

---

# Research Utilization Program

---

## Improving Police Management

### *Participant's Handbook*

a program of the **National Institute of Justice**



United States Department of Justice  
National Institute of Justice  
Office of Development, Testing, and Dissemination

IMPROVING POLICE MANAGEMENT

PARTICIPANT'S HANDBOOK

Prepared by:

Donald F. Cawley  
Joseph A. Kelly  
Victor Strecher

National Institute of Justice

Louis A. Mayo, Jr.  
Program Manager

This handbook was prepared by University Research Corporation, Sheldon S. Steinberg, Project Director, pursuant to Contract No. J-LEAA-014-81 awarded by the Law Enforcement Assistance Administration, U.S. Department of Justice, Under the Omnibus Crime Control and Safe Streets Act of 1968, as amended. The points of view or opinions expressed do not necessarily represent official policy or positions of the U.S. Department of Justice.

The National Institute of Justice reserves the right to reproduce, publish, translate, or otherwise use, and to authorize others to publish and use all or any part of the copyrighted material contained in this publication.

Copyright 1982  
University Research Corporation  
Washington, D.C.

## ABOUT THE NATIONAL INSTITUTE OF JUSTICE

The National Institute of Justice is a research, development, and evaluation center within the U.S. Department of Justice. Established in 1979 by the Justice System Improvement Act, NIJ builds upon the foundation laid by the former National Institute of Law Enforcement and Criminal Justice, the first major Federal research program on crime and justice.

Carrying out the mandate assigned by the Congress, the National Institute of Justice:

- Sponsors research and development to improve and strengthen the criminal justice system and related civil justice aspects, with a balanced program of basic and applied research.
- Evaluates the effectiveness of federally-funded justice improvement programs and identifies programs that promise to be successful if continued or repeated.
- Tests and demonstrates new and improved approaches to strengthen the justice system, and recommends actions that can be taken by Federal, State, and local governments and private organizations and individuals to achieve this goal.
- Disseminates information from research, demonstrations, evaluations, and special programs to Federal, State and local governments; and serves as an international clearinghouse of justice information.
- Trains criminal justice practitioners in research and evaluation findings, and assists the research community through fellowships and special seminars.

Authority for administering the Institute and awarding grants, contracts, and cooperative agreements is vested in the NIJ Director, who is assisted by an Advisory Board appointed by the President. The Board recommends policies and priorities and advises on peer review procedures.

Reports of NIJ-sponsored studies are reviewed by Institute officials and staff. The views of outside experts knowledgeable in the report's subject area are also obtained. Publication indicates that the report meets the Institute's standards of quality, but it signifies no endorsement of conclusions or recommendations.

James K. Stewart  
Director-Designate

04983

HV  
7935  
.038

TABLE OF CONTENTS

	<u>Page</u>
Acknowledgements . . . . .	1
Planning Session Participants . . . . .	2
Research Utilization Program . . . . .	3
Pilot Workshop Participants . . . . .	11
Workshop Schedule . . . . .	12
Training Team . . . . .	14
Welcome and Orientation . . . . .	17
DAY I	
SESSION 1: Overview of Improving Police Management . . . . .	19
SESSION 2: Roles of the Manager--Practical Application . . . . .	31
SESSION 3: Work Demands Analysis . . . . .	51
DAY II	
SESSION 4: Policy/Program Review Process . . . . .	81
SESSION 5: Calls for Service Management . . . . .	121
SESSION 6: Investigations Management . . . . .	153
SESSION 7: Patrol Management . . . . .	189
DAY III	
SESSION 8: The Concepts of Directed Patrol: Strategies and Tactics . . . . .	203
SESSION 9: Managing Change . . . . .	237
SESSION 10: Synthesis/Wrap-Up . . . . .	257

APPENDIX A - IMPROVING POLICE MANAGEMENT QUERY INSTRUMENT . . . .	259
APPENDIX B - SOME CUTBACK MANAGEMENT TACTICS . . . . .	271
APPENDIX C - THE ROLES OF A MANAGER . . . . .	274
APPENDIX D - A GUIDE FOR PROGRAM IMPLEMENTATION PLANNING . . . .	298
APPENDIX E - PATROL MODELS FROM MANAGING PATROL OPERATIONS . . .	306
APPENDIX F - INSTRUCTIONS ON HOW TO USE THE NEW CRIME INVESTIGATION FORM (Rochester, New York Police Department) . . . . .	315
APPENDIX G - SAMPLE COPY OF COMPLAINT REPORT (Rochester, New York Police Department) . . . . .	329
APPENDIX H - CRIME ANALYSIS . . . . .	332
APPENDIX I - ANALYSIS OF THE CRIME OF RESIDENTIAL BURGLARY (Columbus, Georgia Police Department) . . . . .	345
APPENDIX J - SELECTION USE OF VARIOUS TACTICS . . . . .	353

## ACKNOWLEDGEMENTS

In developing the training program for Improving Police Management the training staff of University Research Corporation received invaluable assistance from a number of police officials and other knowledgeable persons throughout the country as well as the program managers at the National Institute of Justice.

Our first expression of thanks go to the Chiefs of Police, and their staffs, of the Managing Criminal Investigations and Managing Patrol Operations Field Test agencies who so willingly shared with us their experiences in implementing these programs. The Improving Police Management program builds upon the learnings of those agencies.

We next wish to thank the 78 police departments which responded to a detailed inquiry concerning selected components of the Managing Criminal Investigations and Managing Patrol Operations programs. The information received proved most useful in focusing upon the current needs in police management.

We are also grateful to those police executives and experts who participated in a two day planning conference to develop the content matter and training design of this program. Their advance preparation and active interaction substantially contributed to shaping of the program.

Also to be thanked are the participants from five police departments in the metropolitan Washington, D.C. area who attended the pilot test of Improving Police Management on March 26-27, 1981. The contribution of their insight and candor have provided us with the information to make the program better.

Within the Criminal Justice Research Utilization Program administered by University Research Corporation we are grateful to Dr. Sheldon S. Steinberg for his leadership; to Michael Chapman for his excellent skills in producing volumes of neat accurate and presentable copy in a very short time; and to Jake Roberts for providing logistical support so that everything happened when it was supposed to. Also to be thanked are the fine staffs of the Administrative Services and Media Divisions of URC whose fine work contributed substantially to this program.

Finally, the recommendations and directions received from Messers. John Bonner, Robert Soady, and Louis Mayo of the National Institute of Justice were both helpful and appreciated.

Donald F. Cawley Team Leader  
Improving Police Management

March, 1981

PARTICIPANTS AT NOVEMBER, 1980 PLANNING CONFERENCE ON DESIGN OF  
IMPROVING POLICE MANAGEMENT TRAINING WORKSHOP

Dr. Victor Strecher  
Texas Criminal Justice Center  
Sam Houston University  
Huntsville, TX 77341

Mr. Tom McEwen  
Research Management Associates, Inc.  
1345 Butter Churn Drive  
Herndon, VA 22070

Bishop Robinson  
Deputy Commissioner  
Baltimore City Police Department  
601 E. Fayette Street  
Baltimore, MD 21202

Major Sam Killman  
Charlotte Police Department  
825 East 4th Street  
Charlotte, NC 28202

Hon. Thomas Hasting  
Police Chief  
Rochester Police Department  
Civic Center Plaza  
Public Safety Building  
Rochester, NY 14614

Hon. John L. Tagert  
Chief of Police  
Colorado Springs Police Department  
224 E. Kiowa  
Colorado Springs, CO 80903

Harry S. Hansen  
Inspector  
LA County Sheriff's Office  
Los Angeles, CA 91501

National Institute of Justice

Louis Mayo, Director  
Training and Testing Division

John Bonner  
Program Manager

James Gardner, Social  
Scientist, Program  
Specialist

University Research Corporation  
Research Utilization Program

Donald Cawley  
Team Leader

Joseph Kelly  
URC Coordinator

Inese Balodis  
Evaluation Specialist

Dr. Sheldon S. Steinberg  
Project Director



## RESEARCH UTILIZATION PROGRAM

### WHAT IT IS

The National Institute of Justice (NIJ), part of the U.S. Department of Justice, supports wide-ranging research in criminal justice, including the testing and evaluation of innovative programs. As new knowledge is gained, the Institute follows through with the essential step of communicating what has been learned and any related policy, program, and research implications.

The Research Utilization Program, administered by NIJ's Office of Development, Testing, and Dissemination, makes research and evaluation results accessible to criminal justice officials, other government executives, community leaders, and researchers. The goal--to influence crime control and criminal justice improvement efforts and map out future research strategies.

### HOW IT WORKS

The Research Utilization Program (RUP) consists of three elements: Research Utilization Workshops, Special National Workshops, and Field Test Support.

#### Research Utilization Workshops (RUWs)

These are workshops held for criminal justice practitioners, government executives, and community leaders on the application of research and evaluation results to public policy and programming.

Research Utilization Workshops address subjects where a body of research findings suggest new program approaches. They are oriented to action or operations and address important needs of state and local governments. The topics chosen are generally based on NIJ Field Tests, Program Models that outline potential program options and the advantages and disadvantages of each, or research/evaluation studies.

Prior to 1981 the RUWs were normally 3-day workshop series held at several locations across the country and attended by 50 to 90 top criminal justice policymakers and administrators in a multistate area. In 1981 the Institute began to look at less costly ways to conduct training and disseminate research findings. One major approach being considered is the use of modern telecommunications technology. This method of delivery seems particularly promising in reaching relatively large, geographically dispersed audiences.

Since its inception RUP has presented workshops on a wide range of topics which were attended by several thousand criminal justice officials, other government executives, community leaders, and researchers. The topics covered in these workshops included:

- Improving Police Management
- Neighborhood Justice Centers
- Compensating Victims of Crime
- Cutback Management in Law Enforcement and Criminal Justice

- Developing Sentencing Guidelines
- Community Crime Prevention Planning
- Management of Stress in Corrections
- Operating a Defender Office
- Improved Probation Strategies
- Maintaining Municipal Integrity
- Managing the Pressures of Inflation
- Managing Patrol Operations
- Health Care in Correctional Institutions
- Victim/Witness Services
- Prison Grievance Mechanisms
- Managing Criminal Investigations
- Juror Usage and Management
- Rape and Its Victims

Participants in RUWs receive summary findings of relevant research, comprehensive bibliographic references, individual program planning guides, self-instructional materials, handbooks, and selected readings. Each participant is awarded a certificate of attendance at the workshop's conclusion. Multimedia packages on most RUW topics are available on request to agencies interested in implementation. Included are videotapes, Institute publications, handbooks, manuals, and other resource documents.

#### Special National Workshops (SNWs)

Special National Workshops are one-time events designed to establish directions for future research or share information and develop awareness among executives and policymakers.

The SNWs inform researchers and practitioners about important new research and evaluation findings, define appropriate new directions for NIJ research, and meet the needs of groups such as elected officials, planners, and evaluators for information on current research and advanced practices in aspects of criminal justice. These workshops are less operationally oriented than RUWs or Field Tests since they do not represent a particular program design or specific program options. They do, however, have action implications for public policy, present practices, and future research.

The Research Utilization Program assembles a team of nationally recognized experts on each SNW subject. Extensive conference support services are also provided for the workshops, including multimedia development, editing and publication of materials, and logistical support.

Special National Workshops have been held on:

- Research and Evaluation Methods and the Third National Workshop on Criminal Justice Evaluation--An update of recent developments and methods used to investigate and analyze social programs and criminal justice evaluation procedures.
- Historical Approaches to Studying Crime--Modern-day criminal justice problems approached through an historical perspective of violent and non-violent crimes.

- State Legislative Planning for Correctional Reform--Methods and resources for planning and developing appropriate correctional legislation at the state level.
- Prevention and Detection of Fraud, Waste, and Abuse of Public Funds--A conference of state and local practitioners, researchers, and federal officials to assess needs and develop strategies to prevent and detect fraud, waste, and abuse of public funds.
- The Serious Juvenile Offender--Review of research and development needs for planning (in cooperation with the National Institute of Juvenile Justice and Delinquency Prevention).
- Stochastic Modeling--A promising new technique for crime analysis.
- Plea Bargaining--Current issues and new research on this judicial process.
- Second National Workshop on Criminal Justice Evaluation--The entire spectrum of criminal justice research and evaluation issues.
- Forensic Science Services and the Administration of Justice--Interdisciplinary exchange of views among various members of the criminal justice community.
- Mental Health Services in Local Jails--Models for improving service delivery.
- The Career Criminal--Implications of research from the NIJ Career Criminal program.
- Argersinger v. Hamlin--Legal counsel for indigents facing jail.
- Update '77: Update '78--The role of local officials in criminal justice decisionmaking.
- Determinate Sentencing--Implications of this trend for the criminal justice system.
- Pretrial Release--Discussion of a demonstration project with judges from all 50 states.
- Crime Control: State of the Art--An update of criminal justice knowledge for governors and representatives of State Planning Agencies.
- Urban Crisis Planning--Simulated planning of responses to hypothetical crisis situations.
- Performance Measurement--Organizational assessment techniques for police, courts, and corrections.

Additional SNW's will be scheduled as significant research and evaluation results occur and state/local needs are identified.

## Field Test Support

Field Test Support provides technical assistance and training for staff and policymakers at sites selected to implement NIJ Field Test designs. These designs represent promising new operational approaches to controlling crime or improving criminal justice.

The Field Tests involve carefully designed program strategies that are implemented in a limited number of sites under controlled or quasi-controlled conditions to determine the effectiveness, transferability, and suitability of the concepts for further demonstration.

Key representatives from the Field Test sites receive training and technical assistance designed to:

- Orient test-site staff on the goals, methods, and requirements of the Field Test project
- Build skills in the particular program technology
- Assist in project implementation
- Assist test agencies in conducting technology transfer conferences to familiarize colleagues in nearby jurisdictions with the test experience.

Field Tests currently in operation or in the planning stage are:

- Employment Services for Ex-Offenders

Boston, Chicago, and San Diego are the sites of this field test to examine the impact of employment services in reducing recidivism and increasing job tenure for ex-offenders. The test will assess the influence of follow-up support services that supplement expanded vocational training, counseling, and job placement in preventing post-release criminal behavior.

- Supervised Pre-Trial Release

This field test provides services to facilitate the release of defendants who are unable to post bail or are ineligible for release on their own recognizance. The goals of the approach include reducing arrests during pre-trial release, insuring court appearances, and reducing jail overcrowding. Participating jurisdictions are Portland (Ore.), Milwaukee, and Miami.

- Differential Police Response to Calls for Service

The increased volume of citizen-initiated calls for service in recent years, coupled with strained police budgets, has made it increasingly difficult for police departments to respond to all calls for service in the traditional manner of sending a patrol unit as quickly as possible while maintaining their current level of activity in other areas. Departments have attempted to meet these competing demands through various approaches, all of which share the common objective of developing

more efficient means of allocating available resources. Three police departments in Garden Grove, California, Toledo, Ohio, and Greensboro, North Carolina will participate in attempting further efficiencies through the development and implementation of a refined call classification scheme, an expanded range of response techniques, and optimal matching of calls to response. The resulting quality of police services will be measured by police effectiveness and costs as well as citizen satisfaction.

- Early Representation by Defense Counsel

Three local public defender offices will participate in this test to determine the effects of early representation on the operations of the participating public defender agencies, the quality of attorney-client relations and the impact on other components of the criminal justice system in processing felony cases. Each participating site will develop procedures for defense counsel representation for indigent clients at or near the point of arrest and sufficiently in advance of the initial court appearance. The test shall determine in a systematic fashion whether the limited research and empirical evidence are valid that indicate early representation will speed the process by which cases are disposed and will improve the overall quality of representation.

- Differentiated Parole Supervision

Parole supervision, which aims at both surveillance and service, has been criticized in recent years for providing neither effectively. Neither style of supervision has had its outcomes carefully observed and distinguished from one another. This field test aims at providing information which will help parole agencies select and implement supervision methods best suited to different types of clients. Models to be investigated include control oriented parole, service oriented parole, traditional supervision, and summary parole.

- Commercial Security

Conducted in St. Louis, Denver, and Long Beach (Calif.), the Commercial Security Field Test will assess the merits of procedures to reduce commercial crime in small retail and service businesses. Aimed at such crimes as robbery, burglary, and larceny, the test program includes security surveys of businesses in selected commercial neighborhoods with high crime rates. Close police-community interaction and follow-up activities to encourage adoption of the security recommendations are also emphasized.

- Structured Plea Negotiation

Though widely criticized and misunderstood, "plea bargaining" accounts for 80 to 95 percent of case disposition in many jurisdictions. This field test will create in participating jurisdictions a structured conference procedure involving not only the defense and prosecuting attorneys, but also a judge, the defendant, and the crime victim. The experiment will analyze whether the approach increases consistency and

fairness of plea bargaining agreements (in fact and in the public's perceptions), speeds case dispositions, and streamlines court operations. Wayne County (Detroit), Michigan, Jefferson County (Louisville), Kentucky and Pinellas County (Clearwater), Florida are conducting the test.

- Multijurisdictional Sentencing Guidelines

Participating in this test are four courts of general jurisdiction representing urban, suburban, and rural areas in Florida and Maryland. The test will study past sentencing decisions in these courts, then use the information to develop sentencing guidelines that judges in the participating courts will follow for a 1-year experiment. The test will determine the feasibility of using sentencing guidelines as a tool for reducing unwarranted sentencing variation and articulating sentencing policy in diverse jurisdictions.

Other Field Tests receiving support from RUP since 1976 are:

- Managing Criminal Investigations
- Juror Usage and Management
- Neighborhood Justice Centers
- Pre-Release Centers
- Managing Patrol Operations
- Improved Correctional Field Services.

## Results

The most recent Research Utilization Workshop findings imply long-term potential for change in these areas:

- Compensating Victims of Crime--About three-fourths of the participants indicated that they gained additional insights on basic issues for establishing and operating a victim compensation program.
- Management of Stress in Corrections--The results on actions taken by participants soon after the workshop indicate that at least three-fourths of the respondents perceived the concepts presented at the workshops as appropriate for their systems/institutions. Specifically, impact of the workshops is indicated by actual progress on preliminary steps that should lead to organizational change.

Internal and external evaluations were conducted on selected 1979 topics. Results of both show significant progress in the initial phases of the change process. Both the internal and external evaluation results were consistent with each other.

- Maintaining Municipal Integrity--About half the participants reported a heightened awareness of ethical issues and said they have taken steps to assess their jurisdictions' investigative ability, vulnerability to corruption, and regulatory and enforcement capabilities.

- Operating a Defender Office--Over half the participants reviewed their personnel policies. Almost half evaluated their current scope of services and determined areas where additional staff training was needed.
- Improved Probation Strategies--Over half the probation officials at the workshops have subsequently disseminated strategies for improving probation and evaluated their present services. Almost half have reviewed current caseloads and assessed available resources for planning and implementing a more efficient monitoring system.
- Managing Patrol Operations--Over half the police personnel analyzed their patrol operations using the systematic assessment procedures presented at the workshop.

Results also show that a majority of participants reported positive effects on their activities:

- Health Care in Correctional Institutions--Two-thirds of the medical, correctional, and planning personnel who attended the workshop evaluated their health care procedures and began generating outside support for change. About half revised both their medical record and medication distribution systems and stopped using inmates to deliver health care services.
- Victim/Witness Services--Almost three-fourths of the participants--prosecutors, law enforcement officials, and community organizers--publicized new victim/witness services and sought new advocates for such programs. More than half attempted to increase interagency cooperation in this area.
- Managing Criminal Investigations--Changes in case screening, initial investigations, and management of investigations were reported by about half the participants.
- Juror Usage and Management--Over half the participants instituted changes in their jury selection and use procedures after attending this workshop.
- Rape and its Victims--Over three-fourths of those attending the workshop reported increased cooperation and communication among community agencies providing services to rape victims.

#### About the Office of Development, Testing, and Dissemination

Within the National Institute of Justice, the Office of Development, Testing, and Dissemination is responsible for distilling research findings, transforming the theoretical into the practical, and identifying programs with measurable records of success that warrant widespread application. As part of its program, ODTD also provides financial and technical assistance in adapting and testing model programs in selected communities. The Office also disseminates information to justice system executives nationwide through a variety of vehicles. The aim is to give justice professionals ready access to promising new approaches in the administration of justice.

ODTD has built a system to bridge the operational gap between theory and practice and the communication gap between researchers and practitioners. The program provides:

- Practical guidelines for model justice system programs
- Research utilization workshops for key executives that explain selected model programs based on promising research and evaluation findings
- Field tests of important new approaches in different communities
- On-site training visits for justice system officials to agencies operating successful, innovative programs
- Clearinghouse and reference services for the international justice community.



