as an attorney and trainer. As we move into the next decade, intelligence analysts will become more common at smaller- and mid-sized police agencies, and are already absolute requisites for effective larger agencies. The 2001 terror attacks and subsequent terrorist efforts awoke police to the need to understand the infrastructures in community food and water supplies, power grids, telecommunications, transportation systems, and even financial institutions as those entities became prime terror targets.

Not only does that mean that police administrators and command staff must develop new areas of familiarity and forge new networks, but it also implies that the increasingly professional intelligence analyst will continue to gain prominence in the police agency. As police agencies make basic changes in gathering, assessing, communicating and sharing

information, the analyst will be at the center of systems development and management.

The decrease in cost and increase in quality of surveillance cameras, coupled with a greater public acceptance of street surveillance, will push the trend toward more cameras in high population centers and particularly in high vehicle- and pedestrian-traffic areas. Great Britain, with an estimated four million public surveillance cameras in operation, has led this trend. A spree of Irish Republican Army bombings in the early nineties fed the appetite for mass public surveillance. In some areas of Great Britain, a new camera cluster called The Bug is undergoing extensive testing. This device features an array of eight cameras. The cameras are bolstered by software that prompts them to scan for suspicious behavior, such as running or sudden and violent body movements, and then lock on the suspect and track the suspect on camera. How long will it be before we see similar devices in metropolitan subways and busy street corners in major U.S. cities?

What lies ahead in video surveillance? Among other things, there will be surveillance systems a generation beyond 'The Bug' that recognize the patterns of a particular crime, such as an assault or robbery, and instantly dispatch police officers. Facial recognition systems that identify known criminals or wanted persons and telegraph their location and travel direction to officers are already available. One developer is working on small surveillance drone aircraft that can actually follow suspects and record and transmit their movements and actions. Also under development are nanotechnology devices that will detect the components of explosive, chemical and biological weapons. These devices would be deployed in high-threat target areas and would function as constant, real-time passive detectors.

Though perhaps the trend has moderated, the American public has become increasingly tolerant of privacy intrusions following 9/11. Courts are just beginning to struggle with the legal implications of new privacy intrusions. Lawyers and judges are trying to shape new provisions in evidence rules to accommodate the expansion of electronic surveillance and security searches. The Innocence Project estimates that mistaken eyewitness identification contributed to the wrongful conviction in 75 percent of the cases where DNA evidence conclusively exonerated the convicted defendant. This has lead courts to carefully scrutinize how police administer line-ups and show-ups and to promote the use of technology to record identification procedures.

Court rules are already rapidly changing in this area.

Police officers are trained to remember that "if it isn't in the report, it didn't happen." Soon, perhaps, the new maxim will be, "if it isn't on your daily video log, it didn't happen."

In the past few years, more state legislatures and state supreme courts have created statutes and evidentiary rules that either mandate or strongly encourage audio or video recording of interrogations. More than half the states now have some rule on this topic. In 2010, that number is expected to grow.

Though in-car video systems have been around for some time, several agencies in Great Britain and Europe are experimenting with wearable video recording devices that are capable of recording an officer's activity for an entire ten-hour shift. Constant electronic recording of

police activity may become the new core of police accountability. TASER International launched the AXON “tactical computer” that features a tiny, high-quality wearable camera that snugs around the ear, much like a wireless cell phone headset. The camera can also be mounted on other parts of an officer’s uniform or equipment. Whatever the officer sees in front of him, the AXON’s camera captures. One prosecutor in Fort Smith, Arkansas, recently credited the AXON with helping quickly clear an officer involved in a fatal shooting of a man who pointed a gun at him during a domestic violence call. Watch for more and more developers to move into the wearable camera market and more agencies to experiment with the technology.

Watch for:

- Expanded employment opportunities for police intelligence analysts, even in the face of a continuing recession and declining tax revenues
- Further professional development for intelligence analysts and growth of existing intelligence analyst associations and new degree tracks in intelligence analysis
- More public surveillance cameras and use of facial recognition software
- Advances and simplification of DNA collection and more rapid testing methods
- Court decisions that further guide eyewitness identification methods and a changes to evidentiary rules that create an incentive to record interrogations
- Improved technology in wearable cameras and significantly greater use of wearable cameras

Clashing Cultures

American policing will be significantly impacted by the rapidly-changing cultural dynamics of our nation. The graying of America will see fewer younger violent criminals, but more white collar criminals perpetrating identity fraud, Internet-facilitated fraud, money laundering and other financial crimes. The tech-savvy generation now rising will become even more crime-tech knowledgeable. Police will be dealing with smarter bandits. Agencies who recruit candidates with a few geek qualities will find themselves ahead of the technology learning curve.

In the next 40 years, the number of Latinos in the United States will double, thanks to Latino birthrates and continued legal and illegal immigration. Multi-lingual police recruits will be even more prized. As the Latino population spreads and immigration continues, look for more cultural clashes in both inner city neighborhoods and in formerly homogenous suburbs.

At the same time, the Muslim population in America will grow faster than any other group. Despite the peaceful religious beliefs of most American Muslims, home-grown jihadists will increase. The recent massacre at Fort Hood by American-born Muslim Nadal Malik Hasan may be just the beginning of terrorist attacks by jihadists trained in American mosques. Hasan frequented the Dar Al-Hijrah mosque in Falls Church, Virginia, at the same time as Nawaf al-Hazmi and Hani Hanjour, two of the hijackers in the 9/11 attacks, in a congregation led by Anwar al-Awlaki. Al-Awlaki is another U.S.-born Muslim now on the run from Yemeni authorities and believed to be a key member of al-Qaeda.

Months before the massacre, Abdulhakim Muhammad murdered one American soldier and wounded another as they stood on a Little Rock, Arkansas, street. Muhammad moved to Little Rock from Nashville, Tennessee, home of the Al-Farooq Mosque, a target of an investigative journalist's report on extremism. One of al-Qaeda's more public figures in Adam Gadahn, (A.K.A. Azzam al-Amriki). Gadahn was raised on a goat farm in southern California and studied Islam at an Orange County mosque. Not only will the rapidly-rising Muslim population potentially bring more U.S.-born and trained terrorists operating in American cities, but it will bring culture clashes in communities and police will play a key role in managing and defusing those conflicts.

Homegrown jihadists will be found in America's heartland, not just in major coastal population centers. They may, or may not, be associated with al-Qaeda and other Islamic fundamentalist groups. Homegrown terror will be an issue for every police agency. A recent terror plot thwarted in Texas and another in Illinois shows that homegrown terror is not just an issue for the LAPD and NYPD. Though homeland security is traditionally considered to be a federal responsibility, local agencies must recognize the trend toward greater numbers and greater violence of American jihadists and take proactive measures.