IMPROVING POLICE MANAGEMENT

Pilot Workshop  
March 26-27, 1981

PARTICIPANT LIST

BALTIMORE COUNTY POLICE DEPT.

Headquarters  
400 Kennelworth Drive  
Towson, Md. 21204

Col. Joseph A. Shaw, Jr.  
Commanding Officer  
Field Operations

Lt. Jerry L. Blevins  
Planning Analyst  
Field Operations

PRINCETON, N.J.

Dept. of Law & Public Safety  
13 Roszel Road  
CN14  
Princeton, New Jersey 08540

Alvin Beveridge  
Sr. Investigator  
Division of Criminal Justice

FAIRFAX COUNTY POLICE DEPT.

10600 Page Avenue  
Fairfax, Va. 22030

Major James Joseph  
Assistant Chief  
Criminal Investigations Bureau

Capt. Thomas Shaw  
Commander of Training

METROPOLITAN POLICE DEPT.

300 Indiana Avenue, N.W.  
Washington, D.C. 20001

Lt. Glenn C. Hoppert  
Office of the Chief of Police

ALEXANDRIA POLICE DEPT.

400 North Pitt Street  
Alexandria, Va. 22314

John Streeter  
Director of Planning

Arlen Justice  
Deputy Chief

Capt. Larry Brohard

ARLINGTON COUNTY POLICE DEPT.

2100 15th North  
Arlington, Va. 22201

William K. Stover  
Chief of Police

William E. Packett  
Deputy Chief  
Operations Division

Lt. David Reiten  
Commander of Special  
Operations

MONTGOMERY COUNTY POLICE DEPT.

2350 Research Blvd.  
Rockville, Md. 20850

Capt. K.C. Magee  
Field Services Bureau

Capt. James Britt  
Director  
Planning Division

## IMPROVING POLICE MANAGEMENT

### SAMPLE WORKSHOP SCHEDULE

#### DAY I

SESSION 1:	Welcome/Overview	9:15 a.m. - 10:30 a.m.
BREAK		10:30 a.m. - 10:45 a.m.
SESSION 2:	Management Roles/ Practical Applications	10:45 a.m. - 12:30 p.m.
LUNCH		12:30 p.m. - 2:00 p.m.
SESSION 3:	Work Demands Analysis	2:00 p.m. - 4:45 p.m.
EVALUATION/CLOSURE		4:45 p.m. - 5:00 p.m.

#### DAY II

SESSION 4:	Policy Program Review	8:30 a.m. - 10:15 a.m.
COFFEE		10:15 a.m. - 10:30 a.m.
SESSION 5:	Calls for Service Management	10:30 a.m. - 12:30 p.m.
LUNCH		12:30 p.m. - 1:45 p.m.
SESSION 6:	Investigations Management	1:45 p.m. - 4:00 p.m.
COFFEE		4:00 p.m. - 4:15 p.m.
Session 7:	Patrol Management-- Organizational Support	4:15 p.m. - 5:15 p.m.
EVALUATION/CLOSURE		5:15 p.m. - 5:30 p.m.

DAY III

SESSION 8:	Patrol Management/ Directed Patrol	8:30 a.m. - 11:00 a.m.
	COFFEE	11:00 a.m. - 11:15 a.m.
SESSION 9:	Managing Change	11:15 a.m. - 12:30 p.m.
SESSION 10:	Synthesis	12:30 p.m. - 12:45 p.m.
	EVALUATION/CLOSURE	12:45 p.m. - 1:00 p.m.

## IMPROVING POLICE MANAGEMENT

### Training Team Members

Donald F. Cawley is an independent management consultant specializing in public and private sector security. His police experience spanned a period of 22 years with the New York City Police Department in which he served as a career officer, commander of investigative units, chief of uniformed services, and police commissioner of the Department. Since his resignation as Police Commissioner, he has held vice president positions in two large banks in the nation. As a staff member of University Research Corporation he was responsible for developing and delivering executive training programs in Managing Criminal Investigations and Managing Patrol Operations which were presented to several hundred police agencies throughout the country. He is the co-author of books published on the above programs and the author of several articles on police management and administration.

Joseph Kelly has nearly 15 years of experience in the management, design, and delivery of training and technical assistance for a variety of clients including health and law enforcement professionals as well as volunteers engaged in international economic development activities.

Most recently, he has managed the developmental efforts of a training program for police executives directed at the improvement of police management practices. He has also developed technical assistance strategies and systems intended to address the problems of violence and vandalism in our nation's schools and the removal of juveniles and status offenders from adult jails and lock-ups.

He has designed and provided training for health professionals from more than 350 free-standing primary care medical units nationwide. For three years, Mr. Kelly was the Deputy Director of the National Center for Alcohol Education, a government-funded effort to provide materials and supportive services to alcoholism and related fields. He has also worked in a national citizens' lobby to organize community groups at state and local levels around broad-based political issues.

Victor Strecher, Ph.D. is currently Dean and Director of the Texas Criminal Justice Center, Sam Houston State University, Huntsville, Texas. He has been a sworn police officer and the director of several major police training academies. He has combined his police work with academic positions and has been a professor at various colleges and universities. Prior to his position at Sam Houston State, he was the Director of the Center of Criminal Justice, Arizona State University. For the Research Utilization Program, he has been a consultant-trainer on the topics Managing Criminal Investigations, Managing Patrol Operations, and Managing the Pressures of Inflation in Criminal Justice. He is the author of several books and articles on police management and policy developing in American policing.

H. Jerome Miron is a senior executive with the University Research Corporation, Washington, D.C. For the past year, he has been the Project Director of the National Police Technical Assistance Project (PTAP), which provides management and technical services to selected municipal police departments that currently have LEAA grants. PTAP also provides support and research services to the

recently established Commission on Accreditation for Law Enforcement Agencies, Inc. He is the co-author of a recently acclaimed LEAA study produced by PTAP: Prevention and Control of Urban Disorders: Issues for the 1980s. Prior to his present position, he was Team Leader for the Criminal Justice Research Utilization Program and directed the research, design, delivery, and evaluation of several applied research programs being implemented in municipal police departments: Managing Criminal Investigations (1976); Managing Patrol Operations (1977); Managing the Pressures of Inflation in Criminal Justice (1978). Prior to his work at URC, he was the founding Director of the National Center for Community Action, Washington, D.C. (1974-1976) and had served as Administrative Assistant and municipal department head for the Mayor of Jacksonville, Florida.

William Bieck is currently Director of the Integrated Criminal Bureau of Police, Reading, Pennsylvania. His previous experience includes Head of the Operations and Crime Analysis Unit, Kansas City, Missouri Police Department; principal investigator and author of Response Time Analysis Study, a five-year project funded through the National Institute of Law Enforcement and Criminal Justice; and work in collection of data on the Police Foundation-funded Kansas City Preventive Patrol Experiment. Prior to his direct involvement in working with police agencies, Mr. Bieck was Assistant Professor of Sociology at Nebraska Wesleyan University, Lincoln, Nebraska. He has authored several reports and articles in the police and emergency medical services field. He has consulted for federal, state, and city agencies, universities, and research institutions and has also served on advisory boards in the evaluation of law enforcement programs and research directions.

Fred Thomas is currently Director of the Training Division of the Metropolitan Police Department, Washington, D.C. He is responsible for the police academy with an annual student enrollment of 100 along with a variety of other in-service and continuing education programs for officer personnel. Prior to his assignment with the Training Division, Inspector Thomas spent nearly seven years in the Investigations Division of the MPD in the positions of Assistant Commander and later as Commander of the Robbery Branch. Inspector Thomas has extensive patrol and undercover investigative experience. He has received an M.S. in Administration of Justice from American University.

Allen H. Andrews, Jr. is currently Superintendent of Police in Peoria, Illinois. He commenced his police career as a patrolman in 1957 and has over 20 years of service in the police department. He is the present Treasurer of the Police Executive Research Forum (PERF) and Chairman of its Research Committee.

He has worked extensively in city management and served as the Director of Public Safety in Grosse Pointe, Michigan for four years. He was appointed by the Governor of Illinois in 1968 to direct ILEC, the official criminal justice planning and funding agency. He returned to Peoria as Superintendent of Police in 1973. He has served on LEAA's National Advisory Committee on Criminal Justice Standards and Goals. He has always taken an active part in police management and presently chairs the Planning and Budget Committee of ILEC and is an executive board member of the Illinois Association of Chiefs of Police. He was a delegate to the United Nations Congress on the Prevention of Crime and the Treatment of Offenders. He holds an M.S. degree in Law Enforcement and Public Safety Administration from Michigan State.

John L. Tagert, Chief of Police, Colorado Springs has 19 years of experience on the police force, working his way through the ranks to Chief. He is an innovative practitioner of police management and has instituted several training programs for Colorado Police. He is a nationally recognized consultant on police administration, and holds an M.P.A. from the University of Colorado. He was the co-author of Colorado's 10 Year Plan for Crime Prevention, contributed to the Governor's Report on National Police Services and a recent study, Colorado Jail Standards.

---

## WELCOME AND ORIENTATION

---

The purpose of this session is to welcome participants, introduce the training staff, and describe the training materials and methods.

Members of the training team will give a brief biographical sketch of themselves.

### Training Materials

- Participant's Handbook: This Handbook will be used as your guide and outline for all the workshop sessions. It has been designed as a working text which provides space for your notes and comments.
- Manual of Readings: The Manual contains selected readings which supplement the workshop presentation.

### Training Methods

The design of this workshop incorporates the integrated use of short lectures, plenary group discussions, small work groups, selected visuals, and other techniques to facilitate participant interaction.

The problems selected for individual work groups have been drawn from the actual experiences of the agencies which have implemented either the "Managing Criminal Investigations" or "Managing Patrol Operations" programs.

### Evaluation of Training

At the conclusion of each training day, you will be asked to take a few minutes to review and evaluate the workshop sessions presented that day. Forms are included in this Handbook for that purpose.

### Training Schedule and Groundrules

Review the schedule for the entire workshop.

Because the time available is short and the material to be covered considerable, the most important groundrule is to be on time for each session. In fairness to all we will adhere to the training schedule as closely as possible.

### Conference Room - Emergency Procedures

We will take a few minutes to become acquainted with FIRE EXITS and EVACUATION procedures.





## SESSION 1

### DAY I

---

#### OVERVIEW OF IMPROVING POLICE MANAGEMENT

---

During this session we will review the components of the Managing Criminal Investigations and Managing Patrol Operations training programs, identify those agencies which field tested the programs, discuss the findings of a national survey on those programs, present the goals and objectives of Improving Police Management, and present the training flow chart.

This session will address:

- Program Sources
- Pertinent Research Studies/Publications
- Review of MCI Program Components
- Review of MPO Program Components
- Field Test Agencies Identity
- National Survey Findings
- Training Goals and Objectives
- Flow Chart of Training.

#### PROGRAM SOURCES

- Literature Review
- Field Test Sites - MCI and MPO
- National Survey of 101 Police Agencies
- Planning Conference with selected police chiefs and researchers
- Conferences with National Institute of Justice Program Managers.

#### RESEARCH STUDIES/PUBLICATIONS

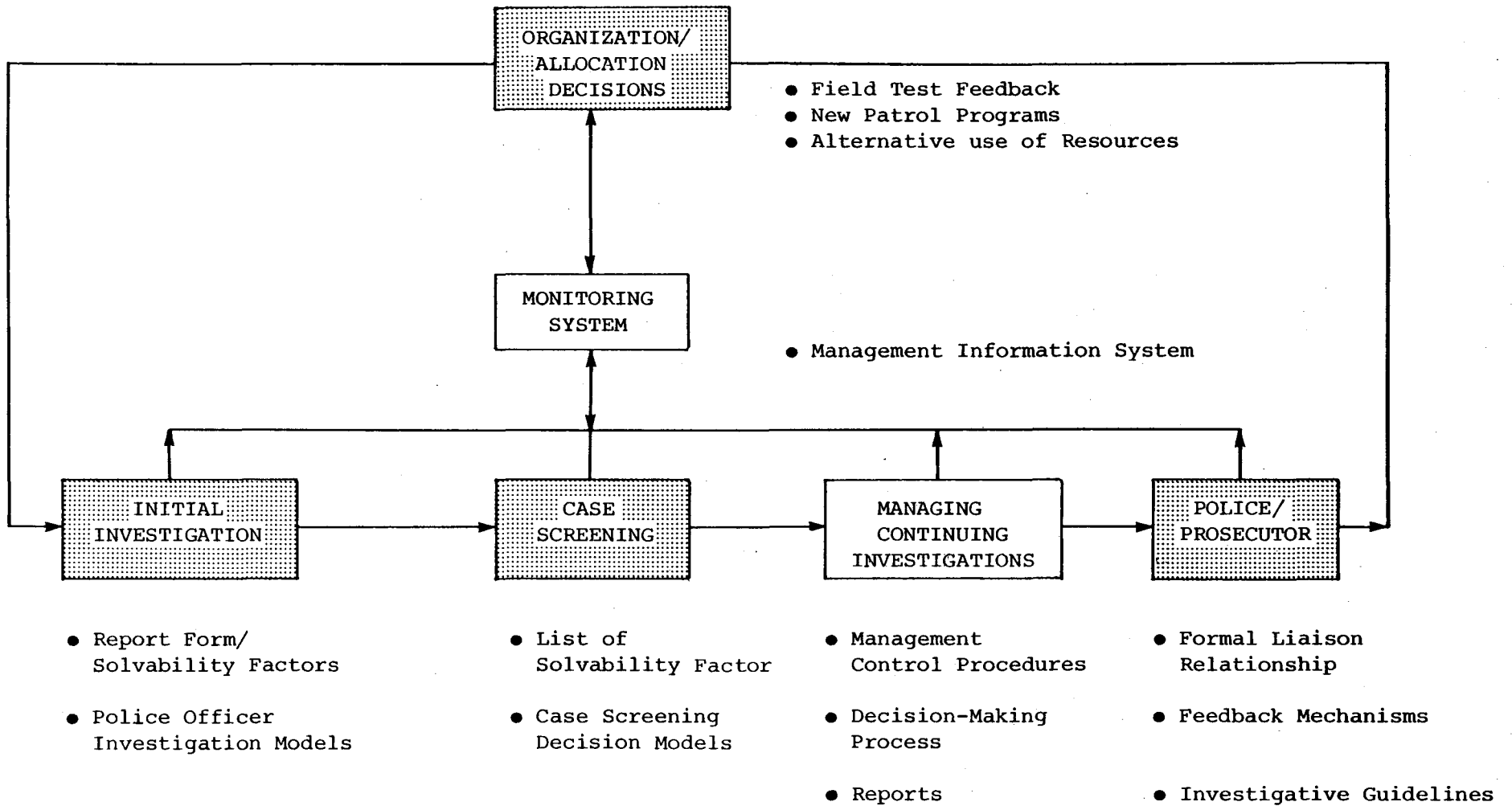
- MCI Prescriptive Package - Urban Institute - NIJ
- Felony Investigation Decision Models - Stanford Research Institute - NIJ

- The Criminal Investigation Process - Rand Corporation - NIJ
- Kansas City Preventive Patrol - Police Foundation
- Kansas City Response Time Analysis - NIJ
- Burglary Investigation Decision Model Replication - Police Executive Research Forum
- Improving Patrol Productivity - University City Science Center - NIJ

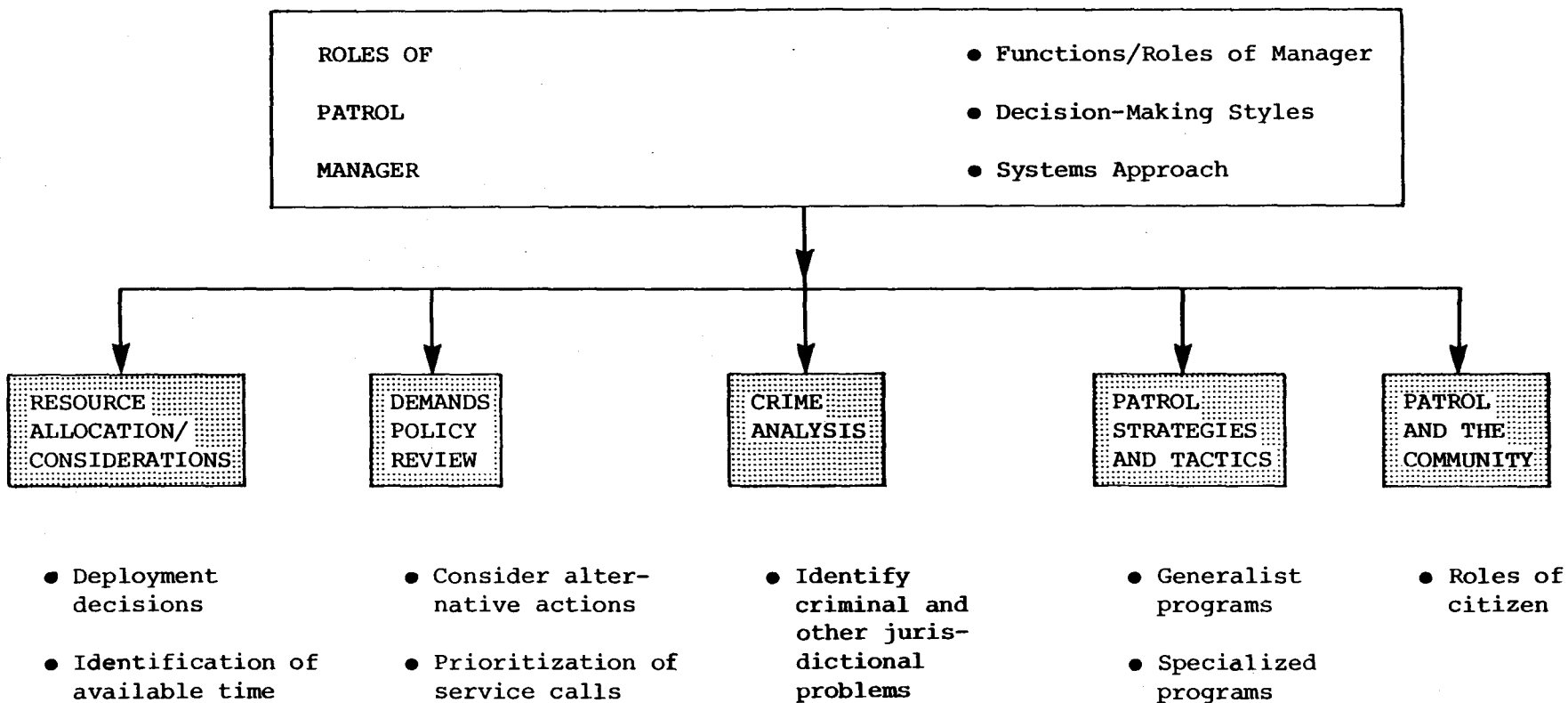
Volume I - Routine Patrol  
Volume II - Specialized Patrol

- Managing Pressures of Inflation - Handbook - University Research Corporation, NIJ
- Managing Criminal Investigations - Program Design: A Guide to Implementation - ABT Associates Inc., NIJ.
- Managing Criminal Investigations - Handbook and Manual, University Research Corporation, NIJ
- Managing Patrol Operations - Handbook and Manual - University Research Corporation - NIJ

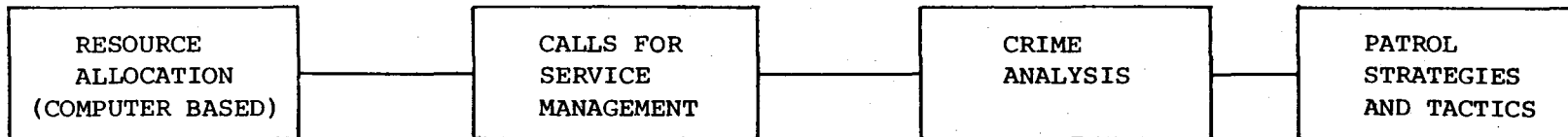
SYSTEMS APPROACH TO MCI (MANAGING CRIMINAL INVESTIGATIONS)



FLOW OF TRAINING (MANAGING PATROL OPERATIONS)



MANAGING PATROL OPERATIONS FIELD TEST PROGRAM



- P.C.A.M.
- Hypercube
- Scheduling of Resources

- Prioritization of Calls
- Expeditor Unit

- Crime and Problem Identification and Analysis

- Directed Patrol Activities
  - Crime Prevention
  - Crime Deterrence
  - Criminal Apprehension