The police culture will also continue to rapidly change. Reflecting the population demographic changes, more police applicants are likely to be the children of immigrants. Many will have been raised in a home where English was rarely or never spoken, and may have had limited social contact outside their own ethnic group. Forward-thinking police administrators will recognize the potential strengths in continuing to diversify the police work force to better reflect the community composition. Police agencies will, at least in the short term, find themselves competing with the military for the most desirable employment candidates.

Watch for:

- Rises in identity theft and financial crimes and new methods of fraud
- Terrorist attack attempts from homegrown jihadists
- Continuing challenges to recruit and retain the best candidates for law enforcement employment
- Increasing diversity in police ranks

Conclusion

President John F. Kennedy observed that, "change is the law of life." This is one law that can't be broken. The most successful police agencies in 2010 and beyond will be those that adapt and change rapidly, embrace technology and analyze emerging trends in their communities.

Scanning the Future of Law Enforcement: A Trend Analysis

One of the most essential weapons in a futurist's arsenal is the trend analysis—an examination of a significant phenomenon through defined analytical lenses. In this article, the vice president of the Institute for

Alternative Futures applies this tool to trends affecting law enforcement in the decades ahead.

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ROBINS/ONR / DREAMSTIME.COM



By Eric Meade

To understand the potential futures of crime and justice, one must explore a full range of issues, the connection of which to law enforcement may at first seem tangential at best. Our perspectives and behaviors relative to crime and justice are informed by larger changes taking place around us—socially, technologically, environmentally, economically, and politically. Scanning the horizon for trends and developments that may influence the future of crime and justice informs our strategies to create the future we prefer. This exercise also highlights how futures methods can yield insights into the decisions we must make today.

The trend analysis below, focusing specifically on the United States, provides a base for understanding the forces that may affect law enforcement in the future. This will enable us to better forecast probable outcomes—and envision preferable futures for society.

Social and Demographic Trends

There are several important demographic changes that will affect the

United States over the next decade. Most strikingly, non-Hispanic whites will continue to shrink as a percentage of the U.S. population, from 65% in 2010 to 61% in 2020 and 50% in 2050. During this time, Hispanics will make the greatest gains, reaching 24% of the population by 2050.

The increased attention paid to the Hispanic community may marginalize vulnerable African American populations, who will hold steady at approximately 13% of the total U.S. population. At the same time, marriage across racial and ethnic groups may reduce the extent to which Americans identify themselves with one racial or ethnic group.

Another key demographic factor is the generational shift now taking place as the millennial generation replaces the "silent" and baby-boomer generations before them in the workforce, electorate, and public. Similarly, the juvenile age bracket will soon be made up of "Globals" (born 2004-?), about whom little has yet been written and whose attitudes toward crime and justice are more difficult to anticipate.

Millennials tend to be more engaged in civic activities than other generational cohorts and are more likely to think that the government is on their side. This attitude suggests that they may accept law enforcement techniques and technologies that earlier generations perceived as violations of privacy. The millennials' relatively high adoption of new technologies and low sensitivity to privacy concerns can already be seen on social networking sites such as Facebook and MySpace, where young people regularly post detailed information about their private lives. This divergence from the values and behaviors of previous generations will also become significant to law enforcement agencies as more millennials enter their ranks.

Another value shift that is occurring in U.S. society is attitudes toward low-level drug use. Many

Americans have come to view use of some addictive substances more as a health problem than as a criminal-justice problem.

Science and Technology Trends

The emergence of new technologies will doubtless lead to new forms of crime. For example, expanded reliance on Internet technology has already created new forms of identity theft, identity distortion, and online extortion. The growth of virtual reality and online communities may extend crime from person to "avatar"—the character that represents the user or acts as the user's agent in virtual reality. For example, in 2008 a Japanese woman was arrested for killing off the avatar of her virtual ex-husband—that is, she illegally logged in as him and destroyed his character. As virtual worlds play a larger role in our personal and economic lives, it is likely that these crimes will grow in importance.

Back in the real world, new types of crime will emerge as we spend more of our lives online. Violent outbursts that occur in chat rooms or e-mails may be viewed as "cyber-hate crimes." Already, the use of mobile phones to exchange sexual messages and photos (called "sexting") has landed many people, including adolescents, on the wrong side of the law. Countless adults are already behind bars for targeting children online, or offering up their own children, for sexual purposes. As more of our lives take place online and in public view, it is likely that more behaviors will fall under the scope of laws against hate crimes, child pornography, and sexual misconduct, and that opportunities to participate in those behaviors will proliferate.

Technological advancements will give existing criminals new capabilities, often on a par with those of governments and law enforcement agencies. For example, the unmanned robots and drones currently used by the U.S. Army in Pakistan and Afghanistan could be used by gangs and other criminal elements to attack

Are Virtual Crimes Real?

As technology enables new forms of crime, it may be difficult to establish whether or not a crime has actually taken place and where to assign responsibility. Examples:

- A Missouri teenager, Megan Meier, committed suicide on the day after a fraudulent online chat partner suddenly broke off their relationship.

- Two elementary school students posted a video, "Top Six Ways to Kill Piper," on YouTube, in which they suggested ways to kill a classmate they did not like.

Violent video games are often cited as causing violent crime, and criticism is likely to grow as video games incorporate more advanced virtual-reality technology. Similarly, media personalities on the far right have been blamed for provoking the recent shooting of a security guard at the U.S. Holocaust Memorial.

Such episodes and reactions may presage a broader definition of responsibility for criminal acts as technologies advance at an accelerated rate.

—Eric Meade



ISTOCKPHOTO

their prey or one another. Low-cost unmanned airships or small submarines could be used to transport narcotics and other contraband. The use of unmanned devices could hinder efforts to assign responsibility to specific suspects or organizations.

New technologies will also be available to law enforcement agencies. However, social values and opinions will impact the ultimate level of their acceptance or rejection. For example, there is growing resistance to the use of conductive energy devices (i.e., Tasers), particularly after a series of highly publicized deaths. While there is widespread support for DNA testing, the Supreme Court has ruled that defendants do not have a right to a DNA test. In other cases, contamination or alleged tampering of these samples has served as a counterweight to their general acceptance by the public. It is unclear how the public would view greater extraction of information—facial features, ethnicity, height, weight, etc.—from DNA, as more and more health information goes digital.

New technologies may emerge not just to prosecute, but to punish as well. For example, social networking technologies may become so essential in the future that prohibiting nonviolent convicts from using them may have a deterrent effect similar to that of incarceration today. RFID and GPS bracelets are already used to monitor house arrest and parole violations. These systems could be linked to databases to provide greater preventive policing of sex offenders and other dangerous criminals.

To some extent, these types of monitoring technologies may be expanded to the general public, just as closed-circuit TV cameras have been installed extensively in London. These systems may be further enhanced by innovations in profiling, face recognition, gait analysis, and biometrics. It is worth noting that surveillance systems and GPS technology have gotten far ahead of the laws governing their use.

Social networking sites may play a much larger role in crime prevention and in identifying unhealthy social patterns while there is still time to

prevent the emergence of crime. For example, police monitoring of social networking sites may anticipate the shift from ordinary adolescent tribal-

“At the national and international levels, there may be a continued blurring of the boundary between counterterrorism and law enforcement.”

ism to gang-related violence, just as Google search data have been used to identify flu outbreaks. Services like Twitter may be used to anticipate criminal activity or to piece together the clues after the fact. In other cases, social networking may be used to organize community responses to crime or to civil rights violations by the authorities, similar to the role that Twitter played following the Iranian elections last year. Suspected criminals may also use social networking sites to alert their lawyers immediately of their arrest, or to coordinate their stories prior to interrogation.

These technologies will give communities an opportunity to construct systems of preventive and predictive policing that will recognize behavioral patterns, diagnose unhealthy social conditions, and tap into a database of crime-prevention strategies and outcomes to determine the best approach. This approach would likely require comprehensive sensing through video surveillance, monitoring of social networking sites, and direct community involvement by police officers. Given its potential effectiveness, public willingness to cede some privacy in the wake of 9/11, and the demographic changes described above, this type of preventive and predictive law enforcement may gain acceptance by the general public.

Many of these technologies offer new opportunities for law enforcement agencies to engage with the

communities that they serve. For example, police officers may use social networking to alert the local population of unsafe areas or conditions. Video games—especially simulations using virtual reality—could be used to prevent crime by teaching young people how to behave properly in society. Sophisticated modeling technology, similar to that now being developed in the health sciences, could allow young people to place “virtual twins” in criminal situations in order to evaluate their own psychological and neurological responses.

Economic Trends

What happens to the U.S. economy over the next 10 years will have significant implications for crime and law enforcement. While many indicators suggest that the recession may be easing, unemployment reached 10.2% in October 2009 and is expected to remain above the historical average for several years. This unemployment will drive higher levels of ordinary crime, as well as the psychologically regressive crime in which some breadwinners facing financial difficulty commit violent acts against their own families.

At the same time, economic crisis has driven budget cuts at the federal, state, and local levels, which may reduce the effectiveness of crime prevention and control efforts. The state of California faces deep budget cuts in many areas, among them prisons and law enforcement, after voters resoundingly defeated a set of proposed tax hikes. Law enforcement agencies will likely find themselves being asked to do more with less. Urbanization may lead law enforcement agencies in rural areas to consolidate or shut down, while suburban agencies may be subsumed into newly defined “metropolitan” regions. Budget constraints may affect law enforcement policy, such as by promoting the legalization of marijuana as a means to offset cuts in prison funding (both by reducing the numbers of criminals sent to prison and by opening up a revenue source if sales of marijuana were taxed like tobacco).

Many jurisdictions may seek new

technologies and processes to facilitate effective law enforcement at a lower ongoing cost, although the actual financial benefits are as yet unclear. For example, many of these technologies will require upfront investment that may be beyond the capacity of the relevant authorities. Budgets may also be cut for the innovation and research that would lead to these new technologies. Where new technologies — e.g., red light cameras — are introduced, they may reduce the revenue collected by local authorities through fines, once citizens have adjusted their behavior. Smart vehicles that automatically select a safe speed may similarly reduce the revenue from moving violations.

Environment and Resource Trends

Climate change could have immense implications for law enforcement in the United States. International refugees fleeing drought, disease, or food shortages would create a significant social and economic burden for communities and governments in industrialized countries. Rising sea levels could dislocate populations and destabilize coastal areas within the United States. Some areas may enter a downward spiral, where the rich leave, local investment suffers, and the people left behind have fewer economic opportunities other than crime.

Shortages of fuel, water, and other natural resources may increase theft of these resources. For instance, gasoline siphoning reminiscent of the 1970s might revive. In some cases, criminals may profit through the illicit sale of untreated or tainted water. Regulations on toxic chemicals may create new opportunities for criminal elements to profit by providing illegal storage or disposal. New markets created by a “cap-and-trade” system to reduce greenhouse gas emissions may be vulnerable to “green collar” crime — e.g., fraud, corruption, and market manipulation similar to that often seen in financial markets. Identity theft may emerge in these markets as “carbon theft,” in which one entity takes on another’s identity in order to enjoy

the benefit of their carbon credits.

Shortages of natural resources and changing public attitudes may also create new challenges for law enforcement. For example, many police departments placed mileage restrictions on their patrol cars when gasoline prices passed \$4 per gallon in the summer of 2008. Forecasts for “peak oil” suggest that, after the economy recovers and energy demand returns to its earlier levels, declining supplies could send oil prices steeply higher over the next decade. Law enforcement agencies may respond by reducing patrol car use, shifting to more fuel-efficient vehicles, focusing more on “virtual policing,” or assigning more police to foot or bicycle patrols. Similarly, public opinion may call for “green prisons” and “green police stations,” just as many are already calling for “green universities” and “green offices.”

Government Trends

Demographic shifts may increasingly translate into political shifts that have impacts on U.S. law enforcement. The face of the criminal justice system will change with the face of America, as seen in the appointments of Attorney General Eric Holder and Supreme Court Justice Sonia Sotomayor.

At the national and international levels, there may be a continued blurring of the boundary between counterterrorism and law enforcement, leading many law enforcement agencies into uncharted territory. Planning for man-made and natural disasters will prompt much greater integration across local, state, national, and even international jurisdictions, as well as across law enforcement, fire, EMS, health, and other services. A move toward integration is already evident in many federal agencies and in specific recommendations such as those of the bipartisan Project on National Security Reform.

Conclusion: Implications for Law Enforcement

Clearly there is considerable overlapping in the trend categories ana-

lyzed above; economic conditions have social and political impacts, and technologies alter lifestyles and attitudes, with often unexpected implications for criminal justice. By reviewing the larger trends at work in the social, technological, economic, environmental, and political contexts, we can better understand the potential futures of crime and justice.