SITES: Albuquerque, New Mexico  
Charlotte, North Carolina  
Sacramento, California

LIST OF MCI FIELD TEST AGENCIES

Corpus Christi Police Department  
P.O. Box 9016  
Corpus Christi, TX 78408

Albany Police Department  
Public Safety Building  
Morton Avenue  
Albany, NY 12202

Indianapolis Police Department  
Indianapolis, IN 46204

Baltimore County Police Department  
400 Kenilworth Drive  
Towson, MD 21204

Jefferson Parish Sheriff's Department  
3300 Metairie Road  
Metairie, LA 70001

South Bend Police Department  
701 West Temple Street  
South Bend, IN 46621

Montgomery County Police Department  
2350 Research Blvd.  
Rockville, MD 20850

Anaheim Police Department  
P.O. Box 3369  
Anaheim, CA 92803

Hartford Police Department  
155 Morgan Street  
Hartford, CT 06103

Broward County Sheriff's Department  
P.O. Box 9507  
Ft. Lauderdale, FL 33310

Atlanta Police Department  
175 Decatur Street, S.E.  
Atlanta, GA 30303

Peoria Police Department  
542 S.W. Adams  
Peoria, IL 61602

Ft. Wayne City Police  
Ft. Wayne, IN 46802

Knoxville City Police  
800 E. Church Avenue  
Knoxville, TN 37915

Indiana State Police  
100 N. Senate Avenue  
Indianapolis, IN 46204

Rochester Police Department  
Civic Center Plaza  
Public Safety Building  
Rochester, NY 14614

Birmingham Police Department  
710 North 20th Street  
Birmingham, AL 35203

St. Paul Police Department  
101 East 10th Street  
St. Paul, MN 55101

Santa Monica Police Department  
1685 Main Street  
Santa Monica, CA 90401

LIST OF MPO FIELD TEST AGENCIES

Sacramento Police Department  
813 6th Street  
Sacramento, California 95814

Albuquerque Police Department  
401 Marquette, N.W.  
Albuquerque, NM 87102

Charlotte Police Department  
825 East 4th Street  
Charlotte, NC 28202

RESULTS OF QUERY TO 101 AGENCIES FOR SELECTED

COMPONENTS OF MCI/MPO PROGRAMS

76 Responses

<u>COMPONENT</u>	<u>IMPLEMENTED</u>	
	<u>NUMBER</u>	<u>%</u>
1. Conduct "comprehensive" patrol workload analysis.	61	80
2. Use a calls for service management program.	65	86
3. Conduct formal policy and program review.	49	64
<u>DEPARTMENT MANAGEMENT PROGRAMS</u>		
4. Conduct case screening.	59	78
5. Prioritize arrest/enforcement efforts.	43	57
6. Issue summons in lieu of arrest.	60	79
7. Use arrest diversion program.	36	47
8. Employ paraprofessionals.	24	31
9. Use civilian volunteers/auxiliaries.	50	66
10. Maintain liaison with prosecutor.	66	87
11. Have written patrol allocation formula.	34	45
<u>PATROL DISTRIBUTION MODELS</u>		
12. Equal staffing.	8	11
13. Proportionate Need - Basic calls for service.	35	46
14. Proportionate Need - Weighted calls for service.	13	17
15. Proportionate Need - Time consumed.	13	17
16. Proportionate Need - Mathematical (PCAM).	7	9



17. Established crime analysis capability.	65	86
18. Conduct of initial investigation by patrol officers.	76	100
19. Prepare basic report.	74	98
20. Include solvability factors in investigation.	51	67
21. Recommendations for continuation by patrol officer.	55	72
22. Complete investigation of selected crimes.	42	55
23. Conduct specialized crime prevention activities (e.g., block-watcher program, premises security surveys).	4	54
24. Conduct crime specific directed patrol programs (e.g., commercial burglaries, school vandalism).	51	67
25. Conduct community participation programs (e.g., operation identification, community councils).	44	58

### LIMITATIONS

- Select Audience
- Definition of Terms
- Knowledge of Preparer
- "Favorable" Bias
- Halo Effect

### FINDINGS

The reported information indicates that police managers have recognized the productivity benefits to be derived from implementing MCI/MPO programs.

Specifically, substantial improvements appear to have been made in the implementation of important program elements:

- |  |      |
|--|------|
| ● Conduct of patrol workload analysis          | 80%  |
| ● Use of calls for service management          | 86%  |
| ● Use of case screening mechanisms             | 78%  |
| ● Maintain police/prosecutor relationships     | 87%  |
| ● Maintain "equal staffing" policies           | 11%  |
| ● Use patrol officers in initial investigation | 100% |
| ● Established crime analysis capability        | 86%  |

## IMPROVING POLICE MANAGEMENT

### GOAL OF PROGRAM

The goal of Improving Police Management is to acquaint police executives with specific analytical, developmental, and decisionmaking processes and/or programs derived from the MCI/MPO field test experience and their recent research and development findings which will facilitate successful implementation of responsive and effective police programs.

### OBJECTIVES OF PROGRAM

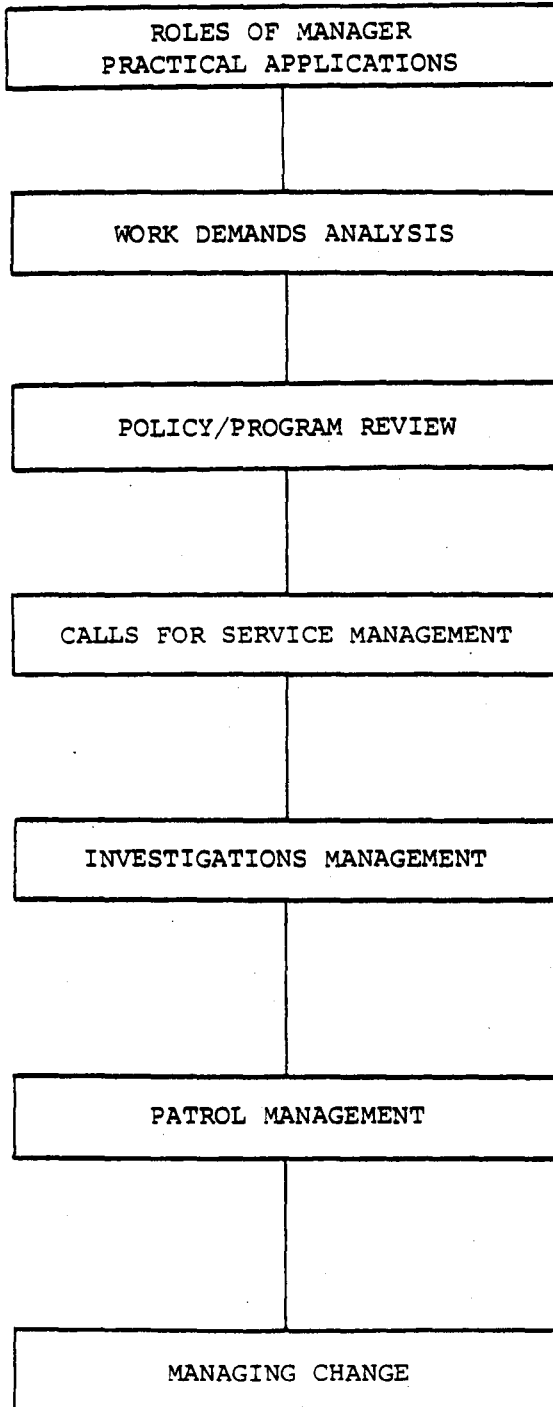
To achieve this goal, it is expected that by the end of the workshop the participants will be able to:

- identify/describe the current state of the art of selected critical components of the MCI/MPO program
- understand the problems to be addressed and strategic choices to be made in the development of rational management strategies which are both proactive and reactive
- conduct a review of current departmental patrol workload demands considering categorial "time-consumed" information in determining alternatives to current policies and practices
- apply a policy/program review process to the ongoing examination of the existing policies and programs
- understand the organizational principles of managing change in order to facilitate initiation and successful implementation of desired policy and/or program alternatives derived from MCI/MPO field test site experience
- understand a strategies and tactics development process which has proven successful in implementing "directed patrol" programs in the MPO Test Site Program.

### OUTCOMES

At the conclusion of training, participants will be afforded an opportunity to develop a strategy outline which addresses the particular program components which offers the greatest opportunity for implementation within the participant's agency.

IMPROVING POLICE MANAGEMENT - FLOW OF TRAINING



- Problems/Paradoxes of Retrenchment Management
- Roles of Manager
- Strategic Assessment and Choices
- Staff Support Requirements
  
- Research--Noncommitted Time
- Need for "Time Consumed" Approach
- Review of Sample Patrol Workload-- Consider Decision Options
- Allocation Models/Considerations
  
- Alternative Approaches
- Process for Effective Planning
  
- Historical Perspectives
- Classification/Dispatch Priorities
- Planning Requirements
- Role Change for Communications Division
  
- Solvability Factors
- Initial Investigation Models
- Case Screening
- Role Redefinition/Intercommunications Problems
  
- Need for Organizational Support
- Directed Patrol Experiences
- Routine Patrol Strategies
- Specialized Patrol Utilization
- Patrol Concepts
  
- Organizational Principles of Managing Change

For more information relating to this session  
See APPENDIX A

## SESSION 2

### DAY I

---

#### ROLES OF THE MANAGER--PRACTICAL APPLICATIONS

---

Policing in the eighties will be greatly different from the policing of the sixties and early seventies. One of the major differences, and a problem for police executives and managers, will be resolving demands for increased service within the confines of existing fiscal and personnel resources. Such prospects for the eighties require today's managers to closely examine organizational efficiency and assess the impact of change--the changes sweeping this country demand more efficiency from government. Police administrators must evaluate their organizations, determine where to consolidate, how to realign, and how to provide essential services with reduced resources.

Daryl F. Gates

(The Police Chief Magazine - April 1980)

This assessment of the police management environment is absolutely correct. The traditional response of meeting crime control problems and other service needs by adding more police officers and equipment or providing increased salary and fringe benefits without increasing levels of productivity is over.

We have entered an era of resource scarcity--an era of retrenchment management. Increasingly, police managers will be required to manage cutbacks, tradeoffs, reallocations, organizational contractions, and program terminations.

This poses significant problems because we know very little about the decline of public organizations and the management of cutbacks.

However, it also creates an opportunity for police executives to make desired changes within their departments which previously were made difficult because of political pressures and adequacy of funding which is no longer the case.

In short, this "era of limits" may provide the police executive with a better opportunity to exercise the management skills needed in effecting desired change.

In outline form this session will address:

- Problems and paradoxes of Retrenchment Management
- Roles of a Manager
- Strategy development and strategic choices
- Need for organizational support/staff assistance

## WHY CUTBACKS

- Problem Depletion
- Erosion of economic base
- Inflation
- Taxpayer revolts
- Limits to growth.

## WHAT IS RETRENCHMENT MANAGEMENT

"Cutback (retrenchment) management means managing organizational change towards lower levels of resource consumption and organizational activity."\*

\*Charles H. Levine, "Cutback Management in an Era of Scarcity: Hard Questions for Hard Times" originally presented as an address to the American Association for Budget and Program Analysis, Washington, D.C., November 7, 1978.

### COMPLICATING ASPECTS OF RESOURCE SCARCITY

What special problems are posed for the manager in an environment of shrinking resources in the areas of:

- Promoting acceptance of change
  
- Targeting cuts
  
- Morale and job satisfaction
  
- Rewarding work environment.



## PROBLEMS AND PARADOXES

- Paradox of irreducible wholes
- Management science paradox
- Free exiter problem
- Tooth fairy phenomena
- Forgotten deal paradox
- Participation paradox
- Productivity paradox
- Mandates without money
- Efficiency.

### CUTBACK MANAGEMENT/DECISIONMAKING

As an art and a skill cutback management has not yet been developed adequately by managers who now must maintain organizational capacity by devising new managerial arrangements within existing structures that were developed under assumptions and during period of growth.

Under conditions of growth and abundance, habit, intuition, snap judgments and other means of informal analysis are sufficient for most decisionmaking because mistakes can be easily absorbed without threatening the organization's survival.

In times of austerity, however, there is a critical need to develop management planning, control and information systems, and a policy analysis capability.

## ROLES OF A MANAGER

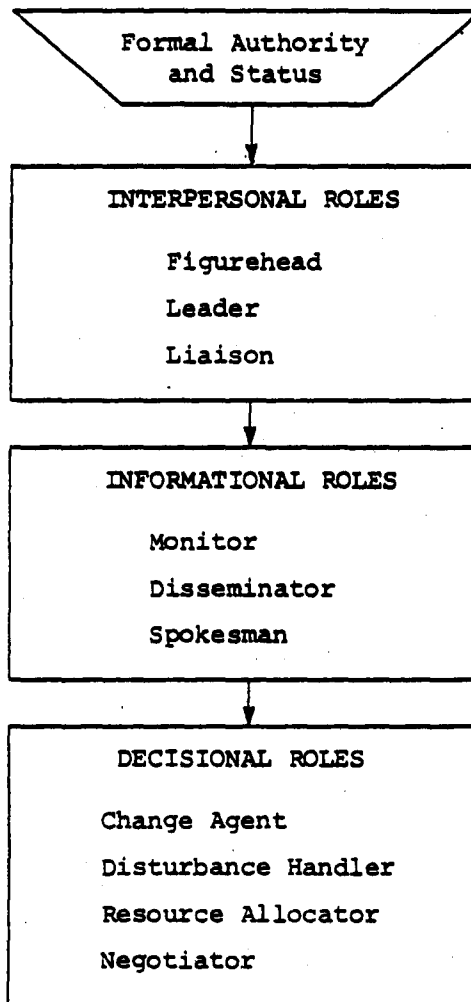
The issue of how a manager actually manages is complicated by the fact that there is little, if any, specific treatment of this topic in management texts. Most texts on police management or administration follow the classical school of management theory and discuss what the patrol manager should do: plan, organize, direct, coordinate, staff, budget. Other texts emphasize one aspect of the job of the manager; the manager as a leader or motivator or the manager as a decisionmaker. As yet, no study or text has answered the deceptively simple question: what do police managers do when they manage their operations?

### MYTHS

- Managers are reflective, systematic planners.
- Managers organize, coordinate, and orchestrate the activities of their agencies and have few defined or regular duties.
- Managers depend on documented, aggregated information reports which they read, digest, and use in rational decisionmaking.

### REALITIES

- Managers work at an unrelenting pace.
- Daily activities are characterized by brevity, variety, and fragmentation.
- Managers prefer live action and face-to-face communication.
- Managers are attracted to and use the verbal media extensively.
- Much activity is divided between the office and organization on the one hand, and an external network of outside contacts, on the other.
- The open-ended nature of the job suggests that managers in general are unable to control the majority of their daily activities.



THE TEN MANAGERIAL ROLES\*

THE WORK OF MANAGERS:

GENERAL INTERPERSONAL ROLES

<u>IDENTIFIABLE ACTIVITIES FROM STUDY OF CHIEF EXECUTIVES</u>	<u>DESCRIPTION</u>	<u>ROLES</u>
Ceremonial duties, status requests, solicitations	Symbolic head; obliged to perform a number of routine duties of a legal or social nature.	FIGUREHEAD
Virtually all managerial activities involving subordinates	Responsible for the motivation and activation of subordinates; responsible for staffing and associated duties.	LEADER
Acknowledgement--mail and phone; external work involving outsiders	Maintains self-developed network of outside contacts who provide information.	LIAISON

THE WORK OF MANAGERS:

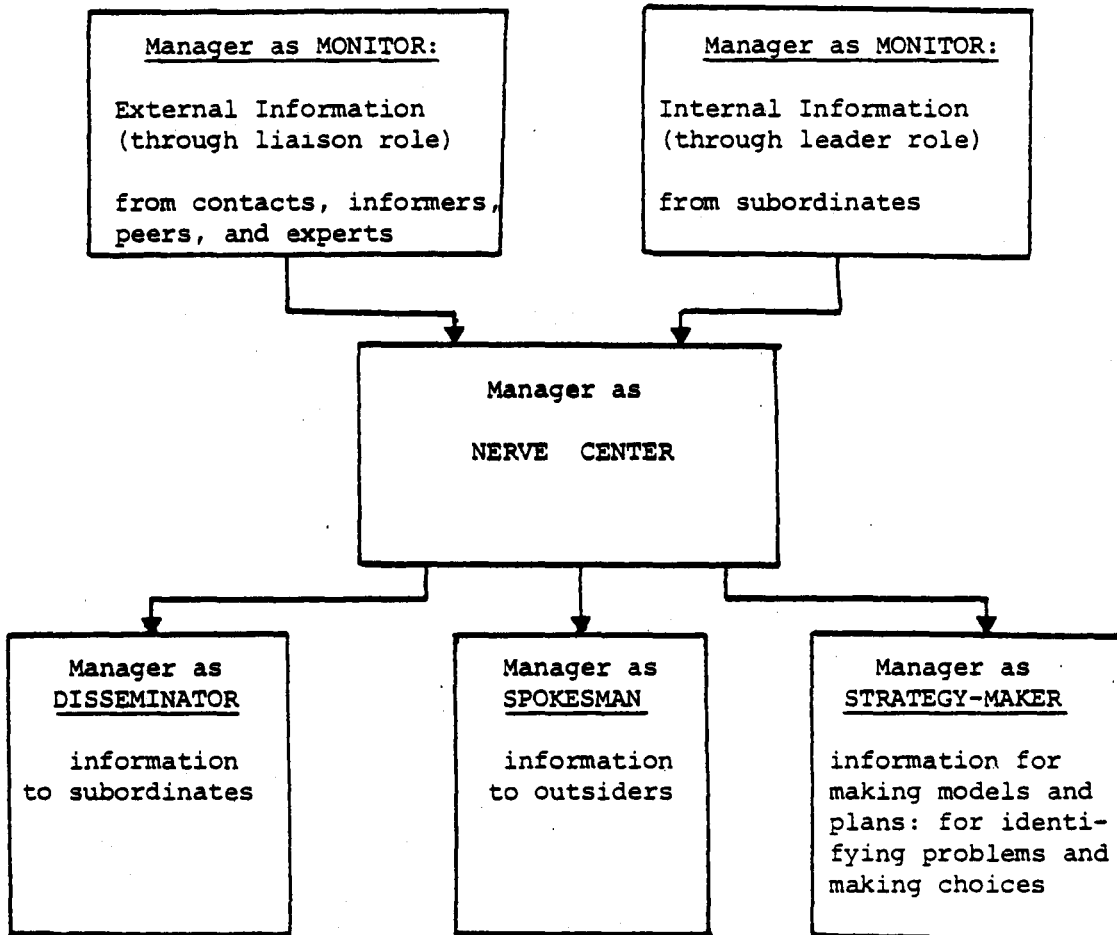
GENERAL INFORMATION ROLES

<u>IDENTIFIABLE ACTIVITIES FROM STUDY OF CHIEF EXECUTIVES</u>	<u>DESCRIPTION</u>	<u>ROLES</u>
Handles all mail and contacts categorized as concerned primarily with receiving information.	Seeks and receives wide variety of special information (much of it current) to develop thorough understanding of organization and environment; emerges as nerve center of internal and external information about the organization.	MONITOR
Forwards mail into organization for informational purposes; makes verbal contacts involving information flow to subordinates; holds review sessions; uses instant communication flows to subordinates.	Transmits information received from outsiders or from other subordinates to members of the organization--some information is factual, some involves interpretation and integration of diverse value positions.	DISSEMINATOR
Attends outside meetings; handles mail and contacts involving transmission of information to outsiders.	Transmits information to outsiders on organization's plans, policies, actions, results, etc.; serves as expert on organization's work.	SPOKESPERSON

THE WORK OF MANAGERS:

GENERAL DECISIONAL ROLES

<u>IDENTIFIABLE ACTIVITIES FROM STUDY OF CHIEF EXECUTIVES</u>	<u>DESCRIPTION</u>	<u>ROLES</u>
Conducts strategy and review sessions involving initiation or design of improvement projects.	Searches organization and its environment for opportunities to initiate "improvement projects" that can bring about change; supervises design of certain projects as well.	CHANGE AGENT
Conducts strategy and review sessions involving disturbances and crises.	Responsible for corrective action when organization faces important, unexpected disturbances.	DISTURBANCE HANDLER
Scheduling; request for authorization; any activity involving budgeting and the programming of subordinates' work.	Responsible for the allocation of organizational resources of all kinds--in effect, makes or approves all significant organizational decisions.	RESOURCE ALLOCATOR
Negotiates.	Responsible for representing the organization at major negotiations.	NEGOTIATOR



THE MANAGER AS AN INFORMATION  
PROCESSING "SYSTEM"



## STRATEGIC CHOICES IN CUTBACK PLANNING

Some of the strategic choices which must be made in confronting, planning, targeting, and distributing cuts are:

- Resist or smooth
- Deep gouge or small decrements
- Share the pain or target the cuts
- Efficiency or equity

## CONSTRAINTS TO EFFECTIVE ACTION

- Complacency
- Convenience
- Wishful thinking
- Political caution

WHAT ACTIONS CAN BE TAKEN

- Reassign functions
- Privatize services
- Reduce costs
- Civilianize
- Eliminate services
- Trim expenses
- Substitute equipment
- Legislative changes.