Across all generations and population groups, it is important to ask how society will view crime and punishment even one decade from now. There is a growing fear that the U.S. corrections system has failed in its mission. Too many are incarcerated and too few are corrected—that is, many never escape the cycle of recidivism.

Longitudinal studies find higher mortality, higher health risks, and higher unemployment among those who have been released from prison than among the general population.

Many thought-leaders suggest that the U.S. criminal justice system has failed to address many of the factors that eventually lead to crime, such as inequality of opportunity, health and fitness problems, and inadequate education. Some suggest that the United States has tolerated the conditions that lead to crime, only to build more prisons to incarcerate the criminals.

How will society define “crime” and “justice” two or three decades from now? What types of crime will be of primary concern then that may not even exist today? What paradigms for punishment, correction, and reintegration into society will be broadly accepted and institutionalized? Only by addressing questions like these can we identify and implement the strategies — and vision — that will help us create the future we prefer. □



About the Author

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SEARCH Anniversary: The Next 40 years

Future Trends in Law Enforcement

Kimberly J. Del Greco
FBI CJIS Section Chief
November 2009



Luckily, our role is not to prophesize the future...

- ▶ Error cannot be avoided in predictions of the future
 - Unforeseen forces and events (e.g., 9/11, Hurricane Katrina) radically modify prior forecasts
 - Policing is shaped by a complex convergence of social, economic, cultural, technological, political, and legal forces
- ▶ Despite error, examining future trends and possibilities provides numerous benefits
 - Facilitates strategic planning in an arena that most frequently must focus on tactical response
 - Discussing the future expands the aperture of preparedness as a range of possibilities are considered

...Our duty is to remain effective in whatever future materializes



Technology will undoubtedly continue to radically change how crimes are committed and policed

- ▶ Increased sophistication and “boundaryless” characteristics of crimes pose new challenges
 - “Criminal and terrorist networks of the information age will be able to coordinate their actions quickly and effectively without centralized command and control structures, brick and mortar facilities, or hierarchical leaders who have been the standard target of traditional police operations”
Policing 2020
- ▶ Rather than forecasting what technology will be adopted, law enforcement must commit itself to be:
 - Flexible
 - Nimble
 - Adaptable
- ▶ FBI Criminal Justice Information Services (CJIS) Division is committed to provide timely and relevant criminal justice information and utilize state-of-the-art technology

We look out for trends on the horizon...



Law Enforcement requires greater ability to sift, process, and share the petabytes of available data

▶ Data Explosion

– 13 million gigabytes of information are added to the world's databases every day; a sizeable proportion can be used for criminal and/or terrorist purposes¹



– Law Enforcement information might be in the form criminal history information on suspects, geographic location information, video images from a surveillance camera, voice transmission from a police officer in another department, or any other type of information from any other digital node on the network



▶ Law Enforcement Processing Lags

– The data management method of choice in departments is still manual filing human clerks, paper forms, methc and meta

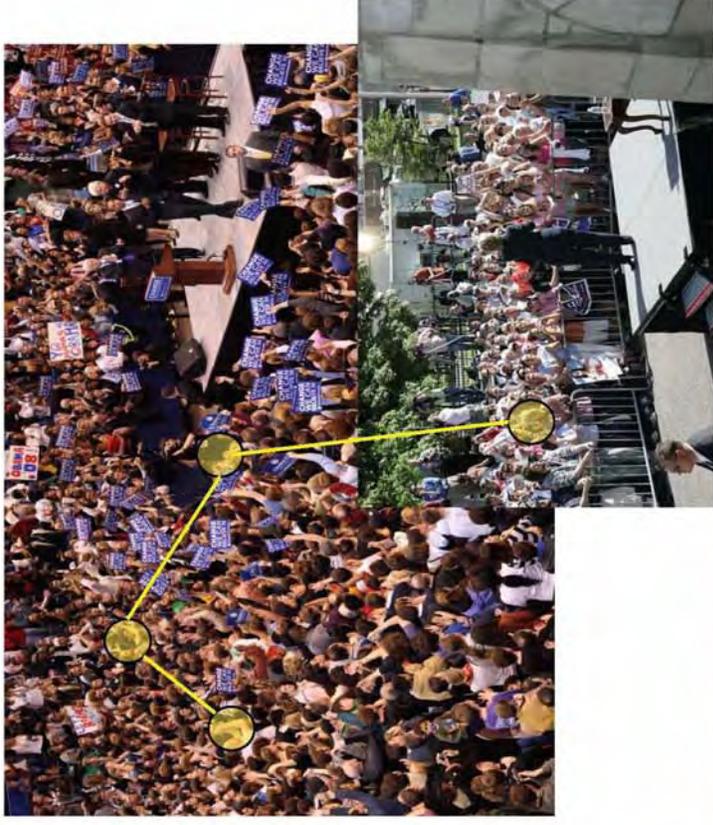


(1) "Policing 2020" Available at: <http://www.policefuturists.org/pdf/Policing2020.pdf>

FOR OFFICIAL USE ONLY

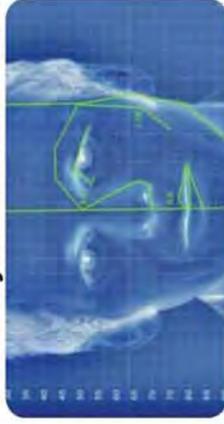
CJIS promotes effective sharing that encompasses biographic, biometric, and contextual data

- ▶ Fusing contextual and identity information we can better protect national security
 - FBI representatives collaborate on the Homeland Security Presidential Directive-24 Action Plan where policy and procedure formalizes the responsibility to share with federal, state, and local partners
- ▶ Exploring the potential biometric enabled intelligence to...
 - Derive further information from biometrics
 - Match a known/unknown to a place, activity, or device
 - Facilitate high-value individual targeting
 - Reveal movement patterns



CJIS programs seek to push pertinent information to its users and reduce their burden to search

- ▶ Today and on the horizon:
 - Next Generation Identification Rap Back capabilities: Allowing authorized agencies to receive notification of subsequent criminal activity reported to the IAFIS on individuals holding positions of trust
 - National Data Exchange System (N-DEX) subscriptions: Allows investigators to register a subscription for any records. If any N DEX user searches for the same, or a similar entity, N DEX will notify the user who set the subscription
 - The FBI's Facial Recognition (FR) Prototype with Carolina DMV: Provides new leads on fugitives to when FR technicians working with North FR system match false identities