(This subject will be dealt with in the following session on "Work Demands Analysis")

## DO POLICE MANAGERS USE STAFF?

Which position is correct?

- "During the past decade, the role of staff work in most police agencies in the United States has undergone significant change. Law enforcement agencies today depend on extensive support from staff units to provide assistance in organizational and program decisionmaking and in establishing rational bases for long range planning efforts. The modern police executive now has the opportunity to utilize more fully developed staff resources than at any previous time in police history..." /1/

or

- "The department looks poorly upon non-line functions."
- "Although we are collecting a lot of data we have been unable to train or provide personnel to use the data." /2/

---

/1/ "Police Staff Research - changing roles and requirements" by James W. Stevens. Police Studies - International Review of Police Development, Volume 3, Summer, 1980.

/2/ From 101 Agency Survey Instrument.

According to Henry Mintzberg, in the "Nature of Managerial Work," the most complex, although potentially the most rewarding job facing the manager today is the reprogramming of the system by which important organizational decisions are made and interrelated--i.e., strategymaking.

## TWO BASIC APPROACHES TO STRATEGYMAKING

### INCREMENTALISTS

Strategy evolves as the manager reacts to environmental pressures--i.e., strategy is adaptive and incremental.

### GRAND PLANNERS

Strategy created through formal analysis by planners.

## CHARACTERISTICS OF INCREMENTALISTS APPROACH

Strategymaking is seen as:

- complex and adaptive process
- evolving over time with many resource allocation decisions
- broken into a series of sequential decisions because of need for feedback and timing
- searching for alternatives not conducted with a systematic design
- applying organizational values to decisions in some "mysterious" way
- integrating strategies by the manager who juggles information and plans in his head.

In summary, strategymaking is a judgmental process carried out solely by the manager.

### THREE REASONS TO MODIFY THE PROCESS

- Manager is under time constraints while the planners are not
- Organizations grow larger and their decisions become more complex, the relative cost of analyses decreases, while the intuitive methods of the manager, which can improve only slowly, becomes less acceptable
- Difficult to interrelate decisions which are made incrementally in an adaptive process.

### PLANNING DILEMMA

On the one hand

- The Manager, who has the information and the flexibility to operate in a dynamic environment, lacks the time to focus intensely on complex issues.

On the other

- The Planner, who has the time and the skills to do systematic analysis, lacks the required flexibility and information.

The answer is to marry the capabilities of the manager with the skills of the planner.

SEVEN AREAS OF MANAGER - ANALYST COOPERATION

- OPPORTUNITY AND PROBLEM FINDING
  
- COST BENEFIT ANALYSIS
  
- MODEL BUILDING
  
- CONTINGENCY PLANNING
  
- REAL TIME ANALYSIS
  
- PROJECT MONITORING
  
- ADAPTIVE PLANNING

## SUMMARY

The manager of the eighties, an era of limits, faces numerous and complex problems which will require in-depth analysis and study before the formulation of effective strategies are possible.

The dimensions of the task at hand are too broad to be dealt with by the manager alone. Expert and imaginative services performed by a talented and innovative staff group are essential needs for the police executive.

The manager can only rebuild the organization if he knows how the resources are currently being spent and how efficiently and effectively the tasks are being performed. He/she must have hard facts--not ballpark estimates.

## BIBLIOGRAPHY

1. Managing Fiscal Stress: The Crisis in The Public Sector, Charles H. Levine, Chatham House Publishing, Chatham, N.J., 1980.
2. Organizational Decline and Cutback Management, Charles H. Levine, Public Administration Review, July/August, 1978.
3. Cutback Management in an Era of Scarcity: Hard Questions for Hard Times, Charles H. Levine, Address to American Association for Budget and Program Analysis, Washington, D.C., November 7, 1978.
4. Management Strategies to Deal with Shrinking Resources, John J. McTighe, Public Administration Review, January/February, 1979.
5. The Nature of Managerial Work, Henry Mintzberg, Englewood Cliffs, N.J., 1973.
6. Realignment of Major Elements within the Los Angeles Police Department, Daryl F. Gates, The Police Chief, April, 1980.
7. Police Staff Research: Changing Roles and Requirements, James W. Stevens, Police Studies, International Review of Police Development, Volume 3, Summer, 1980.
8. Managing the Pressures of Inflation in Criminal Justice, Selected Readings and Participants Handbook, National Institute of Justice, 1979.

Note: For further information related to this session see APPENDICES B, C, and D



## SESSION 3

### DAY I

---

#### WORK DEMANDS ANALYSIS

---

More for less. That was the blunt mandate of Proposition 13. Although they certainly did not like it, law enforcement agencies had to accept that harsh new reality. They had to swallow their own doomsday projections and, discover ways of not only surviving, but somehow improving services as they watched their budgets shrink--police and sheriffs were admonished to bone up on their budgetary skills. In the era of more for less, everyone is going to be scrutinizing budgets line by line, and it will be increasingly difficult to push any fiscal fat past the sharp eyes of city and county comptrollers--"How much they (police) get will depend on how well you recognize that the interest is in your production, what is coming out of the pipe. If you do your homework, and present that in a coherent, convincing way, if you do that, my guess is that you'll do quite well--you must develop data, publicize it, and be ready to talk about it in precise detail.

(Excerpted from "Proposition 13--Coping with the Taxpayer's Revolt," Police Magazine, March, 1979)

Now, more than ever, the police manager must conduct a comprehensive patrol workload analysis. The analysis must identify all of the activities performed by the uniformed officer during his tour of duty and how long it takes him/her to perform them.

In this session we will discuss why a "time consumed" patrol workload analysis is necessary; compare this type analysis with a "calls for service" only approach, consider the problems associated with the new approach, consider the policy issues which must be addressed, examine possible workload decision options, and apply selected options to a "sample" patrol workload.

NOTE: Since we will not be dwelling upon the mechanics of the process of conducting a patrol workload analysis, we have listed below several sources that contain more detailed discussions.

1. National Institute of Law Enforcement and Criminal Justice, Improving Patrol Productivity, Vol. I: Routine Patrol, 1977, See Chapter 2, "Efficient Deployment of Patrol Personnel."

2. Patrol Workload Measurement Manual, A Guide for Deployment of Patrol Personnel in Law Enforcement Agencies, The Commission on Peace Officer Standards and Training, California, 1979.
3. O.W. Wilson and Roy C. McLaren, Police Administration, Appendix J, New York: McGraw-Hill, 1972.
4. National Advisory Commission on Criminal Justice Standards and Goals, "Deployment of Patrol Officers," Police, 1973.
5. "A Preliminary Guideline Manual for Patrol Operations Analysis, ICAP, LEAA, Department of Justice, June 3, 1977.

## COMPREHENSIVE PATROL WORKLOAD ANALYSIS

The conduct of a comprehensive patrol workload analysis would require gathering data for the following components of the total workload:

- calls for service
  
- crimes and arrests
  
- administrative
  
- personal
  
- self initiated/directed patrol.

It is also suggested that the conduct of the analysis occur on an annual or bi-annual basis.

## WHY CONDUCT

A comprehensive patrol workload analysis, which encompasses all patrol activities and the time spent for each activity, will provide the police administrator with the information needed to:

- determine the actual number of officers required to handle the total patrol workload
- distribute patrol resources to meet actual work requirements on a temporal and geographic basis
- identify the actual amount of "non-committed" time and learn how it is being used
- prepare a budget which accurately reflects the activities of assigned resources and assign associated costs to the appropriate cost centers
- examine workload activities with a view toward developing alternative means of delivery of services
- explore administrative actions which will improve the productivity of patrol, and support services
- identify training opportunities and needs
- evaluate officer, and district performance
- establish performance standards
- 
- 
- 
- 
- 
-

## PROBLEMS/CONDUCT OF PATROL WORKLOAD ANALYSIS\*

### RESOURCES

- Lack of staff
- Lack of equipment (computer)
- Lack of knowledge, expertise, and time.

### OPERATIONS

- Inadequate collection process
- Lack of reliable collection instruments
- Manual processing of information
- Incomplete reports
- Inaccurate reports
- Increase in paperwork
- Elusiveness of self initiated activities
- Irregularly done - data base slips
- Data entry problems
- Education of supervisors as to use
- Timeliness of data
- Selling concept to supervisors and unions.

### ATTITUDES

- Overcome internal political resistance
- Not a high priority matter
- Lack of supervisory/managerial interest
- "Resistance internally to accept results because of previous perceptions of heavy workload"
- "Tool of management and not directly helpful to the workforce"
- "Officers thought program was to spy on them"
- Patrol resistance to input documents.

### "PATROLMAN MYSTIQUE"

"Strong objection among some officers to monitoring work output in terms of quantity and their reservations about defining quality in terms of properly identifying/agreeing to performance standards."

---

\*Extracted from responses from 76 agencies.

## CALLS FOR SERVICE MODEL

### INPUT

- count number of calls for service.

### THROUGHPUT

- distribution of calls on temporal basis
- distribution of calls on geographic basis.

### OUTPUT

- allocation of resources to meet calls for service geographic and temporal requirements.

### ASSUMPTIONS

- actual time spent on each call averages out for the total number of calls
- personal relief time is same for each district
- administrative demands are equal for each district
- arrest/court time will average out.

### GUESSTIMATES

- by using 45 minutes for each call for service the differences in actual incident completion time, arrest/court time, and report writing time will average out
- number of personnel needed for department should be calculated on a 1 to 2 ratio, i.e., 33 $\frac{1}{2}$ % for calls for service and 66 $\frac{2}{3}$ % for other patrol needs or activities.

USE OF BASIC CALLS FOR SERVICE MODEL AS INPUT TO FURTHER ANALYSIS

INPUT

Calls for Service Model

- Identify number of calls for service
- Geographic distribution
- Temporal variations

Assumptions:

- Can "average" time spent on all calls
- Personal relief time same in all districts
- Administrative demands are equal
- Arrest/court time same

MANAGERIAL CONSIDERATIONS

- Time consumed per service incident
- Response time
- Weighting of incidents and categories
- Arrest and court time
- Computerized applications, e.g., P.C.A.M., Hypercube
- Others -

OUTPUT

Distribution of Patrol Personnel

ANALYSIS AND DECISION  
STEPS BEYOND  
CALLS FOR SERVICE MODEL

### TIME CONSUMED APPROACH NEEDED

In the words of the National Advisory Commission on Standards and Goals (1973):

Experience shows that using the number of calls for service and the number of arrests without regard for time expended is of little or no value in determining workload. For example, the same number of service calls or arrests may occur on two different shifts. All the activities on one shift, however, may take twice as long those on the other shift. Therefore, using only the number of incidents would indicate falsely that the workload was the same on both watches.

Four years later, the California Commission on Peace Officer's Standards and Training advised:

There are numerous methods of calculating patrol workload, but the most accurate and direct approach is to determine the actual time expended on all activity by members of the patrol division. The primary factor is the amount of time expended, not the number of events or incidents. /1/

---

/1/ "A procedure for the allocation and distribution of Patrol Manpower," California Commission POST, (working draft), 1977, pg. 2.



## "TIME CONSUMED" MODEL

### INPUT

- Average time consumed in performance of all activities by patrol officers in the following categories:
  - calls for service
  - crimes and arrests
  - administrative
  - personal
  - self initiated/directed patrol.

### THROUGHPUT

- Distribution of all activities on a temporal and geographic basis.

### OUTPUT

- Allocation of resources to meet total temporal and geographic requirements.

### ASSUMPTIONS

- None.

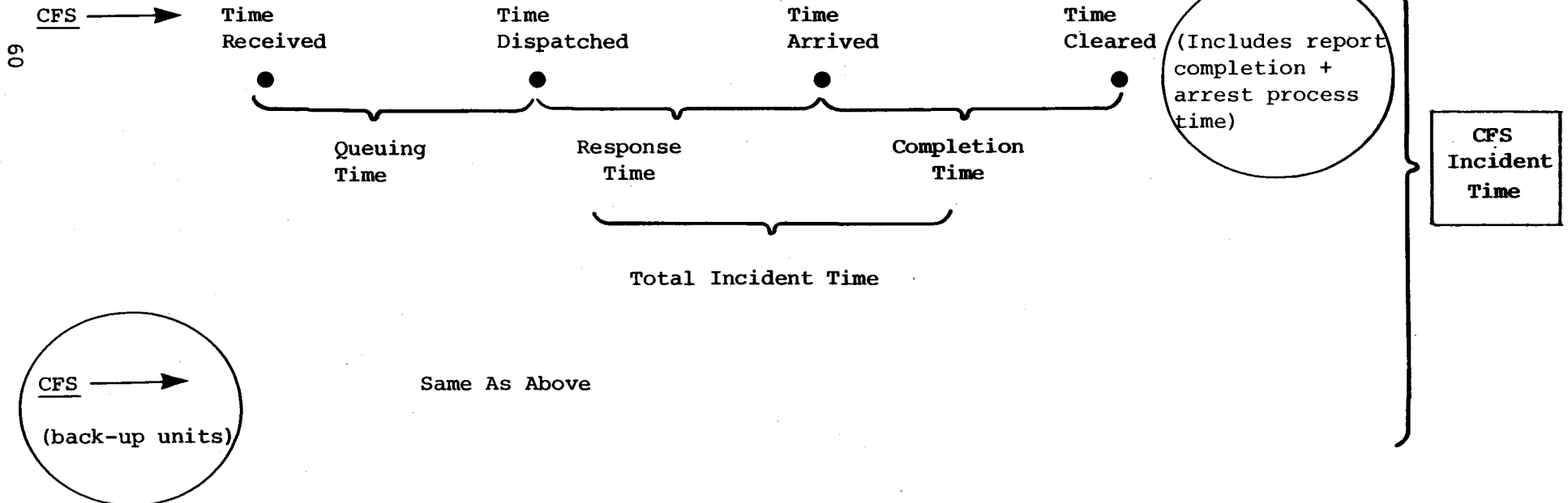
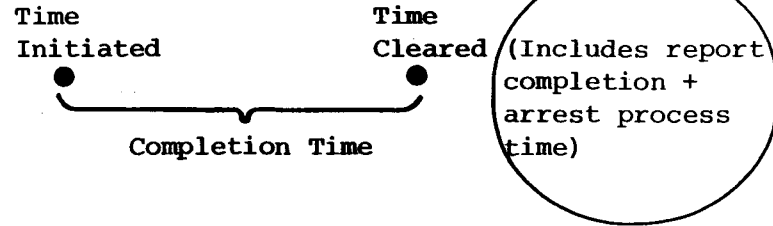
### GUESSTIMATES

- None.

TIME CONTINUUM/POLICY CONSIDERATIONS--DEFINITION OF TERMS

CATEGORY OF WORK

NON/CFS



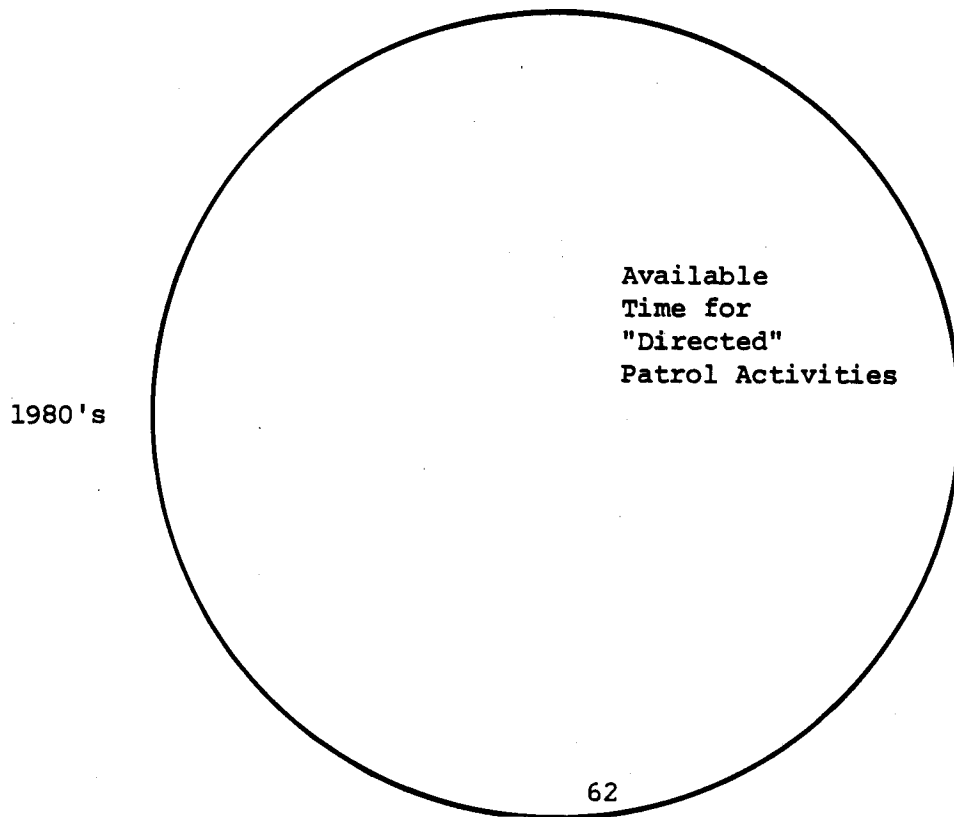
NOTE: Another factor which must be dealt with is whether unit was one or two person staffed.

### CAUTIONS/DATA INFORMATION

Based upon the examination of some data printouts received, and conversations with staff in agencies concerned, the following cautions are offered:

- decide whether report preparation time is included in "time consumed" category
- some concern re: arrest processing time
- how will the time expended by back-up units be reflected
- how will you distinguish between total "time expended" on incident by one or two person units
- avoid a glut of reports -- decide upon the information required for each level of management
- add a "cumulative" component so that the larger picture is readily available
- avoid "cluttered" reports that provide too much information in a disorganized format
- select the categories of information desired -- the reports received ranged from 20 to 96 categories
- accuracy of data is essential to value of reports.

DISTRIBUTION OF TIME



INCIDENT LIST BY CATEGORY

CRIMES-PART I

Homicide  
Forcible Rape  
Robbery (in progress/in past)  
Burglary (in progress/in past)  
Aggravated Assault  
Auto Theft (in progress/in past)  
Larceny  
Arson

OTHER CRIMES

Sex Crimes  
Fraud/Embezzlement  
Drugs  
Prostitution  
Gambling  
Intox. Driver  
Mal. Mischief (vandalism)  
Juvenile Offenses

OFFICER RELATED

Meet Officer  
Officer in Trouble

MISCELLANEOUS

Shots Fired  
Stabbing  
Animal Case  
Lost/Recovered Property  
Intoxicated Person  
Family Disturbance  
Disorderly Person  
Disorderly Group  
Fight  
Mental/Psycho.  
Noise  
Parking Condition  
Traffic Violation  
Accident--Fatal  
Accident--P.I.  
Accident--P.D.  
Ambulance--Sick/Inj.  
Alarm  
Prowler  
Check Auto  
Fire  
Explosion  
Bomb Scare  
Holding Prisoner  
Crowd Control  
Traffic Warrant  
Suspicious Person  
Abandoned Car  
Calls for Help

Escort  
Investigation  
Man With Gun  
Building Check  
Transport Prisoner  
Livestock on Highway  
Traffic Control Condition  
Neighbor Dispute  
Sniper  
Demonstration  
Strike Control  
Civil Disturbance  
Assist Marshal (civic)  
Assist Other Agency  
Disorderly Conduct  
Stolen Bicycle  
Unwelcome Guest

ADMINISTRATIVE

Court  
Station House--Report Prep.  
State House--Training  
Garage--Repairs  
Garage--Gas/Oil  
Mechanical Trouble  
Mail Runs  
Process Prisoner  
Pick-up Items  
Message Delivery  
Roll-call Inspection

DIRECTED/SELF INITIATED ACTIVITY

Arrest  
Summons  
Warrant Service  
Field Interrogation  
Radar Assignment  
Traffic Control  
Vehicle Stop  
Business Prem. Inspection  
Residential House Check  
Community Meeting  
School Visit

PERSONAL

Meal Time  
Coffee Break  
Nature Call

SOURCE: Drawn from Police Agencies.