Increasingly sophisticated means to mask identity must be combated with positive identification capabilities

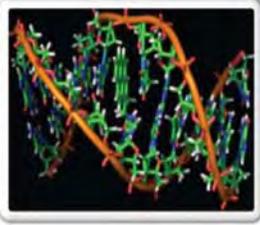
- ▶ Weakened ability for positive identifications
 - Innate weaknesses of relying on behavioral biometrics (passwords, Pins, ID cards)
 - It is estimated that only five percent of cybercriminals are or convicted because the anonymity associated activity makes them hard to catch, and the trail to link them to a cybercrime is hard to unravel



- ▶ The push for multimodal identification
 - One form of biometric identification can be insufficient. For instance, with fingerprints, it is estimated that at least 10% of the population have worn, cut or unrecognizable prints¹
- ▶ Expanded use of multimodal identification drives the need for interoperability and interagency database sharing



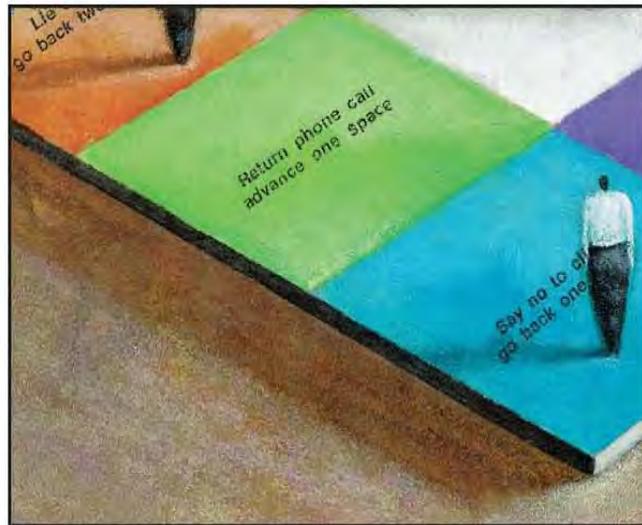
On the horizon, CJIS seeks to deploy enhanced, on-the-spot identification capabilities

- ▶ Quick Capture Platform
 - Objective of moving toward blackberry-sized
- 
- 
- 
- ▶ Rapid DNA processing technology (partnered with DoD and DHS): provide on-location DNA results for federal, state, and local crime investigations, military, and the Intelligence community
 - Objective to have results in under one hour
- 

Focus on Management

Empowerment and Accountability *Tools for Law Enforcement Leaders*

By Tracey G. Gove, M.P.A.



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The field of law enforcement demands the self-initiated thinking, innovation, team problem solving, and officer freedom that result from employee empowerment. Supervisors at all levels should recognize that empowering workers offers many benefits, to include decreased work-related stress, increased job satisfaction, employee involvement and contributions beyond normal expectations, enhanced commitment to the organization, and positive business outcomes.¹

Accountability must accompany empowerment. Skilled supervisors will carefully balance both and not vest too much attention to one, thus “tipping the scale” and creating undesirable consequences. Excessive freedom may cause workers to feel alienated or confused, resulting in a loss of direction and motivation. Also harmful is unreasonable oversight, or micromanagement. Leaders able to balance the proper levels of empowerment and accountability increase employee competence, knowledge, and skills and help the organization grow.

SIGNIFICANCE FOR LAW ENFORCEMENT

Empowerment and accountability hold great importance for law enforcement officers, who possess a tremendous amount of responsibility and significantly less line-of-sight supervision than employees in most other occupations. Thus, the inherently autonomous nature of law enforcement work carries a strong need for independent decision making. Similarly, the potential consequences including liability of police-citizen encounters necessitate careful accountability.

Further, today’s officers are highly educated in a variety of subjects and have a wealth of knowledge and diverse backgrounds. They have learned to think and make decisions independently.² A work environment that fails to empower these individuals will erode their motivation, direction, and self-initiation.³ The effects of this devalued work spirit can become exacerbated among some of the younger police officers in the current workforce who may require considerable motivation.⁴

EMPOWERMENT

Two different empowerment strategies exist. In the relational approach—likely the form familiar to most people—leaders delegate power and authority to officers who share in decision making.⁵ Also, no bureaucratic red tape exists that requires officers to continually seek supervisory approval before they take action. Once power is decentralized, officers will solve problems and find innovative ways to achieve organizational goals. For example, they may have flexibility to change work hours to meet with a citizen group, select necessary equipment to complete a task more efficiently, or work in a temporary task force charged with finding ways to eradicate a specific type of repetitive crime.

The motivational approach to empowerment involves less delegation of power and authority.⁶ Rather, this strategy places more emphasis on communication, goal setting, and feedback. Praise and recognition offset stress and anxiety while impressing upon officers the importance of their contributions to agency goals.⁷ Advocates of this approach believe that it will increase feelings of ownership, responsibility, capability, and commitment to organizational goals and objectives.⁸

The key to both methods is understanding that empowerment, ideally, will come as part of the overall work environment practiced at each level of management. Realistically, however, this is not always the case. Although an agency may not have an empowerment strategy per se, supervisors, especially those at the first-line rank, can formulate their own informal plans and have a genuine impact. First-line supervisors, close to the day-to-day decisions, are best suited to influence and develop officers. Any actions or decisions,

however, must be appropriate for the supervisor's level of authority.

Implementing the Process

Law enforcement officers acquire skills, abilities, and knowledge through rigorous and extensive academy training, in-service and specialized courses, and on-the-job experiences that enable them to further hone expertise as they become seasoned. The empowerment process simply liberates officers and encourages them to recognize and

use the power and abilities they already have gained.⁹ Empowerment also follows the theory and practice of developing future leaders as those on the front lines learn valuable leadership skills. They later will use these as they receive promotion within the agency.

Those striving to empower their employees will find guidance from the situational leadership model.¹⁰ Although primarily for directing line personnel in a variety of ways

based on specific identifiable behaviors and situations, the theory has pertinent application when attempting to influence and empower others. Taken in its most basic framework, the model details a continuum of leader and follower actions that progresses through four cycles toward empowerment. It incorporates components of both the rational and motivational approaches.

Prior to implementing such a plan, leaders must ensure that officers have a complete and accurate understanding of their functions and roles and also must remain cognizant of any deficiencies or issues that arise. Leaders will need to address and correct noted shortcomings before progressing to each new cycle.