## DECISION OPTIONS

In reviewing the work demands placed upon the agency carefully consider the options which can be pursued. Some of the options are:

- eliminate the service/function
- charge fees for the service
- sell services to other agencies
- reassign task to other municipal group/private agency
- contract-out the service
- co-produce the service
- use of technological advances to reduce costs
- realign organizational structure
- re-classify positions
- hire civilian/paraprofessionals
- use civilian volunteers
- substitute equipment for labor
- improve information systems
- reduce services
- consolidate or regionalize
- 
- 
- 
-

EXAMPLE OF EXERCISING AN OPTION

- WORK CATEGORY: Traffic accident--property damage only.
- OPTION: Modify/Reduce/Eliminate.
- OLD POLICY: Patrol officer responded to all traffic accidents and handled traffic flow problems (or called for assist), wrote the accident report, and issued summons where warranted.
- NEW POLICY: The only property damage accidents "processed" (report and summons activity) are those where car is disabled or owned by government agency. Officers respond to all however.
- WORKLOAD: 19,000 accidents a year.
- TIME CONSUMED: Average time consumed was 60 minutes per incident.
- EXPERIENCE: Of 19,000 traffic accidents in 1977 40% did not require processing under the new policy.
- PRIMARY SAVINGS:
- 7600 patrol person hours were saved
  - this amounted to \$69,000 in salary savings
  - effectively added 950 tours of duty for other use.
- SECONDARY SAVINGS:
- court overtime reduced by \$1800.00
  - records division saved \$8,000.
- NOTE: Clerical and supervisory time savings not calculated--nor was the time consumed by "assisting" units.
- CRIMINAL JUSTICE SAVINGS/IMPACTS:
- traffic court saved \$15,800--not processing citation recipients
  - state legislature amended law requiring only PI accidents be reported--savings to Motor Vehicle Bureau.
- PRODUCTIVITY GAINS:
- a neighboring agency, adopting the policy, realized comparable savings and increased traffic citations by 3132 in three month-trial periods.

PATROL WORKLOAD - DECISION OPTIONS MATRIX		DECISION OPTIONS							
WORK CATEGORIES (CFS)	Eliminate	Reassign	Reduce		Co-Produce	Privatize	Civilianize	Substitute Equipment	Status Quo.
1. Burglary									
2. Larceny									
3. Assault									
4. Traffic Accident-P.I.									
5. Traffic Accident-Prop.									
6. Traffic Violation									
7. Traffic Control									
8. Disturbance									
9. Suspicious Persons/Cars									
10. Vandalism									
11. Alarms									
12. Animal Call									
13. Fire									
14. Ambulance Call									
15. Arrest									
16. Warrant Service									
17. Auto Theft									
18. Abandoned Car									
19. Intoxicated Person									
20. Loud Noise									
21. Disorderly Group									
22. Residence Check									
23. Domestic Quarrel									
24. Escort									
25. Unwelcome Guest									



PATROL WORKLOAD ANALYSIS/DISTRIBUTION MODELS

CURRENT STATE\*

Conduct "Comprehensive" Patrol  
Workload Analysis

61 Agencies - 80%

Patrol Distribution Models

● Equal Staffing*	8	11%
● Proportionate Need Basic-Calls for Service	35	46%
● Proportionate Need Weighted-Calls for Service	13	17%
● Proportionate Need Time-Consumed Data	13	17%
● Proportionate Need Mathematical (PCAM, etc.)	<u>7</u>	<u>9%</u>
	76	100%

\*Substantial progress has been made in moving away from this unsatisfactory model. In 1977, for example, 49% of 321 police agencies surveyed were using this model--disproportionately skewed toward the smaller (less than 100 officer) departments.

PATROL DISTRIBUTION MODELS

MODEL	ASSUMPTION	ADVANTAGES	DRAWBACKS	IMPLEMENTATION NEEDS
A. EQUAL STAFFING	<ul style="list-style-type: none"> <li>● Three basic shifts require the same number of personnel</li> </ul>	<ul style="list-style-type: none"> <li>● Easy to schedule</li> <li>● No patrol workload study is needed</li> <li>● Less employee and union pressure?</li> </ul>	<ul style="list-style-type: none"> <li>● Inability to handle actual workload</li> <li>● Poor response to C.F.S.</li> <li>● Batching of available time</li> <li>● Lessened ability to deal with crime</li> <li>● Morale problems</li> <li>● Citizen dissatisfaction</li> </ul>	
B. PROPORTIONATE NEED-BASIC C.F.S.	<ul style="list-style-type: none"> <li>● Resources should be assigned to meet geographic and temporal demands</li> </ul>	<ul style="list-style-type: none"> <li>● Identifies C.F.S. workload</li> <li>● Distributes C.F.S. on geographic and temporal basis</li> <li>● Handles workload on timely basis</li> <li>● Improves productivity</li> <li>● Improves morale</li> <li>● Improves citizen satisfaction</li> <li>● Smooths out the available time</li> </ul>	<ul style="list-style-type: none"> <li>● Fails to account for the actual time spent on servicing an incident</li> <li>● Averages used</li> <li>● Does not "weight" incidents on basis of importance to police mission</li> </ul>	<ul style="list-style-type: none"> <li>● Develop a manual (or computerized) collection system</li> <li>● Planning and analysis capability</li> <li>● Conduct a patrol workload study</li> </ul>

MODEL	ASSUMPTION	ADVANTAGES	DRAWBACKS	IMPLEMENTATION NEEDS
C. PROPORTIONATE NEED-WEIGHTED C.F.S.	<ul style="list-style-type: none"> <li>Resources should be assigned to meet geographic and temporal demands</li> </ul>	<ul style="list-style-type: none"> <li>Assigns "weights" to categories of C.F.S. to reflect:               <ul style="list-style-type: none"> <li>Seriousness</li> <li>Duration</li> <li>Priorities</li> </ul> </li> <li>Hazard factors may also be included in some agencies</li> </ul>	<ul style="list-style-type: none"> <li>Does not account for the actual time spent on servicing an incident</li> </ul>	<ul style="list-style-type: none"> <li>Collection system</li> <li>Planning capability</li> <li>Patrol workload study</li> <li>Managerial inputs re: priorities required</li> </ul>
D. PROPORTIONATE NEED-TIME CONSUMED	<ul style="list-style-type: none"> <li>Resources should be assigned to meet workload requirements both C.F.S. and non-C.F.S.</li> </ul>	<ul style="list-style-type: none"> <li>Identifies the actual time spent on C.F.S. as well as all other activities performed</li> </ul>	<ul style="list-style-type: none"> <li>Accumulation of data costly</li> <li>Additional personnel investment</li> <li>May not adequately consider computer/mathematical model potentials.</li> </ul>	<ul style="list-style-type: none"> <li>Refined collection system-broader base of data</li> <li>Planning capability</li> <li>Refined and comprehensive workload analysis</li> <li>Managerial inputs re: priorities required</li> <li>Computer assistance may be required</li> </ul>

MODEL	ASSUMPTION	ADVANTAGES	DRAWBACKS	IMPLEMENTATION NEEDS
E. PROPORTIONATE NEED--MATHE- MATICAL MODELS	<ul style="list-style-type: none"> <li>● Resources should be assigned to meet geographic and temporal demands/refinements</li> </ul>	<ul style="list-style-type: none"> <li>● Adds into the distribution information</li> <li>● Call rates per hour</li> <li>● Travel distances</li> <li>● Travel speeds</li> <li>● Patrol frequency</li> <li>● Cross beat dis-patch</li> <li>● Etc.</li> </ul>	<ul style="list-style-type: none"> <li>● May be costly in terms of gathering, analyzing and implementing</li> <li>● May be too refined for actual needs</li> <li>● Requires both time and computer hardware</li> <li>● Few existing evaluated computer models</li> </ul>	<ul style="list-style-type: none"> <li>● Computer capability</li> <li>● Consultant interaction</li> <li>● Management inputs</li> <li>● Time</li> <li>● Major training of staff and line</li> </ul>

## SUMMARY

This session stressed the importance of conducting a comprehensive patrol workload analysis which considers all of the activities performed by the patrol officer and how long it takes to perform each of those activities. The critical importance of taking a proactive posture in examining the patrol workload with a view towards considering alternatives to present practices was also emphasized. The economies and efficiencies to be gained are worth the effort and investment.

Clearly, the police administrator does not have the time to personally conduct such an analysis or preliminarily explore potential alternatives to existing methods. As pointed out in the prior session, what the administrator needs are talented and imaginative staff people.

Although police organizations have always been strongly paramilitary, somewhere in history the police administrator has apparently misplaced this understanding of and appreciation for strong staff in support of line operations. As a consequence, they level cuts at the head and not the feet--creating the "centipede" problem.

"The centipede was happy quite  
Until a toad in fun  
Said, "Pray, which leg goes after which?"  
That worked her mind to such a pitch  
She lay distracted in a ditch  
Considering how to run"

(1871 Poem)

Police administrators cannot guess or assume, they must know how many feet they have, what they do, and how well they perform. Staff can assist in finding those answers.

The administrator must "do every thing possible to clear away the underbrush of ambiguity and habit that stand in the way of making tough decisions and designing innovative solutions."

In the next session we will look at a policy/program review process which should prove useful in examining a proposed change.

## TASK ACTIVITY

During this session we will complete the patrol workload--decision options matrix to identify potential alternatives to the current method of handling the particular workload category. You are encouraged to consider imaginatively the suggested options. In most cases there are several potential options for each workload category.

### INDIVIDUAL TASK (10 Mins.)

Review the matrix and identify the potential options for each category of work which you believe are viable alternatives.

### GROUP TASK (Balance of Session)

1. Carefully review the workload categories and identify the potential options for each.
2. Select one category, and the primary option for that category, which the group believes has the best chance for successful implementation. Since the purpose of this task is to reduce the workload of the patrol officer, do not select an option which merely alters the time when the work is done (e.g., modify--a routine "call-delayed response").
3. Complete an "options considerations report" for the category selected. Carefully consider the problems, impacts, and anticipated benefits associated with the proposed change.







## TASK ACTIVITY

During this session we will complete the patrol workload--decision options matrix to identify potential alternatives to the current method of handling the particular workload category. You are encouraged to consider imaginatively the suggested options. In most cases there are several potential options for each workload category.

### INDIVIDUAL TASK (10 Mins.)

Review the matrix and identify the potential options for each category of work which you believe are viable alternatives.

### GROUP TASK (Balance of Session)

1. Carefully review the workload categories and identify the potential options for each.
2. Select one category, and the primary option for that category, which the group believes has the best chance for successful implementation. Since the purpose of this task is to reduce the workload of the patrol officer, do not select an option which merely alters the time when the work is done (e.g., modify--a routine "call-delayed response").
3. Complete an "options considerations report" for the category selected. Carefully consider the problems, impacts, and anticipated benefits associated with the proposed change.

OPTIONS CONSIDERATIONS REPORT

CATEGORY OF WORK:  
CURRENT PRACTICE:

OPTION SELECTED:

DESCRIPTION OF CHANGE:

REQUIREMENTS TO EFFECT CHANGE:

ANTICIPATED BENEFITS:

EXPERIENCES OF OTHER POLICE AGENCIES:

AREAS IMPACTED:

PRIMARY:

SECONDARY:

TERTIARY:

MAJOR RESISTANCES ANTICIPATED

INTERNAL NATURE

ACTIONS TO OVERCOME

EXTERNAL NATURE

ACTIONS TO OVERCOME

OTHER BARRIERS TO IMPLEMENTATION

PROBLEM

PROPOSED SOLUTION



## SESSION 4

### DAY II

---

#### POLICY/PROGRAM REVIEW PROCESS

---

Existing police policies and programs need to be reviewed so that the police administrator is assured that they are responsive to current needs and they are being accomplished in an efficient manner in the pursuit of specified objectives. Through the exercise of administrative discretion, it may be possible to increase significantly the amount of "non-committed" patrol time.

The existence and need for administrative discretion was described by the National Advisory Commission on Criminal Justice Standards and Goals in these terms:

The police in the United States exercise considerable discretion. Police discretion is paradoxical. It appears to flout legal commands, yet it is necessary because of limited police resources, the ambiguity and breadth of criminal statutes, the informal expectations of legislatures, and the often conflicting demands of the public...

An agency head can ill afford to support systems and programs which have outgrown their usefulness and/or which are being operated so poorly that they represent a drain on limited resources.

Increasingly, police administrators are instituting a formal review process to examine existing policies, systems, and programs. The process can be activated in a variety of ways such as environmental change, research findings, or by administrative decision which would include a pre-planned comprehensive review program.

In this session we will consider some areas where administrative discretion appears appropriate, such as: enforcement policies, arrest policies, civilization, volunteers, and managing calls for service.

Additionally, we will present a policy review cycle which consists of six distinct steps. They are:

- formulation of the problem
- identification of the objectives
- establishment of policy
- development of strategies
- conversion of strategies to action plans and tactics
- monitor and feedback.



### SOME QUESTIONS

In 1973 the National Commission on Productivity prepared a brochure for city officials entitled "Improving Police Productivity: More For Your Law Enforcement Dollar."

Ten of twelve key questions proposed in the brochure were to be asked of police chiefs by city officials. They are:

1. How many policemen in your department perform tasks that could be done cheaper or better by a civilian?
2. How much time do police spend on non-crime activities?
3. In response to demands for more police protection, do you simply add more patrolmen to the force or do you try to increase police capability?
4. What hours of the day are calls for police service heaviest? Is that when most of your policemen are on duty?
5. Where are the high crime areas of your city? Is there any change in patterns? Is your force flexible enough to concentrate its men in those areas at peak crime times?
6. How long does it take to respond to an emergency call?
7. Does your department expect maximum performance from its personnel by decentralizing authority, responsibility, and accountability?
8. Does your department assign people according to their abilities and preferences?
9. Does your department train personnel for the real problems they will confront?
10. What are your department's greatest equipment costs? Is the best use made of existing and available equipment?

### WHAT SHOULD BE DONE

The police manager should conduct a comprehensive review of current policies that govern patrol responses to total agency workload demands.

### WHY SHOULD IT BE DONE

It may be possible to reduce substantially the amount of current patrol time spent in serving the existing workload requirements.

### SCOPE OF THE REVIEW

- Assessment of current assigned responsibilities
- Enforcement policies
- Arrest policies
- Use of paraprofessionals
- Use of civilian volunteers
- Prioritization of calls for service
- Assignment policies.

POLICY ANALYSIS INTERACTION

Police Functions	HIGH	LOW
Crime-Related		
Order Maintenance		
General Services		
Administrative and Statutory Requirements		

ENFORCEMENT POLICIES

Decisions concerning enforcement priorities actually amount to a quasi-decriminalization of certain activities. Some of the crimes affected are:

- Public intoxication
- Gambling
- Sabbath Law (blue law)
- Marijuana possession
- Consensual activities.

DECISION MATRIX

POLICY ISSUES	PROACTIVE COMMITMENT	REACTIVE COMMITMENT
Hazard		
Nuisance		
Innocuous		

SAMPLE CRITERIA FOR ARREST

DIVERSION AND SUMMONS ALTERNATIVES

Criteria established by many police agencies to determine eligibility for these approaches include:

- Will release lead to a resumption of illegal activity?
- Is the offender dangerous to self or others?
- Does offender understand what is occurring (e.g., intoxicated, mentally disturbed)?
- Do sufficient ties to the community exist?
- Is the arrested person regularly employed?
- Is an arrest warrant currently on file?

## CIVILIAN VOLUNTEERS

"The police agency that does not make maximum use of available professional outside expertise will rarely, if ever, adequately fulfill its role." (National Advisory Committee on Standards and Goals, 1973)

- Reserve Generalist (Auxiliary Police)
  - Patrol
  - Parade Duty
  - Fire alarm box duty
  - Church crossings
  
- Reserve Specialist (A relatively untapped resource)
  - Medical professionals
  - Legal experts
  - Labor relations experts
  - Accountants
  - Artists
  - Advertisers
  - Educators
  - Etc.

### ADVANTAGES - USE OF PARAPROFESSIONALS

- Provide avenue for recruiting and evaluating potential police officers.
- Evaluate performance and capability before sworn status achieved.
- Provide same high quality services on a more cost-effective basis.
- Relieve sworn officers of routine duties.

### RESPONSIBILITIES ASSIGNED

The duties assigned to civilians have been substantially broadened to include a wide range of patrol type activities such as:

- Traffic accident investigator
- Intersection control officer
- Parking summons server
- Patrol with sworn officer
- Family crisis specialists
- Subpoena servers.

An example of this expanded role is outlined in the Worcester, Mass. Police Service Aid Program on the next page.

SERVICE CALL ASSIGNMENTS  
FOR SWORN OFFICERS AND POLICE SERVICE AIDES  
IN WORCESTER, MASSACHUSETTS\*

<u>ROUTE ASSIGNMENTS</u>	<u>PSA ONLY</u>	<u>PO ONLY</u>	<u>AMBIGUOUS</u>
Report to Headquarters, Precinct I. etc.			X
Standby (Precautionaries)		X	
Assist, Meet, Pick Up Officer			X
Pick Up Papers, Etc.	X		
Escort Duty			X
Snow Complaints	X		
Guard/Transfer Prisoners		X	
Found/Recovered Property	X		
Notifications			X
Assist Citizen			X
Verification			X
 <u>ALARMS</u>			
House Alarm		X	
ADT Alarm		X	
Car Alarms (Burglary)	X		
Fire Alarms	X		
Bonfire	X		
Car Fires	X		
 <u>DISTURBANCES</u>			
Vandalism			X
Disorderly Person		X	
Disorderly Gang		X	
Fight		X	
Drunk		X	
Suspicious Person (Prowler)		X	
Suspicious Car (Occupied)		X	
Children Disturbing	X		
Discharging Firearms		X	
Noise Complaints			X
Rubbish Complaints	X		
Animal Complaints	X		
Domestic Trouble		X	

---

\*Improving Patrol Productivity, Vol. I, pp. 82-83.



ROUTE ASSIGNMENTSPSA ONLYPO ONLYAMBIGUOUSNONCRIMINAL INVESTIGATIONS

Open Door/Window/Lights on in Building  
 Defective Streets/Walks/Wire  
 Licenses/Permits

X  
 X  
 X

ALL POINTS BROADCAST

Stolen/Recovered Car  
 Stolen/Received Car  
 Wanted/Located Car  
 Missing/Located Person  
 Wanted Person/Suspect  
 Missing/Located Patient  
 Escaped/Apprehended Prisoner  
 Lost/Stolen/Recovered Plates

X  
 X  
 X  
 X  
 X  
 X  
 X  
 X

MEDICAL CASES

Sick Person  
 Injured Person  
 Dead Person  
 Overdose

X  
 X  
 X  
 X

INVESTIGATIONS

Homicide  
 Rape  
 Assault  
 Armed Robbery  
 Unarmed Robbery  
 Larceny from Motor Vehicle  
 Attempted Larceny from Motor Vehicle  
 Breaking and Entering Dwelling/Commercial  
 Bomb Threat  
 Bombing  
 Narcotics Offenses

X  
 X  
 X  
 X  
 X  
 X  
 X  
 X  
 X  
 X  
 X

TRAFFIC INCIDENTS

Auto Accident with Property Damage  
 Auto Accident with Personal Injury  
 Auto Accident with Hit and Run  
 Auto Obstructing  
 Traffic/Parking Violations  
 Abandoned Car (Empty)

X  
 X  
 X  
 X  
 X  
 X

CRIMES IN PROGRESS

Rape  
 Assault  
 Armed/Unarmed Robbery  
 Larceny  
 Breaking and Entering Dwelling

X  
 X  
 X  
 X  
 X

### ADMINISTRATORS' CONCERNS

More and more police administrators recognize the worth of, and need for, a formal review of existing policies and programs.

In broad terms the administrator is concerned with whether a program is:

- responsive to current requirements
- operating efficiently and effectively
- contributing to the achievement of established objectives.

### SURVEY FINDINGS

Sixty-four percent (64%) of the respondents indicated they had initiated such a formal review for those policies and programs which were critical to decisionmaking regarding the allocation of patrol personnel.

And, had assigned the responsibility for the conduct of an ongoing policy and program review to a particular unit or person.

## ACTIVATORS OF REVIEW PROCESS

The formal review process can be activated in a variety of ways. Some of which are:

### ENVIRONMENTAL CHANGE

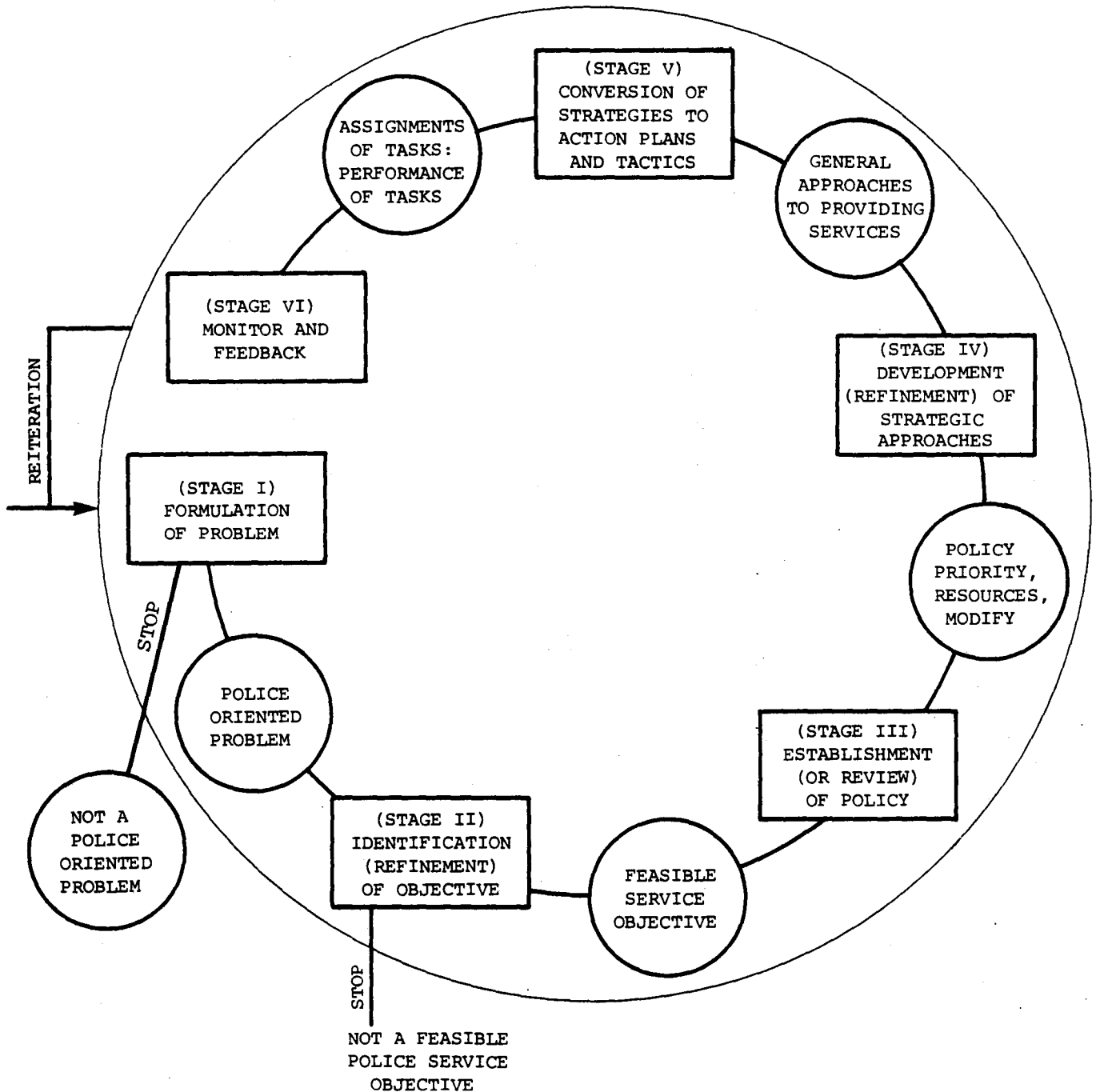
- Economic
- Social
- Political
- Technological
- Legal

### PLANNING COMPREHENSIVE

### RESEARCH FINDINGS

### ADMINISTRATIVE/ANALYSIS DECISIONS

POLICY/PROGRAM REVIEW PROCESS



NOTE: May initiate the process at any stage depending upon satisfaction with existing definition of each stage. Each should be examined before approaching an advanced stage for refinement.

## POLICY/PROGRAM REVIEW PROCESS

Once a policy/program is selected for review it should be examined in a systematic way. The process we will use consists of the following components:

- Problem Formulation
- Identification of Objectives
- Establishment of Policy
- Development of Strategies
- Development of Tactics and Action Plans
- Monitor/Feedback.

For each of these components we will consider:

- Assignment of responsibility
- Degree/level of line and staff support
- Concepts and processes
- Information requirements and sources
- Products and their application.

### USE OF ORGANIZATIONAL RESOURCES

Awareness of the changing requirements as the policy/program review process proceeds is one of the central responsibilities placed upon the chief of police. He/she has the associated responsibility of assembling the correct resources required to assist at each stage of the process which becomes increasingly refined and focused.

### CATEGORIES OF RESOURCES

There are two categories of resources which the chief should combine with his personal role during the process:

- vertical command and control--line operations
  
- horizontal staff support elements--which facilitate and enable the operations of line units.

## GUIDELINES CONCERNING USE OF RESOURCES

### VERTICAL LINE RESOURCES

As the process proceeds through the major stages it will be necessary to involve more and more of the vertical line resources.

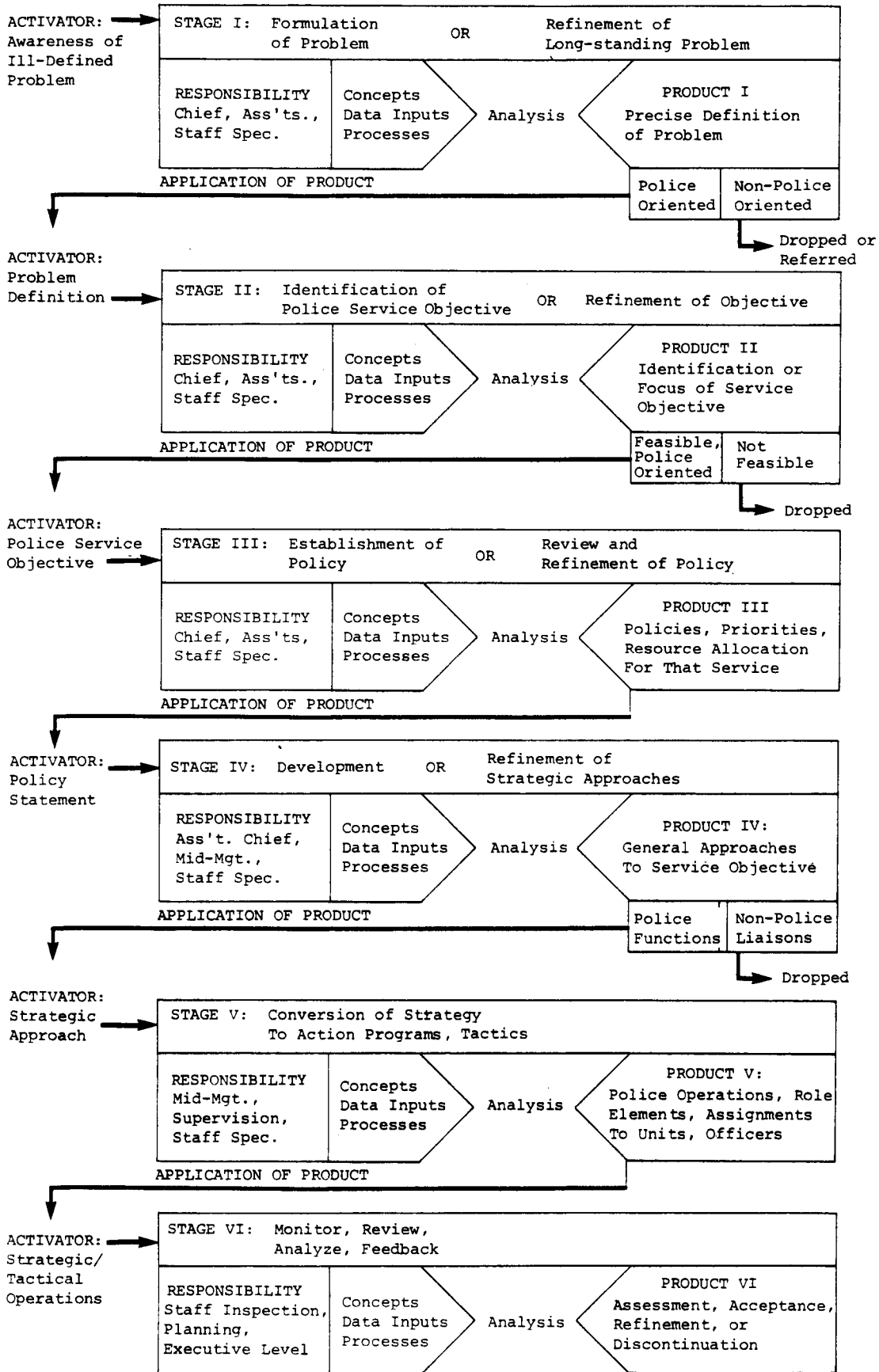
However, rarely more than two levels will be desirable. There are three reasons for this limitation:

- each level of command and supervision has a distinct role and function;
- excess numbers of participants lead to discussions which are without structure, constraints, a central focus, or clear definition of responsibility for those present and;
- all levels will participate at the appropriate stage in the process.

### HORIZONTAL STAFF SUPPORT RESOURCES

As the process proceeds, the chief will want to involve particular staff support units (individuals) which can contribute to the specific stage of development.

The chief should select the specialized competencies, functions, and perspectives he requires at each stage in the process.





## PROBLEM FORMULATION (STAGE I)

### ASSIGNMENT OF RESPONSIBILITY

The chief of police is responsible for the precise formulation of the problem(s) to be addressed. He should draw upon appropriate organizational resources to assist him.

### SUGGESTED RESOURCES

Line Resources - Deputy chiefs (Bureau Heads) from appropriate bureaus.

Staff Support - Involve those specific persons, representing the staff specialty, best able to assist in defining the problem.

For example: crime analyst, operations analyst, planning specialist, training manager, data systems specialist, etc.

### CONCEPTS/PROCESSES

In approaching the task of defining the problem, the administrator should:

- consider how the situation or condition came to his attention as a problem
- recognize that most problems become selected as policy issues on the basis of social values rather than measured, factual information
- consider who defines and brings forward the issue and suggests it as a police problem.

At the outset of the process of formulating the problem adopt an approach that is widely receptive but which leads toward a narrowing of options and then closure upon the definition of choice.

Consider:

- internal facts and values related to issue
- external facts and values
- suspending personal and professional values.

To reduce decision uncertainty:

- search for additional information
- accept the limitations upon information gathering

- recognize the level of uncertainty
- ask the right questions to define the problem
- ask questions which lead beyond problem definition toward identification of objectives and policies.

## INFORMATION REQUIREMENTS AND SOURCES

Data requirements must be explicitly considered part of the process from its inception.

The definition of the problem may be assisted by internal police information such as:

- workload analysis data
  
- crime analysis outputs
  
- productivity studies
  
- records of equipment utilization
  
- communications center records
  
- community relations reports regarding tensions
  
- etc.

External sources of information relevant to the problem should be tapped.

## TIMING OF INFORMATION

The timing of information availability has two aspects--one which can be planned for and the other which must be met as it arises.

### INFORMATION WHICH CAN BE PLANNED FOR

- While some of the data requirements will be obvious, some will emerge from knowledgeable agency personnel, for example:
  - operational line commanders
  - planners and other staff specialists
  - data systems specialists.

### INFORMATION NEEDS WHICH ARE UNPLANNED

- These needs emerge as the process evolves--from the very general to the tightly focused.
  - Executive - evaluates his decision uncertainty and determines how much time and money he is willing to spend.
  - Planner - visualizes data needs for process from problem formulation to service objective.
  - Data Systems Specialist - estimates cost, time, and effort to display data for required stages.

One of the principal products during this stage is to develop the information base which will be brought to the overall task.

## PRODUCTS AND APPLICATION

The product of the problem formulation stage must be a definition which leads to the identification of a police service objective. Some of the questions which should be addressed are:

- what makes it a police problem
- what are the dimensions, scope, intensity, and duration of the problem
- what are the indications of internal and external value impacts upon the problem
- what is the level of uncertainty
- what are the anticipated information requirements
- what are the anticipated responsibilities?

THE MOST IMPORTANT CHARACTERISTIC OF THE FORMULATION SHOULD BE THE CONCISE ANSWER TO THIS QUESTION:

SHOULD THIS PROBLEM BE CARRIED FORWARD TO:

- Identify the police service objective
- Establishment of policy?

## IDENTIFICATION OF OBJECTIVES (STAGE II)

### ASSIGNMENT OF RESPONSIBILITY

The chief of police is responsible for the identification of the objectives. Once again, he needs the assistance of a management team.

### SUGGESTED RESOURCES

Line Resources - Appropriate Deputy Chiefs of Police.

Staff Support Units - Specialists selected from planning, data systems, budget, crime analysis, training, etc.

A suitable combination of line commanders and staff specialists who possess the particular competencies directly related to this stage of the review process should be selected.

### CONCEPTS/PROCESSES

Objectives must be thought of as products which are measureable and quantifiable--in the sense of how much was produced per unit of cost or man-hour.

### SETTING OBJECTIVES

The setting of police service objectives has several requirements all of which follow directly from the problem formulation stage:

- there must be a careful/precise definition
- dimension, scope, intensity and duration must be specified
- nature of the objective must be explained (what is it to measure?)
- must be limited to an attainable goal
- must be an important, high goal of the department.

## PROBLEMS IN IDENTIFYING OBJECTIVES

Problems in identifying objectives arise from the nature of the police mission and also from the traditional roles of police. The identification of the objectives can encounter hard questions such as:

- are objectives consistent with traditional goals of the department
- will line commanders and supervisors consider the objectives worthy of police attention/allocation of police time
- will the objective fit in with the multiple police service objectives already being addressed
- will emphasis of the new objective lead to suboptimization
- will external groups interpret the objective as deflecting police services away from their traditional needs
- will the timing of the objective lead to suboptimization (i.e., short-term vs. long-term).

## INFORMATION REQUIREMENTS AND SOURCES

Despite the fact that there is an improved capacity for early awareness and the use of information at this stage, it should be remembered:

- Because of a lack of consensus as to what the nature, causes, and solutions to the problems are, the agency will want to acquire substantial amounts of information for its analysis and for support of the objective.
- The decision uncertainty may be no greater than in Stage I but the administrative, social, and political consequences and issues are greater as the process proceeds. This reality impacts upon the amount and quality of information needed.
- The timeliness of the information availability remains as large an issue as in Stage I.

## PRODUCTS AND APPLICATION

The results of the identification of objective(s) must be a definition of a police service product which leads clearly into the establishment of policy.

Some of the characteristics of the service objective are:

- provides a clear visualization of the service product or outcome

- describes a measurable product or service
  
- identifies the service objective as a segment of the overall police purpose
  
- expresses the priority of this service objective in relation to others
  
- explores possible conflict and competition with other objectives
  
- explores possible enforcement and cooperation with other public service objectives.

**THE MOST IMPORTANT CHARACTERISTIC OF THE SERVICE OBJECTIVE SHOULD BE A CONCISE ANSWER TO THIS QUESTION:**

**SHOULD THIS BE CARRIED FORWARD TO THE ESTABLISHMENT OF POLICY?**



## ESTABLISHMENT OF POLICIES (STAGE III)

### ASSIGNMENT OF RESPONSIBILITY

The chief of police is responsible for the establishment of the policies--based upon the governance directives which emanate from external boards, commissions, councils, mayors, etc.

This policymaking responsibility is clarified by the following observations:

- policy development provides the most important context for the chief's relationships with external governmental and political entities--because public policy is politics
- it is also the point at which the realities of police capabilities must confront externally expressed demands and expectations.

In the sense that the chief shares his policymaking responsibility with external officials, he needs to educate them to the realities of police operational capabilities and technologies.

### SUGGESTED RESOURCES

#### VERTICAL LINE SUPPORT/HORIZONTAL STAFF SUPPORT

The nature of the progress through the first two stages will to a large extent determine which line commanders and staff specialists will be needed to draft the policy statement which serves to activate the police agency toward the accomplishment of the objective.

### CONCEPTS and PROCESSES

A police agency policy differs in dimension and specificity from the broad, general social policy statements of legislatures, commissions and elected officials. The police policy:

- is a statement of what is to be done in relation to the problem and objective
- authorizes the achievement of the objective
- may express the degree of priority allocated to the objective
- may indicate the resources allocated for the objective.

### EXISTING OBJECTIVE

Where an objective has long been a part of the department's purpose, a policy may:

- clarify the approach to the objective
- change its priority
- allocate new resources
- group it with other functions
- modify its place in the department's scope of operations.

### INFORMATION REQUIRED AND SOURCES

In most cases the data requirements for the preparation of a policy statement have been fully met in Stages I and II.

In contrast to the earlier phases of the process, Stage III is largely a matter of stating concisely what the agency is going to do about a problem.

### PRODUCTS AND APPLICATION

A policy statement establishes the following points:

- formulation of the problem as one to be addressed by the agency
- identification of the objective in relation to the problem
- an activation of the agency's resources
- in some cases it may indicate the priority and level of resources to be allocated to the objective
- in some cases, it will specify the unit or person responsible for operationalizing the policy.

The most important characteristic of the policy statement should be its capacity to carry the objective forward to

- development of strategic approaches
- conversion of strategies to action plans
- adaptation of strategies to field tactics.

## DEVELOPMENT OF STRATEGIC APPROACHES (STAGE IV)

### ASSIGNMENT OF RESPONSIBILITY

Having provided executive leadership to the definition of the problem, the establishment of the police service objective, and the establishment of the policy to activate the agency's response to the problem, the chief of police now delegates this phase to the appropriate bureau chief.

The selection of the bureau chief whose function is affected (e.g., crime deterrence, crime clearance, calls for service response, etc.) will assure the correct placement of the responsibility.

The chief selected should have served with the chief of police in the earlier stages.

This will provide continuity of development and a "management interlock" with previous decisions.

### SUGGESTED RESOURCES

- Vertical Line Resources - Command officers from one or more levels below the bureau chief.
- Horizontal Staff Support - Staff support specialists, preferably those who were involved in the three previous stages, should be part of the task group. At this stage there is a particular need for three particular specialties:
- Operations Analyst
  - Planning Specialist
  - Data Systems Specialist.

## CONCEPTS AND PROCESSES

### DEFINITION

STRATEGY IS A BROAD APPROACH TO A CATEGORY OF PROBLEMS

Categorical strategies might be developed for residential burglary prevention, interdiction of strong-arm robberies, identification of the buyers of stolen property, etc.

TACTICS ARE ADAPTATIONS OF THESE BROAD BASED APPROACHES TO SMALLER SCALE GEO-TEMPORAL MODUS OPERANDI PATTERNS.

## STRATEGY REFINEMENTS

A strategic refinement in patrol management might consist of the following broad approach elements:

- Identification of patrol time spent on low priority functions
- Recovery of low priority time by reorganizing the agency or calls for service management program
- Reallocation of recovered time to higher priority crime reduction or criminal apprehension activities by patrol units.

A strategic refinement in the management of criminal investigations might consist of the following broad approach elements:

- Identification of those cases routinely forwarded to detectives which have a low probability of solution
- Removal of those cases from routine assignment channels
- Identify high solvability cases--assign to detectives for continuing investigation.

## DEVELOPMENT OF STRATEGIC APPROACHES

The development of strategic approaches requires:

- assembly of an appropriately constituted task group
- clear definition of the service objective and the underlying problem
- understanding of the department policy authorizing the accomplishment of the objective
- unobstructed search for alternative strategies
- contribution of findings by selected staff
- development of scenarios and hypothetical cases
- tentative nomination of strategies for serious consideration
- application of values external to the department
- application of values and traditional role considerations of department personnel.

## SUBMISSION OF FINDINGS TO CHIEF OF POLICE

After completion of the systems review and value analysis of nominated strategies, the final few strategy candidates are submitted to the chief of police for consideration.

The chief should:

- confer with the task group
- consider the systems analysis and value expressions from all quarters
- make a choice of the strategy.

## INFORMATION REQUIREMENTS AND SOURCES

Sources of information for the analysis of strategy candidates are mainly the:

- findings of police experimentation, research, test sites, pilot projects, innovations, emergence of new technologies, and major training programs
- values, attitudes, preferences, biases--internal and external
- information about your community
- evaluation of internal police procedures in all divisions.