The end result moves beyond mere delegation of tasks. It culminates in confident, self-directed,

“

**Accountability
must accompany
empowerment.
Skilled supervisors
will carefully
balance both....**

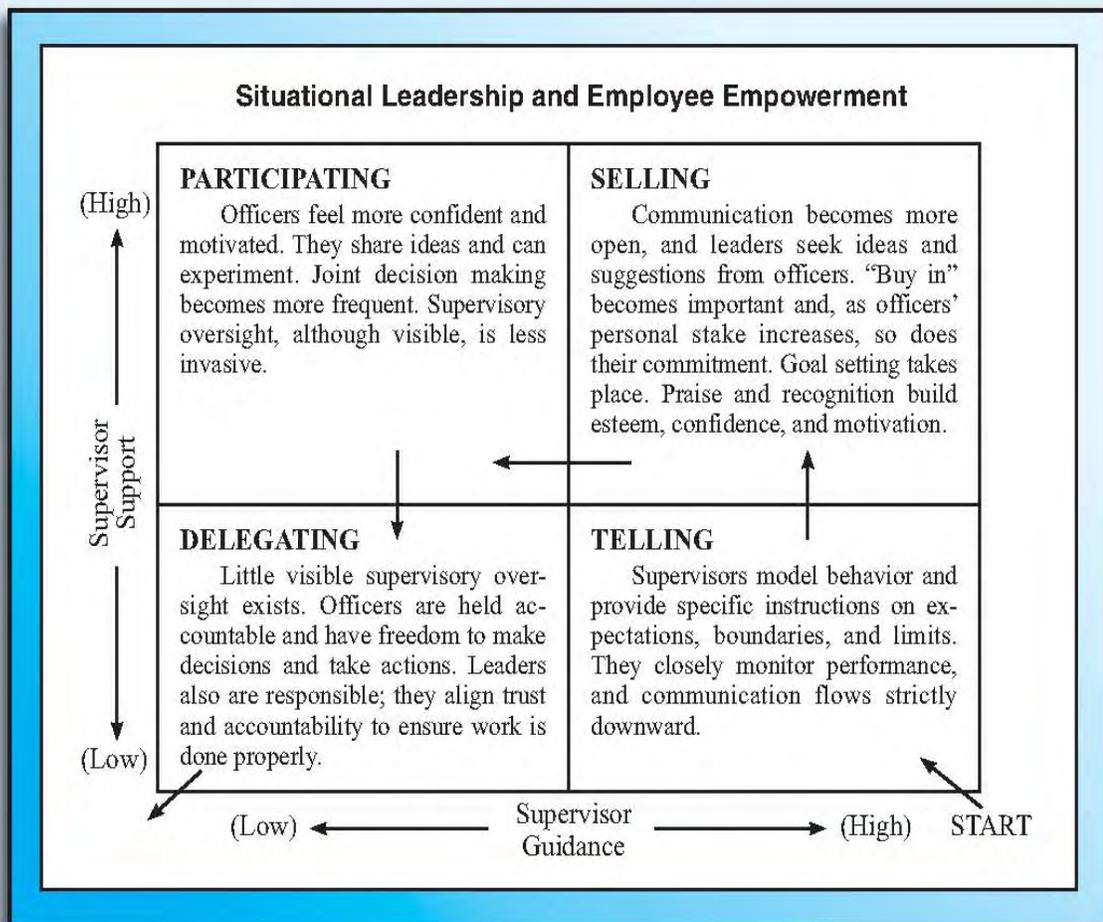
”

and intrinsically motivated officers. When the plan is implemented properly, officers will align their performance with learned supervisor preferences.¹¹ Ultimately, employees in the line and staff positions of the organization will work more closely toward the same goals.

Identifying Roadblocks

Unfortunately, some agencies will see their empowerment efforts fail for several reasons. Leaders may hold responsibility by

- only speaking of empowerment but never actually taking steps toward implementation;¹²
- never properly training, educating, and preparing officers to accept additional responsibilities;
- relying on their position of power for identity and security and, thus, finding the empowerment process a threat to their authority and worth (both to themselves and to the organization);¹³
- disliking change and fearing risk and the unknown;¹⁴ or
- simply not trusting officers to make knowledgeable, proper decisions without



supervisory oversight, perhaps, because they believe their way is the best and only method to accomplish the mission or reach goals.

Other times, officers resist the empowerment process, instead preferring the strict, chain-of-command, one-way decision making found in police organizations of the past. Some officers may need special attention, requiring less freedom and more oversight. This commonly occurs with new, resistant, or disgruntled officers or those having performance issues, thus temporarily requiring close monitoring. In these situations, leaders should slowly and carefully initiate the empowerment process. Their main goals will be to provide guidance and probe for independent thought by asking open-ended questions, such as "What do you think should be done?" and playing devil's advocate to stimulate thinking.

ACCOUNTABILITY

Much of the literature on empowerment fails to address the essentiality of holding empowered employees accountable. Failing to provide reasonable supervisory oversight can result in officer misjudgments, overconfidence, or abuse of authority. The resulting errors in police work that may occur can have disastrous consequences.

Whereas the process of empowering officers with more autonomy, power, and authority flows down the police hierarchy, accountability starts at the bottom and moves up. Empowered employees are responsible for completing tasks properly, diligently, and efficiently. As they do so while becoming more self-directed, trust builds among those overseeing them. Supervisors learn which officers use power and authority appropriately and wisely. However, if not held responsible, officers may drift

and become confused or unmotivated. Empowerment requires accountability to be meaningful.

Similarly, officers understand that what they do matters and that others recognize their efforts. Praise and recognition reward those who fulfill goals and expectations. But, employees who fail to try or whose work is substandard meet with corrective consequences, such as retraining, less freedom, and stronger, more invasive supervisory oversight.

Accountability also sends a message to others in the organization. Those not directly affected will be watching and notice any action or inaction by the supervisor. This will set the tone for future behavior, demonstrate expectations, and establish the value of achievement, as well as the repercussions for nonperformance. Follow-through by the supervisor is crucial for advancing the empowerment process within the agency.

Establishing the Plan

Accountability begins with careful planning by the law enforcement supervisor, who establishes performance standards, measurement milestones, desired outcomes, a system for reviewing progress, and contingency planning for unexpected adversity. Officers should take part in this process and accept new responsibilities.

Communication and regular feedback prove vital, especially during the selling, or coaching, phase. As officers meet milestones and goals, supervisors must make them aware of their progress as this provides positive reinforcement and encourages further growth. And, when officers do not meet goals, this information will help them negotiate any changes they need to make.