## PRODUCTS AND APPLICATION

The product of this phase should be a strategic approach which includes:

- a strong focus upon the category of objectives and the originally defined problem
- flexibility to adapt techniques designed to accomplish the service objective.

For example:

- ARMED ROBBERY INTERVENTION (STRATEGY)
  - TAC II alarms plus designated rapid-response units for 24 hour convenience store robberies

- Stakeouts for pharmacy narcotic robberies
- Victim-substitution (decoys) for oil-delivery truck robberies.

THE MOST IMPORTANT CHARACTERISTIC OF A STRATEGIC APPROACH IS THAT IT:

CARRIES FORWARD TO THE DEVELOPMENT OF OPERATIONAL TACTICS WHICH ARE ADAPTABLE DOWN TO THE INDIVIDUAL CASE LEVEL--TO THE SITUATIONS WHICH CONFRONT POLICE OFFICERS ON THE STREET.



## CONVERSION OF STRATEGIES TO ACTION PLANS AND TACTICS

(STAGE V)

### ASSIGNMENT OF RESPONSIBILITY

The appropriate field level commander should be assigned the responsibility of developing the tactics to implement the strategy and achieve the objective(s).

### SUGGESTED RESOURCES

- |                                  |  |
|----------------------------------|--|
| <u>Vertical Line Resources</u> - | The middle management field commanders, first line supervisors, and working officers need to work together in the development of case by case tactics. |
| <u>Staff Support</u> -           | The crime analyst plays a critical role interpreting information and in assisting in the fine-tuning of tactics.                                       |

NOTE: The importance of crime analysis will be covered briefly in the Patrol Management Session.

### CONCEPTS AND PROCESSES

At the point of action planning, the following aspects must be covered:

- assignment of the program responsibility to a unit commander
- supervisors and officers must be trained in new techniques, equipment, case tactics, etc.
- communications center must be included in the planning and execution to avoid confusion
- linkages must be established between operational units, tactical planners, data sources, and crime analysis
- tactics are designed by cooperation between line and staff elements.

#### INFORMATION REQUIRED AND SOURCES

The primary data requirement at the tactical level is crime analysis information of a very detailed kind.

#### PRODUCTS AND APPLICATION

The products are case-oriented tactics designed for the individual police officer or team to accomplish the service objective originally defined in response to the problem.

The aggregate of individual service achievements is intended to deliver the departmental service objective at an acceptable level.

### INFORMATION REQUIRED AND SOURCES

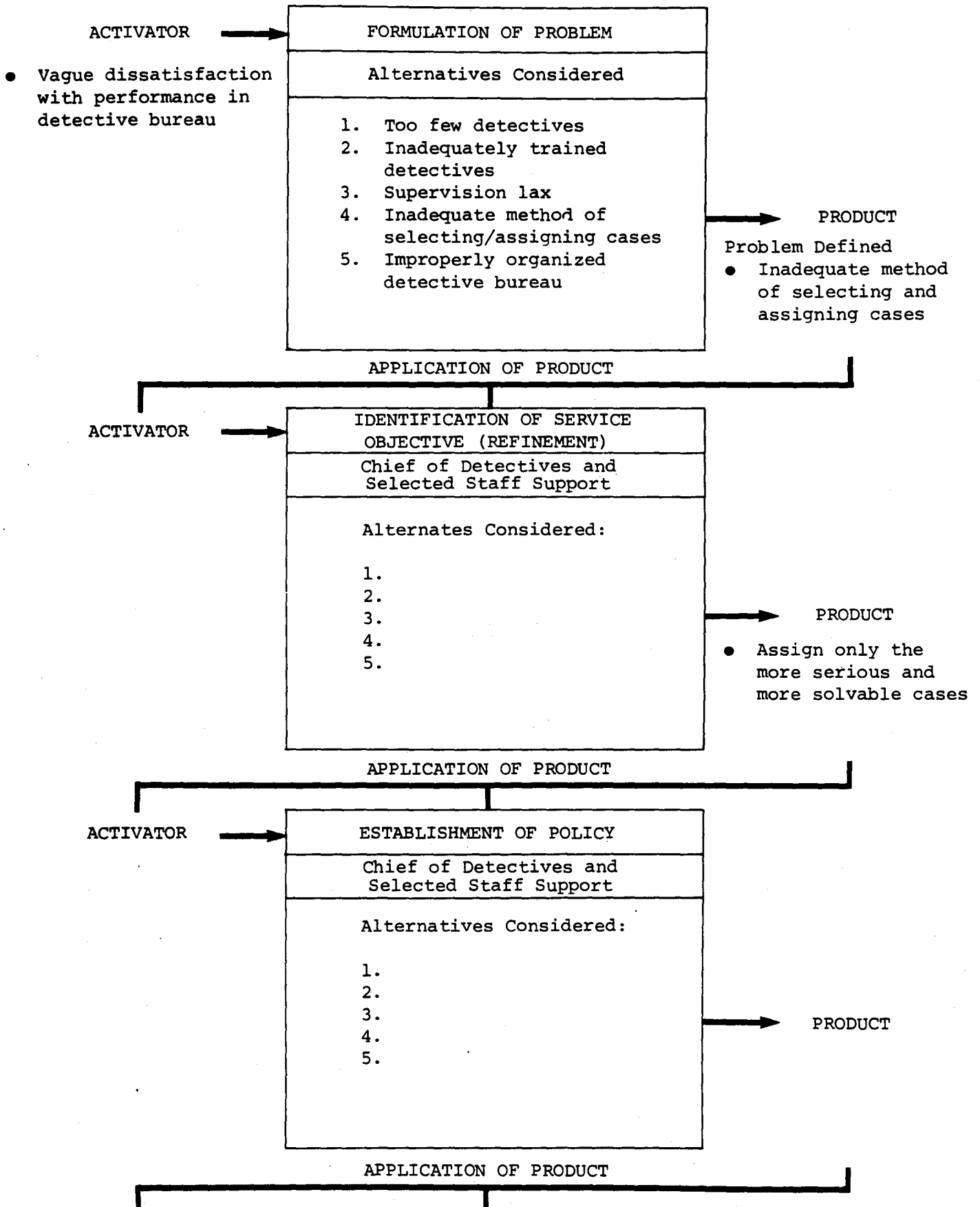
The primary data requirement at the tactical level is crime analysis information of a very detailed kind.

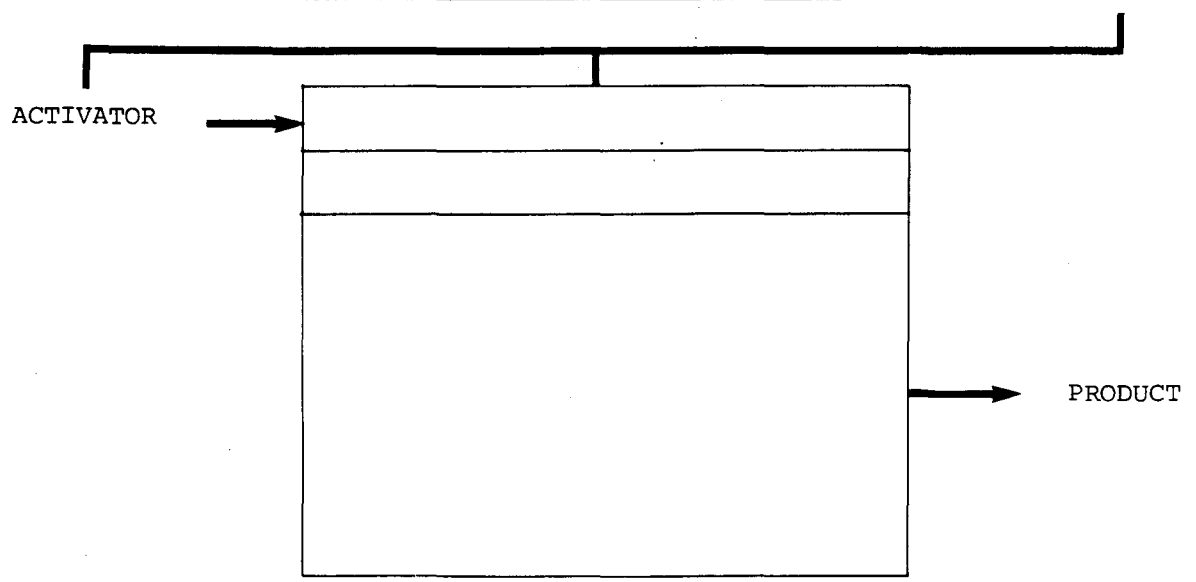
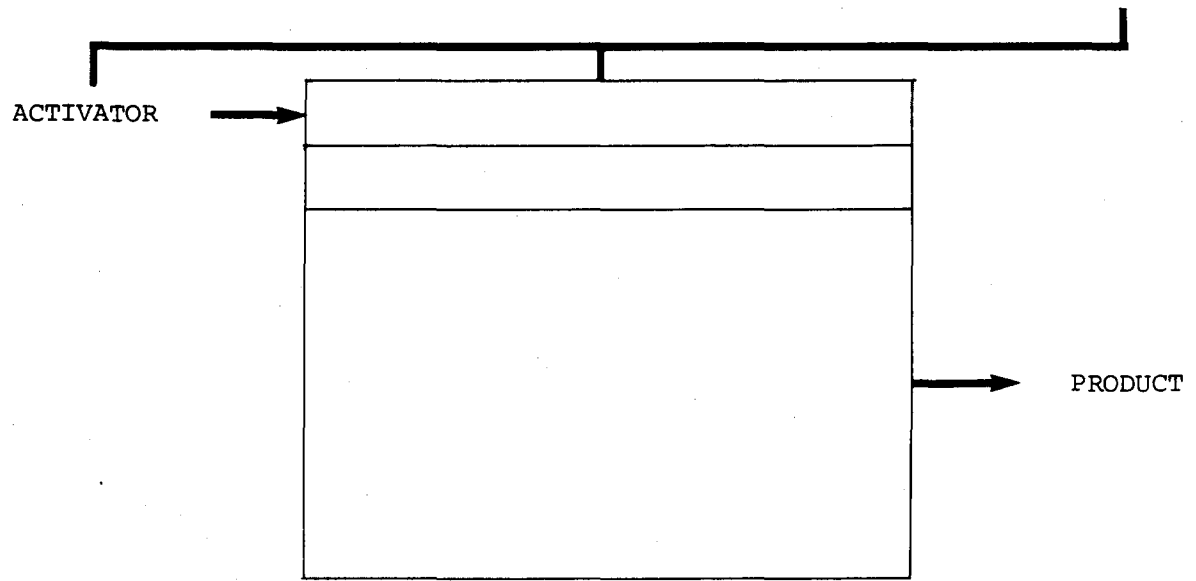
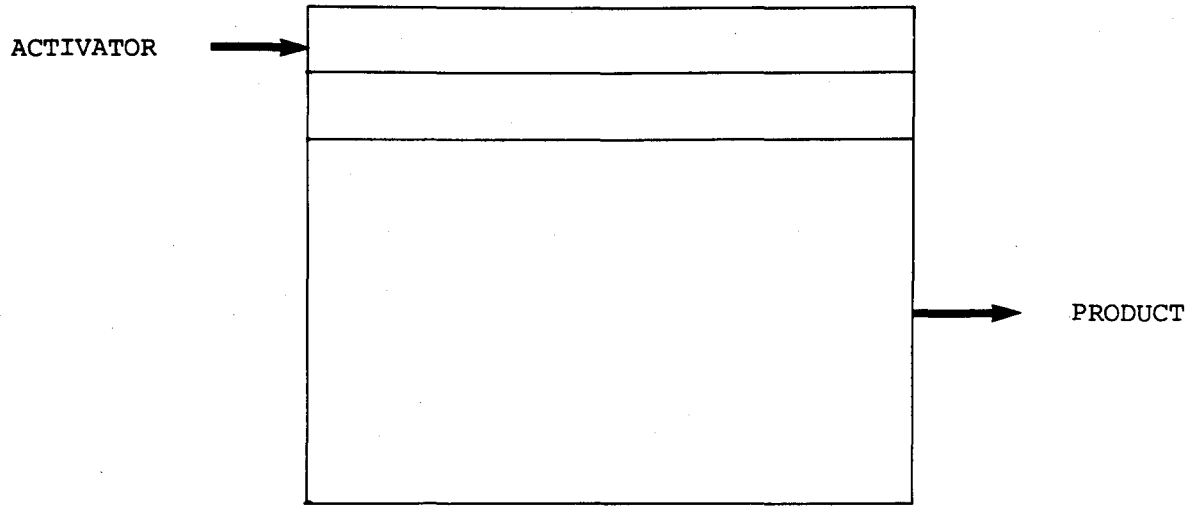
### PRODUCTS AND APPLICATION

The products are case-oriented tactics designed for the individual police officer or team to accomplish the service objective originally defined in response to the problem.

The aggregate of individual service achievements is intended to deliver the departmental service objective at an acceptable level.

ILLUSTRATION: POLICY/PROGRAM REVIEW PROCESS







## SESSION 5

### DAY II

---

#### CALLS FOR SERVICE MANAGEMENT

---

In recent years many police agencies have established a calls for service management program which essentially prioritizes incoming calls for service and employs some degree of variety in the alternative responses to those calls. This change in traditional practices is based upon the growing recognition that an immediate response to all calls is wasteful of time and costly resources--the patrol officer.

Even more important than the differences in response alternatives, however, is the purpose for which the program was instituted in the first place. In some agencies the program was implemented because the police administrator saw the need to manage this time demanding activity continuously so that additional patrol time would be available to undertake programs which meet the more pressing police needs in the community. In other agencies the program is nothing more than a "contingency plan" to meet the requirements of peak periods and unexpected "backlogs."

The fact that so few departments have included a community education component in their program might be explained by the reality that the program is actually a contingency plan--thus the citizen does not see a material change in the service performed.

And, the fact that so few departments have not included sufficient training for communications and field unit personnel might be traced to a lack of full understanding of the systemic impacts which accompany a change of this magnitude.

In this session we will review the historical rationale for rapid response, the findings of some surveys on the CFS state of the art, the range of alternative responses and dispatch criteria, the requirements of a managed program, a proposed model for classification of calls, the redefinition of the role of the call in-take operator, and the need for direction and training.

## HISTORICAL HANDLING OF CFS

### HOW

- All calls must be responded to by patrol.
- All calls must be answered rapidly.
- CFS take precedence over all other patrol activities.

### WHY

Rapid response is needed to:

- Apprehend suspects;
- Secure evidence;
- Locate witnesses;
- Reduce injuries and;
- Assure citizen satisfaction.



### BELIEFS CHALLENGED

Research findings have indicated that:

- Rapid response to CFS leads to a very small percentage of arrests for PART I crimes (3.7%).
- Citizen satisfaction occurs when response meets established expectation of service and not necessarily a rapid response.
- Relatively small percentage of calls are of critical nature (15%).

### HARD REALITIES

- Increasingly smaller amount of personnel resources;
- Need to maximize amount of non-committed time for more important activities and;
- Increased CFS volumes.

## PROBLEMS/BARRIERS

### EXTERNAL

- "Expectations of fast response and service to marginal calls well established among political hierarchy. Abandonment of these expectations has been and continues to be a major roadblock in full, overt management of calls by priority"
- Citizen adverse reaction aborted program
- Public expectations
- Public lack of use of "911"--go through local stations.

### INTERNAL

- "Extreme difficulty in obtaining qualified personnel for dispatchers, makes it very difficult to screen calls properly"
- Identifying types of calls for various categories
- Anxiety of dispatch personnel
- Sheer volume of calls
- Lack of knowledgeable personnel
- Internal confusion regarding procedures
- Communications center outside police agency--shared
- Lack training resources and programs
- Breaking from tradition
- Lack of definitive way to evaluate program
- Slow response time
- Dispatchers will not stack--clear the boards
- High turnover of dispatchers
- Management backing of communications personnel lacking.

101 AGENCY QUERY SURVEY FINDINGS

88% - of departments have instituted some form of prioritized CFS program.

PROGRAM DESCRIPTION

Typically the dispatch priorities fell into the following categories:

- immediate (emergency)
- delayed--moderate (10-15 min. delays)
- delayed--prolonged (more than 15 min. delays)
- no response
- appointment.

Additionally, the following non-mobile response alternatives were used:

- |                        |     |
|------------------------|-----|
| ● referral             | 79% |
| ● telephone acceptance | 75% |
| ● mail-in              | 14% |
| ● walk-in              | 81% |

It is worth noting that 67% did not incorporate a "community education" element in their program.

---

NOTE: In the Sumrall Study of "Differential Police Response Strategies" 71% of the 175 survey agencies had some form of alternative response.

RESPONSE CATEGORY/DISPATCH POLICIES\*

EMERGENCY

CRITERIA: Crimes in progress or other situations which constitutes serious threat to life or property.

Emergency calls have precedence over all others.

DISPATCH POLICY:

(Sequence of assignment)

- Unit assigned to answer calls for the given response area
- Other team unit assigned to calls for service
- Mobile directed patrol unit assigned to the team
- Adjunct team unit.

IMMEDIATE

CRITERIA: Calls which require an immediate police response but which do not involve the element of threat which distinguishes true emergencies.

DISPATCH POLICY:

Same as in "emergency" category

except:

- mobile directed patrol unit will not be assigned to this type call (#3 above)
- immediate call dispatched without delay unless dispatcher has to hold to handle emergency calls.

---

\*Charlotte, North Carolina Police Department--MPO Test Site--Charlotte is organized on a "team policing" basis.

ROUTINE

CRITERIA\*\*: All those calls where police presence is desirable but where rapid response will not affect the outcome of the situation.

DISPATCH POLICY:

- A routine call will only be dispatched after all emergencies and immediate calls have been handled
- Only units assigned to answer calls for service in the team area are dispatched
- After 50 minutes the call becomes an IMMEDIATE DISPATCH.

MULTIPLE RESPONSE:

- Danger to the officers
- Call category list suggests multiple situations
- Responsibility of the field supervisor or first officer on scene clear second unit if not needed.

---

\*\*When a routine call is designated the complaint receptionist must courteously inform the caller of the delay. If the caller, however, insists upon an immediate response, the call moves up to the IMMEDIATE category.

## EXPEDITOR UNIT

Some departments have established an expeditor unit to handle those calls for service which do not require the dispatch of a patrol car.

## WORKLOAD SOURCES

- Telephone referrals
- Walk-in traffic
- Warrants.

## TYPES OF INCIDENTS REFERRED

- Simple assault
- Larceny
- Purse snatching (past)
- Auto theft
- Locate an auto (towed in)
- Lost property
- Damage to property
- Fraud
- Runaway/missing
- Some domestic problems.

THE USE OF DIFFERENTIAL RESPONSES HAS GROWN HAPHAZARDLY IN MOST CASES AS A REACTION TO CIRCUMSTANCES PARTICULAR TO THE LOCAL ENVIRONMENT

WHAT IS NEEDED, IS A PROACTIVE OPERATIONAL PLAN WHICH INCORPORATES A FULL RANGE OF ALTERNATIVE RESPONSES. THE PRIMARY PURPOSE OF THE PLAN SHOULD BE AN INCREASE IN THE AMOUNT OF UNCOMMITTED OFFICER TIME AVAILABLE FOR NON-CALLS FOR SERVICE ACTIVITY.

## PLANNING REQUIREMENTS\*

Developing a comprehensive calls for service response alternatives program requires considerable planning. It will at least require:

- analysis of the CFS workload
- determination of the key factors needed to differentiate calls
- examination of existing call intake and dispatch procedures and practices
- projection of the costs of making the change.

## SOME IMPACTS\*

- Disruption of existing operations
- Re-examination of allocation and deployment decisions
- Potential reduction of personnel required
- Need to plan in advance as to how the "made available" time (and resources) will be used
- Public perceptions and reactions.

---

\*Differential Police Response Strategies, Raymond Sumrall, et. al., 1977, selected sample of residents in Birmingham, Alabama and San Jose, California.



## COMPREHENSIVE DIFFERENTIAL RESPONSE SYSTEM

Such a system will require:

- CALL CLASSIFICATION
  - nature of incident
  - time of occurrence.
  
- RESPONSE ALTERNATIVES
  - immediate mobile
  - delayed mobile
  - non-mobile.
  
- TRAINING OF COMMUNICATIONS PERSONNEL
  
- SUPERVISION OF COMMUNICATIONS PERSONNEL
  
- ASSIGNMENT OF RESOURCES TO NON-MOBILE

ACTION GOALS\*

- 1) To increase the efficiency of the management of the calls for service function:
  - assure priority treatment of urgent calls
  - reduce rate of non-critical calls receiving immediate (emergency) response
  - increase rate of non-critical calls receiving delayed response
  - increase rate of non-critical calls handled by non-mobile response
  - increase amount of officer time available for non-calls for service activities.
  