“

**Empowerment...
follows the theory
and practice of
developing
future leaders....**

”

Officers will need reinforcement to overcome the fear of making decisions and taking actions without prior approval. Supervisors must allow them time to ask any questions that may arise and must clarify anything not understood. Agencies cannot realistically hold officers accountable without a clear understanding of goals, objectives, and a means of evaluation.

Supervisors must provide adequate resources and, when feasible, extensive training opportunities to ensure that officers have the right skills.¹⁵ They should refine or develop policies and procedures that create and clearly define a culture of empowerment as the process is continual.

Recognizing Barriers

Implementing accountability can prove challenging. Unfortunately, efforts can fail for several reasons, including—

- communication gaps or failures;
- confusion regarding expectations or goals;
- misunderstood or nonexistent means of measurement and evaluation;
- neglect of proper oversight by supervisors trying to avoid a reputation as a micromanager;
- supervisors' failure to address issues because of a fear of potential confrontation, conflict, or employee resentment, particularly in police work, where strong personalities abound; or
- inaction by supervisors afraid that taking action at an inappropriate time will backfire and result in a setback or a perception by officers of a lack of trust.

In many cases, supervisors simply fear that employees will see reasonable oversight as something

sinister. Unfortunately, the word *accountability* itself often carries the negative stigma of punishment or discipline. However, once supervisors give officers authority and power, they must ensure that their employees complete work properly.

CONCLUSION

Only through empowerment will officers become fully engaged, motivated, and willing to follow leaders. Supervisors must carefully design and orchestrate the empowerment process. Too much freedom will result in officers feeling alienated or confused and will leave them open to guessing in uncertain situations. It also will make them vulnerable to undue influences, such as negative peer pressure and a lackadaisical work ethic.

Accountability also must exist in the right proportion. Too little may send the message that supervisors are disinterested or ambivalent. Too much may stifle independent thought and decision making.

Supervisors must create a culture where independence, innovation, and risk taking are nurtured and tempered with reasonable supervisory oversight. This venture will result in more productive officers, stronger leaders, and a law enforcement agency better prepared to support the community it serves. ♦

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...once supervisors give officers authority and power, they must ensure that their employees complete work properly.

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Endnotes

¹ Linda Honold, "A Review of the Literature on Employee Empowerment," *Empowerment in Organizations* 5, no. 4 (1997): 202-212; and James Kouzes and Barry Posner, *The Leadership Challenge* (San Francisco, CA: Jossey-Bass, 2003).

² Randy Sonnenberg, "The Empowerless Manager: Achievement of Success," *Journal of California Law Enforcement* 32, no. 2 (1998): 12-14.

The Future of Police Image and Ethics

By Joseph A. Schafer, Associate Professor, Center for the Study of Crime, Southern Illinois University Carbondale, Carbondale, Illinois

Other articles included in this issue of *The Police Chief* have provided an overview of the contemporary challenges and best practices associated with professional and ethical policing. This article reviews highlights of the advances of professional policing in recent decades and illuminates the obstacles that continue to prevent the image of police from becoming more positive. Also included is a discussion of the future of police ethics, including pre-service behavior standards, evolving forms of off-duty behavior that might be problematic for police agencies, the role technology may play in preserving a healthy police image, and the future of accountability to citizens and communities.

Pre-service Behavior Standards

Questions and debate surrounding the regulation of pre-service behavior are not new. The use of alcohol, and especially underage drinking, by candidates is a long-standing issue. Contemporary manifestations of the behavior standard discussion now center on issues such as youthful experimentation with controlled substances as well as digital and online behavior. In a time of dwindling applicant pools and high employee attrition, some agencies have questioned whether conventional zero-tolerance stances are feasible and responsible.

Agencies currently struggle with the question of whether pre-service experimental use of controlled substances should disqualify an applicant. Does such use reflect poor character or judgment, suggesting that an applicant is ill suited for police work? Does it suggest that the applicant might have credibility issues when testifying in court? If some drug use is allowed, what are the parameters on the type of drugs, the frequency of use, and the time lapse since the last use?¹

With the rise of computer and network technology comes the need for candidate accountability for digital and online behavior. Would it be appropriate to refuse employment to an otherwise exemplary candidate who downloaded audio, video, or other computer files without proper purchase or permission? Does an applicant who made an illegal copy of a college roommate's CD have serious flaws in judgment and character? Does the response to these questions differ depending on the position for which a candidate is applying—for example, a local patrol officer position versus a federal special agent position? As with controlled substances and underage consumption of alcohol, the debate focuses on the parameters of acceptable digital and online conduct.

Social-networking sites on the Internet provide people with a portal for connecting with others, sharing information and the opportunity to express their creativity. Today, many future police officers make extensive use of online profiles, photographs, videos, and blogs. Departments have found these sites to be rich in information for evaluating candidates and therefore mine data from these sites during background checks. It has been found that users of the networking sites often feel uninhibited online and express themselves in manners different from how they behave in person. In addition, some users even create false profiles of themselves. Confronted with this new source of personal information about candidates, agencies need to decide on acceptable parameters of creativity expressed on personal Web sites.

Agencies certainly seek to hire candidates of integrity, whose character and conduct will not be assailed on the witness stand. At the same time, those preparing to enter police work may have different views and values about their behavior than their potential employers.² At present, it is not clear whether an occasional “music pirate” will make a poor or non-credible police officer. Executives would be well advised to consult with local human-resources experts to understand how and even whether to account for such behaviors in the screening process.

Digital Technologies and Off-Duty Behavior

Besides raising concerns at the pre-employment screening phase, digital technologies create new opportunities for existing personnel to engage in off-duty conduct that may be lawful but may still promote a negative image of their agency. Recent years have produced many instances where officers of various ranks and their families have been discovered in compromising or morally questionable online behavior. Online conduct that is sexually overt or morally questionable or that demonstrates bias or poor judgment can be a real problem for agencies. How should agencies handle officers using eBay to sell images of themselves masturbating?³ What about officers posting pictures of themselves engaging in group sexual relations? Are there parameters on what officers can post on their blog or personal page at a social-networking site? Arbitration procedures and the courts are constantly shaping the parameters of protected and punishable behaviors. Police departments must keep themselves updated on these rulings.

The moral and legal parameters governing off-duty behavior exemplify the notion of a gray area for a standard of conduct. Currently there is limited information available to guide agencies and executives in setting appropriate and lawful parameters in the personal use of modern technology. As the volume of relevant incidents increases with time, policies and procedures to assist executives in handling these incidents will need to be prepared. Poor handling of these matters may actually compound the problem by bringing media attention and public scrutiny to the agency. Executives considering action against an officer should seek the advice of their agency’s legal counsel to ensure that their actions are within the boundaries of the law.

Technology and the Police Image

In the last decade, in-car video camera systems have become both a tool for law

enforcement (e.g., recorded evidence of field sobriety testing) as well as a means of ensuring police transparency. The audio and video images provided by these systems have allowed countless officers to rebut false claims of abuse and inappropriate conduct.⁴

Video-recording capabilities are diversifying rapidly. Many cellular telephones now incorporate low-resolution recording devices. These first-generation devices are small in size, have limited quality, and may not include audio recording, and they can usually capture video for only a short period of time before reaching the system's memory capacity. However, as technologies expand into second and third generations, significant improvements are typical. This means that in the next decade agencies will likely deploy small, high-quality wearable video-recording devices in the field with officers. The military is already using expensive and somewhat cumbersome systems in combat zones.

It is only a matter of time before improved, streamlined, and cost-effective systems can accompany officers on patrol. These devices will be able to record every interaction officers have with citizens, creating evidence supporting officers when they perform their duties in an appropriate manner. Averting just a few lawsuits could offset the expense of such a system. But would the culture of a given police agency embrace this technology? At times, officers have resisted in-car systems because of the feeling they create that Big Brother is watching. Although these systems can provide evidence that officers are performing their duties in an appropriate manner, their presence also carries an implicit assumption that officers might not behave in a lawful and respectful manner. Reasonable people can disagree on whether an agency should compel its professional officers to be recorded during the course of their duties. In agencies where they are able to speak for officers, labor organizations likely have views on the use of such devices.

Beyond audio and video recording, other technologies are enhancing the level of transparency within police operations. Some departmental Web sites allow citizens to map recent crimes in their neighborhood.⁵ Computer systems and expanded telephone/voicemail networks (for both entire agencies and specific officers in an agency) make an organization more open and improve access to employees.

At the same time, the expansion of inexpensive, handheld video-recording technology in the hands of citizens has also enhanced the transparency of policing, although citizens have used these devices mostly to highlight cases where officers have overstepped their rights in effecting arrests.

Proper use of audio, video, and Web-based information systems can help to create an image of police officers and agencies as open, honest, and accessible. Agencies should continue to work with technology manufacturers to develop new tools and applications that will both preserve the integrity of policing and enhance the image of police professionalism.

Accountability

Regrettably, there are daily reports of officers and agencies that have allegedly violated their oath and duty to the community they serve. While many of these allegations will ultimately be found frivolous, others illustrate failures in ethics and accountability systems. The volume of national news on this matter obscures the tremendous advances the police profession has made in recent decades. Although each contemporary misdeed still provides cause for concern, it is important to recognize the achievements in improving officer professionalism and agency accountability. Unfortunate incidents do occur, but policing has succeeded in laying the foundation for a strong and pervasive culture of integrity. The remaining question is how to improve street-level police operations. Although accountability mechanisms, higher educational standards, and ethics awareness training are all laudable steps, do they suffice to bring about a fundamental improvement in the routine behaviors of police officers on the street?⁶

Agencies must embrace the development of new technological applications not only to enhance officer safety and improve the success of prosecution efforts, but also to allow citizens to better understand crime and policing in their community. Police executives need to provide effective leadership to ensure a culture of true integrity and accountability in their agency. Those who design ethics training and other educational seminars must seek out ways to move beyond simply telling officers to do the right thing; ethics training should ideally empower officers to anticipate the complex moral choices they must make, sometimes in a matter of seconds. Agencies must continue to reinforce the notion that officers and agencies serve the public; this service includes an element of transparency and accountability.

Plan for the Realities of Tomorrow

For decades, police agencies have struggled to generate and sustain a positive police image and an ethical organizational environment. Numerous advances have been realized, but the process continues. Police officials and community leaders must continue their dialogue in the search for ways to strengthen their organization's culture of integrity. In looking toward the future, police executives should consider how technological and social change creates both new challenges and new opportunities. Shifting social values and behaviors mean different prior experiences that prospective employees bring to an agency. These values, coupled with emerging technologies, also modify how some officers will express themselves when off duty. Professional organizations must begin to explore the legal and ethical parameters of pre-service and off-duty behavior, with the goal of providing executives with a better understanding of the rights of employees and agencies.

Technological and social changes also represent an important opportunity for agencies to enhance their image and improve their ethics. Technological applications provide new ways to monitor officer conduct, which has the potential to enhance officer safety, improve offender prosecution, and protect officers from frivolous complaints and lawsuits. At the same time, however, these benefits can be offset by potential opposition from officers and labor associations that view these technologies as invasive and

unnecessary.

Agencies now have increasing opportunities to provide transparency in various aspects of their operations. Transparency enhances accountability and can improve the overall image of an agency, yet it can also provide critics with ammunition to make distorted claims. Police executives must understand both the opportunities and difficulties presented by technological and social change. The implications of these developments may vary from agency to agency, but the key for all police executives is to plan today for the realities of tomorrow. ■

Notes:

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

²See generally Sameer Hinduja, *Music Piracy and Crime Theory* (New York: LFB Scholarly, 2006); R. B. Kini, H. V. Ramakrishna, and B. S. Vijayaraman, "Shaping of Moral Intensity regarding Software Piracy: A Comparison between Thailand and U.S. Students," *Journal of Business Ethics* 49 (January 2004): 91–104; and H. V. Ramakrishna, R. B. Kini, and B. S. Vijayaraman, "Shaping of Moral Intensity regarding Software Piracy in University Students: Immediate Community Effects," *Journal of Computer Information Systems* 41, no. 4 (2001): 47–51.

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

⁴According to the 2004 IACP In-Car Camera Report, police officers are exonerated in 93 percent of complaints when incident video is available; see International Association of Chiefs of Police and Community Oriented Policing Services, *The Impact of Video Evidence on Modern Policing: Research and Best Practices from the IACP Study on In-Car Cameras*, 2004, www.theiacp.org/documents/pdfs/WhatsNew/IACP%20In-Car%20Camera%20Report%202004.pdf, April 26, 2007, 15.

⁵The Chicago Police Department exemplifies an agency that has invested considerable resources to make community crime data accessible to the public. Their Citizen Law Enforcement Analysis and Reporting (CLEAR) program is the latest version of an effort that dates back to the early 1990s (see gis.chicagopolice.org for details).

⁶Samuel Walker, *The New World of Police Accountability* (Thousand Oaks, Calif.: Sage Publications, 2005), 171–173.

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