- 2) Maintain or improve citizen satisfaction:
  - provide satisfactory explanations to citizens at call intake on nature of police response
  - satisfactory responses to citizens resolving their calls for service.

---

\*Test Design, Differential Police Response to Calls for Service, NIJ, October 1980.

"EXISTING CALLS FOR SERVICE SYSTEMS FOCUS ON DEFINING INCOMING CITIZEN CALLS IN TERMS OF LEGAL CATEGORIES AS DEFINED BY STATUTE."\*

"IN MANY CASES THESE CATEGORIES PROVIDE LITTLE, IF ANY, INFORMATION ABOUT WHAT ACTUALLY OCCURS ON THE STREET, WHICH OBVIOUSLY SHOULD BE THE BASIS FOR A DISPATCH DECISION."\*

FACTORS TO CONSIDER IN DEVELOPING  
A DIFFERENTIAL RESPONSE MODEL\*

- Has incident already happened or is it about to happen (time consideration)
- Does incident involve persons or property (nature of incident)
- Is call of a service nature (i.e., requires some assistance)?

---

Sumrall, op. cit.

**FIGURE 1  
TYPE OF INCIDENT/TIME OF OCCURRENCE**

RESPONSE ALTERNATIVES:	MAJOR PERSONAL INJURY			MAJOR PROPERTY DAMAGE/LOSS			POTENTIAL PERSONAL INJURY			POTENTIAL PROPERTY DAMAGE/LOSS			MINOR PERSONAL INJURY			MINOR PROPERTY DAMAGE/LOSS			OTHER MINOR CRIME			OTHER MINOR NON-CRIME		
	IN-PROGRESS	PROXIMATE	COLD	IN-PROGRESS	PROXIMATE	COLD	IN-PROGRESS	PROXIMATE	COLD	IN-PROGRESS	PROXIMATE	COLD	IN-PROGRESS	PROXIMATE	COLD	IN-PROGRESS	PROXIMATE	COLD	IN-PROGRESS	PROXIMATE	COLD	IN-PROGRESS	PROXIMATE	COLD
Immediate Mobile Response	X	X	X	X			X	X					X			X								
Delayed Mobile Response																								
• Based on Set Time Period					X	X			X	X				X	X				X	X		X		
• Based on Scheduled Appt.					X	X								X					X					
Non-Mobile Response																								
• Telephone					X	X					X	X				X	X				X		X	X
• Walk-In																								
• Mail-In																								
• Referral																								
• No Response																						X	X	X

EXAMPLES OF INCIDENTS IN CATEGORIES\*

Major Personal Injury  
(Victim injured - requires  
medical attention)

e.g., homicide, aggravated  
assault, serious traffic  
accident, robberies

Major Property Damage/Loss  
(Value over \$500)

e.g., major vehicle theft,  
burglary, robbery, larcenies,  
vandalism, traffic accidents

Potential Personal Injury

e.g., domestic quarrels,  
disorderly groups, mental  
patients, hazardous road  
conditions

Potential Property Damage/Loss

e.g., prowler, suspicious  
persons or vehicles

Minor Personal Injury  
(No medical attention)

e.g., traffic accident,  
fights, purse snatchings

Minor Property Damage/Loss

e.g., burglary, larceny,  
vandalism, accidents

Other Minor Crimes

e.g., malicious mischief,  
public drunk, disorderly  
persons

Other Minor Non-Crimes

e.g., animal calls, citizen  
requests for service,  
escorts

---

NOTE: The type of incident to be placed in each category is a management  
decision.

\*Sumrall, op. cit.

THINGS POLICE AGENCIES SHOULD DO\*

- Provide training for service receptionists and dispatchers
- Provide formal supervision of communications operations
- Draft written guidelines on call classification
- Develop set of standardized questions to facilitate classifications and response decisions
- Develop a standardized explanation for advising citizens of response rationale
- Devise new "call intake" forms
- Develop relationships with potential referral agencies.

---

\*Sumrall, op. cit.

MODEL TO BE TESTED\*

Once established, the model should be tested to determine:

- what questions should be asked to assure proper classification of call
  
- how cumbersome is the call intake procedure which is needed to support the model
  
- what is the best way to convey the information from caller to street officer
  
- how do citizens react to having calls handled in proposed alternative manner.

---

\*Sumrall, op. cit.

### COMMUNITY EDUCATION/READINESS

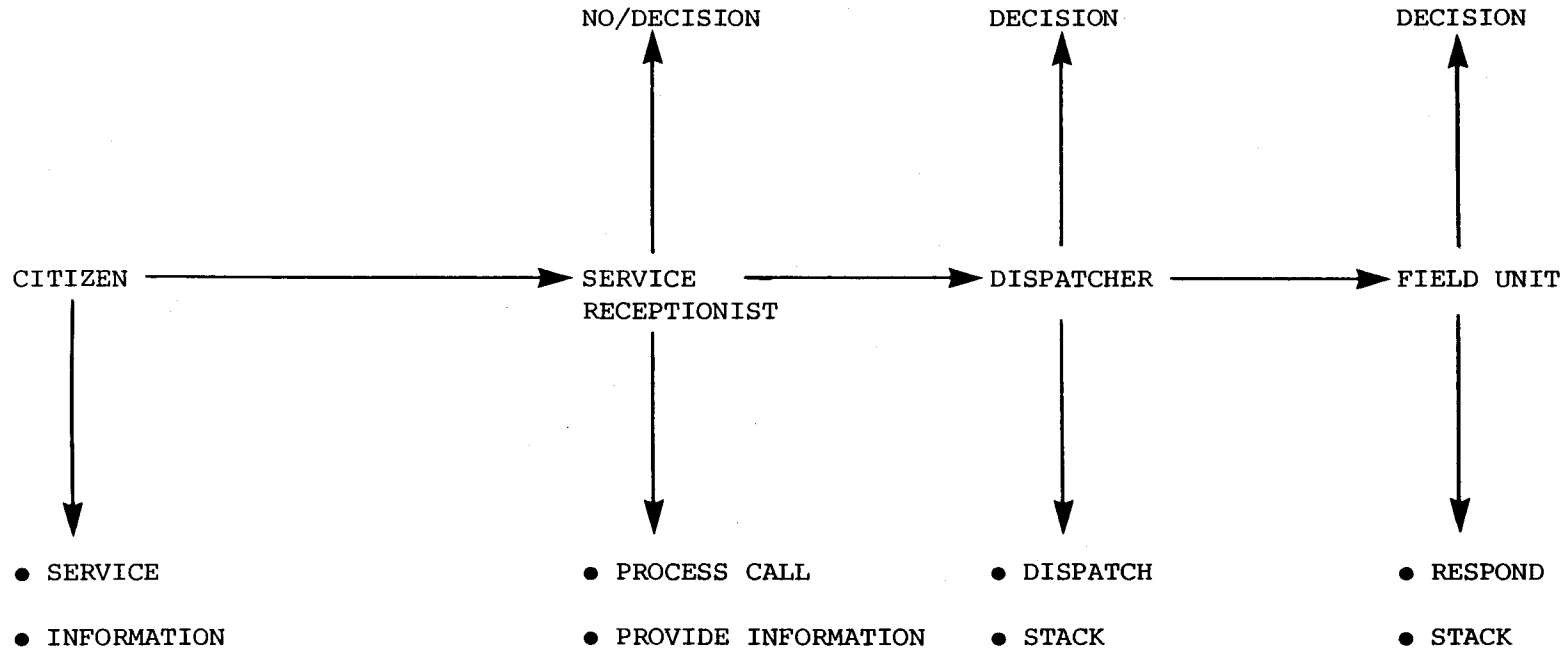
One study "indicated that many citizens who had recently called for police assistance would have accepted a variety of possible alternative responses... This acceptance of other than traditional police response indicates, first, that the public understands the differing nature of various incidents and believes that the public appears more willing to accept alternative police response to calls for services than the police have been willing to admit...This study, in particular, found that citizens would accept many alternative police response if they knew what to expect."\*

---

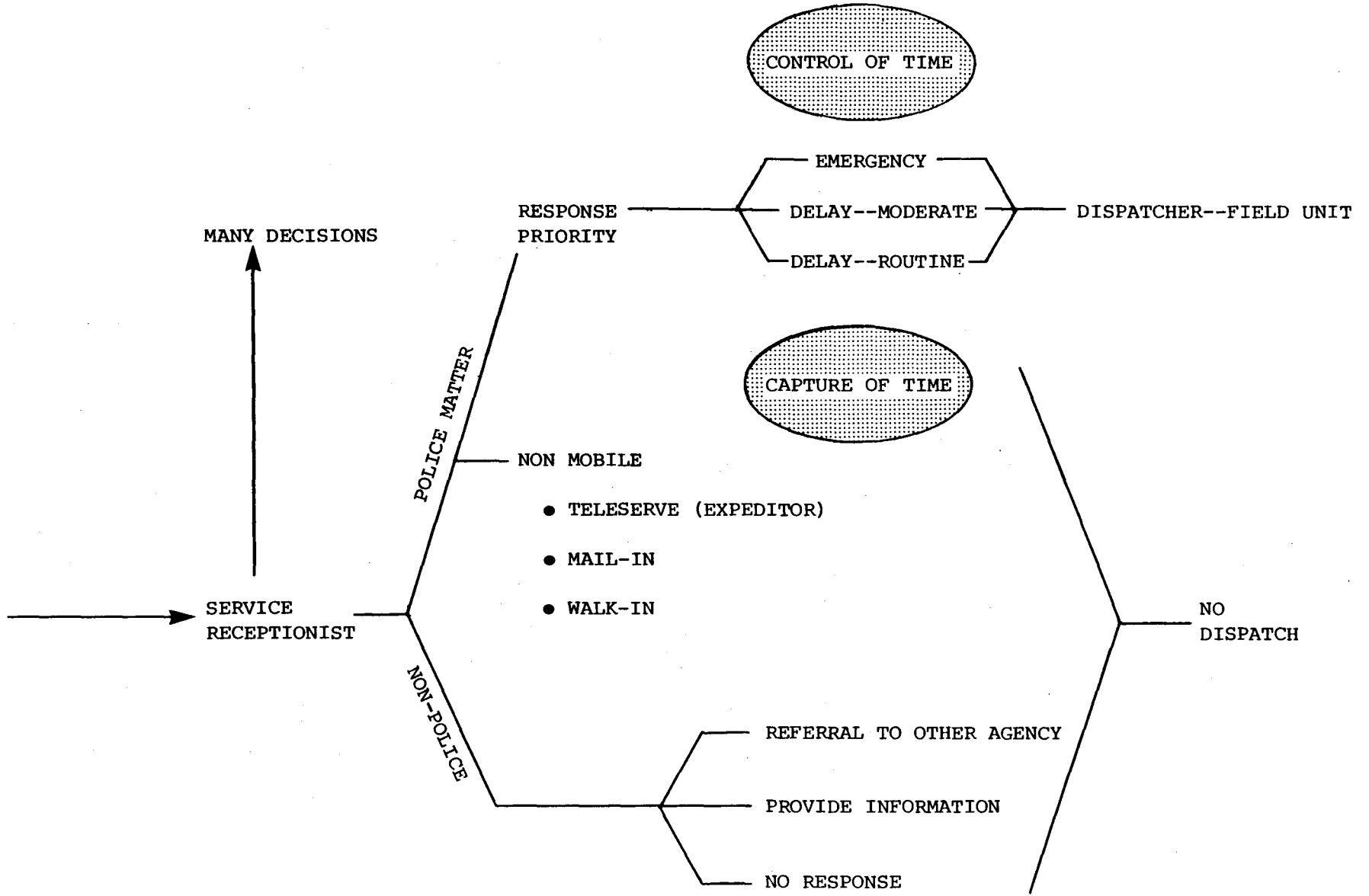
\*Sumrall, op. cit.



TRADITIONAL



DIFFERENTIAL RESPONSE - (ROLE REDEFINITION FOR SERVICE RECEPTIONIST)



ROLES - SERVICE RECEPTIONIST

TRADITIONAL

- Call Processing (Conduit)
- Information Provider
- Public Relations.

DIFFERENTIAL RESPONSE

- Interviewer
- Evaluator
- Communicator
- 
- 
- 
-

LEVEL OF INSTRUCTION/DIRECTION

TO SERVICE RECEPTIONIST\*

- 31% - No training for Service Receptionist
- 25% - No training for Dispatchers

Of those that provided training:

- Service Receptionists received:
  - 80 hours of basic orientation
  - 40 hours of in-service
  - O.J.T.
- Dispatchers received:
  - ranged from 40-110 hours of basic

Significant number of departments had no formal supervision of dispatchers/operators.

Written Instructions

- Only 35% provided written instructions to call intake operators (service receptionists)--a list of the type of calls and how to deal with them
- Only 41% gave operators a standardized set of questions to ask citizens who called for service.

---

\*Sumrall study of 175 police agencies.

### SUMMARY

"Studies have shown that communications personnel cope with their largely unguided discretion by sending out a patrol unit to the majority of calls...This response enables communications personnel to shift the ultimate decision about what action should be taken to the officer dispatched to the scene who presumably will have more information about the particular incident, and in any event is professionally trained to make decisions."\*

Of course, by failing to provide supervision, training, and direction to communications personnel, it is the department managers who have shifted the base of ultimate decision.

---

\*Differential Police Response to Calls for Service, Test Design, NIJ, p. 6.

## TASK ACTIVITY

### BACKGROUND

The agency is currently planning the development of a calls for service management program which will include a full range of alternative responses to calls received from the public. The chief is most anxious that the planning committees carefully consider the impacts the change will have on personnel assigned to the communications division.

He believes that the following observations are both accurate and descriptive of his own agency.

Telephone operators in American police agencies receive and process thousands of calls for service daily. The verbal exchange with operators is the first citizen contact with police in most service requests. This initial contact can significantly affect the demeanor of citizens who may later interact with officers, citizen expectations and evaluations of police, the quality of information received by the police, and officers who respond to the call. In many calls for service, such as provision of information to callers, the police operator handles the request without further action by patrol or other units; the operator provides a service directly to the caller. Their direct, service-providing contact with citizens and their potential impact on citizen demeanor and evaluations indicate that telephone operators are an important part of policing.

Police officials, however, have traditionally held departmental telephone operators in low esteem, viewing them simply as internal support personnel necessary for dispatching patrol units. Many officials do not consider that operators provide services directly to citizens and that operator responses can affect both citizen attitudes and police performance. The neglect of telephone operators is evidenced by minimal operator training and supervision, and the general inattention given by officials to this area of communication. /1/

---

/1/ "Improving Police Services Through Telephone Operations," Eric Scott and Stephen Percy, The Police Chief, July, 1980.

As a beginning point in overcoming some of the deficiencies of the past, he wants an appropriate and adequate training program developed for communication personnel. In particular, he wants to be certain that the service receptionist (call in-take operator) receives the type and degree of training needed to assume the much expanded set of responsibilities which are to be assigned under the new program.

And, because the decision by the service receptionist as to what course of action is appropriate will necessarily be based upon the information elicited from the caller, he believes that a standardized set of questions will prove most helpful to making the correct decision. This decision is a critical one, which can be a matter of life or death. Therefore, management must provide written instructions rather than permit an environment of unguided discretion to exist.

Further, because the new program encourages a delayed (or no) response, he wants the committee to draft a proposed "standardized" explanation for use by the service receptionists in their dealings with the calling public.

By providing appropriate and adequate training and guidelines to communications personnel, the Chief believes the program will be more successful in attaining its objectives.

## TASK INSTRUCTIONS

Individuals: (5 minutes)

Please review the comments in the background section, news story, and the roles of the service receptionist.

Group Activity: (60 minutes)

The Communications Division is located within the Support Services Bureau of the agency. The other major bureaus in the agency are Patrol, Criminal Investigations, and Administrative. The Communications Division is solely under the control of the police agency and handles only police agency duties/and traffic.

There are three service receptionists (call in-take operators) and one radio dispatcher on duty. Their responsibilities are distinct and separate. This agency has a computer assisted dispatch ICAD system.

Committees A&B - Each of these committees will identify the content matter to be included in the basic training course for service receptionists.

Committees B&C - Each of these committees will develop a standardized set of questions to elicit the information needed to classify incoming calls for service and a draft "standardized" explanation concerning a delayed or non-response to a call for service.

The reporter for each group will give a 5 minute presentation of the committees' product to the plenary group.



## GIRL SLAIN AS POLICE GIVE LOW PRIORITY TO PLEA FOR HELP

Miami, Dec. 2 (UPI)--A Miami police complaint officer who classified as routine an emergency call made by a 13-year-old girl minutes before she was raped and stabbed to death was relieved of duty today while investigators reviewed a tape recording of the conversation.

Glenn Metzler, the officer who handled the call on Dade County's 911 emergency number Friday afternoon, was asked to explain his part in the incident to department heads.

There is a "good chance" that Officer Metzler could lose his job, said Clyde Burdick, commander at the Dade Emergency Communications Center.

"She was so matter-of-fact and businesslike," Commander Burdick said of the victim, Rena Pollard. "Metzler should have asked more questions of the girl. He stereotyped the phone call. He forgot his basic training: Every call is different. He just painted the situation with the same brush as all the others."

Rena dialed the emergency number and quietly told Officer Metzler that someone was trying to break into her house. He asked her the standard questions--her name, address, and telephone number--and assured her: "I'll send the police over."

But Officer Metzler, an 18-year police veteran, classified her call as a routine "34," a catch-all number for disturbances in which no one's life is in imminent danger. The police did not arrive until 40 minutes later, when the mother called and reported that her daughter had been raped and stabbed.

The police were looking for a 15-year-old neighborhood boy holding a knife who allegedly broke into the house earlier that day and fled after being confronted by the girl's mother in Rena's bedroom.

Commander Burdick said that the eighth-grade girl was babysitting with her year-old half-sister, Vanessa, and her half-brother, Aubrey, 2, when she dialed the emergency number at 2:48 P.M. Friday, shortly before she was killed.

The tape of the conversation between Officer Metzler and Rena recorded this conversation:

- Q. Are you alone?
- A. Yeah, I'm babysitting.
- Q. How old are you?
- A. I'm 13.
- Q. Who's out there?
- A. Some kid. He's trying to get in.
- Q. Some kid?
- A. He's about 15 to 17.
- Q. He live around there?
- A. Yes.

### Officer Promised Help

After checking the spelling of the girl's name and taking her telephone number, Officer Metzler told her that he would send the police over.

Officer Burdick said calls of "this nature come in all the time." He said "neighborhood kids often terrorize their friends who are babysitting."

"The failing here was Mr. Metzler decided this was the same as 100 other calls," Commander Burdick said. "He could have asked a simple question: 'Why is he trying to break in?' Her answer could have given the officer an idea of what was going on out there."

"Her lucid attitude and the fact that it was a neighborhood boy and it was the middle of the afternoon contributed to Metzler's decision," the commander added.

He explained that complaint officers had a week of classroom training and "at least three months" of on-the-job training with a coach-trainer. Special monitoring devices allow supervisors to list.

"It sounds so callous to say this, but we've learned a painful and valuable lesson," Commander Burdick said.

BASIC TRAINING PROGRAM CONTENT SERVICE RECEPTIONIST

The following types of training are required:

---

NOTE: If time permits the group should develop the types of training needed by the Dispatchers.

WRITTEN INSTRUCTIONS FOR SERVICE RECEPTIONIST

1) Prepare a list of questions which should be asked by the service receptionist:

2) Prepare the "standardized questions" to be asked (include only those which are critical and prioritize the list):

3) Prepare a "standarized" explanation to be used by the service receptionist when a delayed or no response is to be made:

4) If the caller objects to the delay (or no response), what appeal process (if any) should be followed:



SESSION 6

DAY II

---

INVESTIGATIONS MANAGEMENT

---

Many police agencies have implemented a Managing Criminal Investigations process which features initial investigation of reported crime by patrol officers, a case screening mechanism, and management of the continuing investigation. By increasing the utilization of available patrol resources and by assigning "solvable" cases to criminal investigators, the expectation is that better performance in clearing cases will occur.

Those changes, however, have a ripple effect upon the systems and procedures of the organization. As a result, new problems are identified and latent problems rise to the surface for solution.

Among those problems are the impacts created by the significant changes which occur in the "roles" of the uniformed officer and the detective as well as the intercommunications channel between those units of the organization.

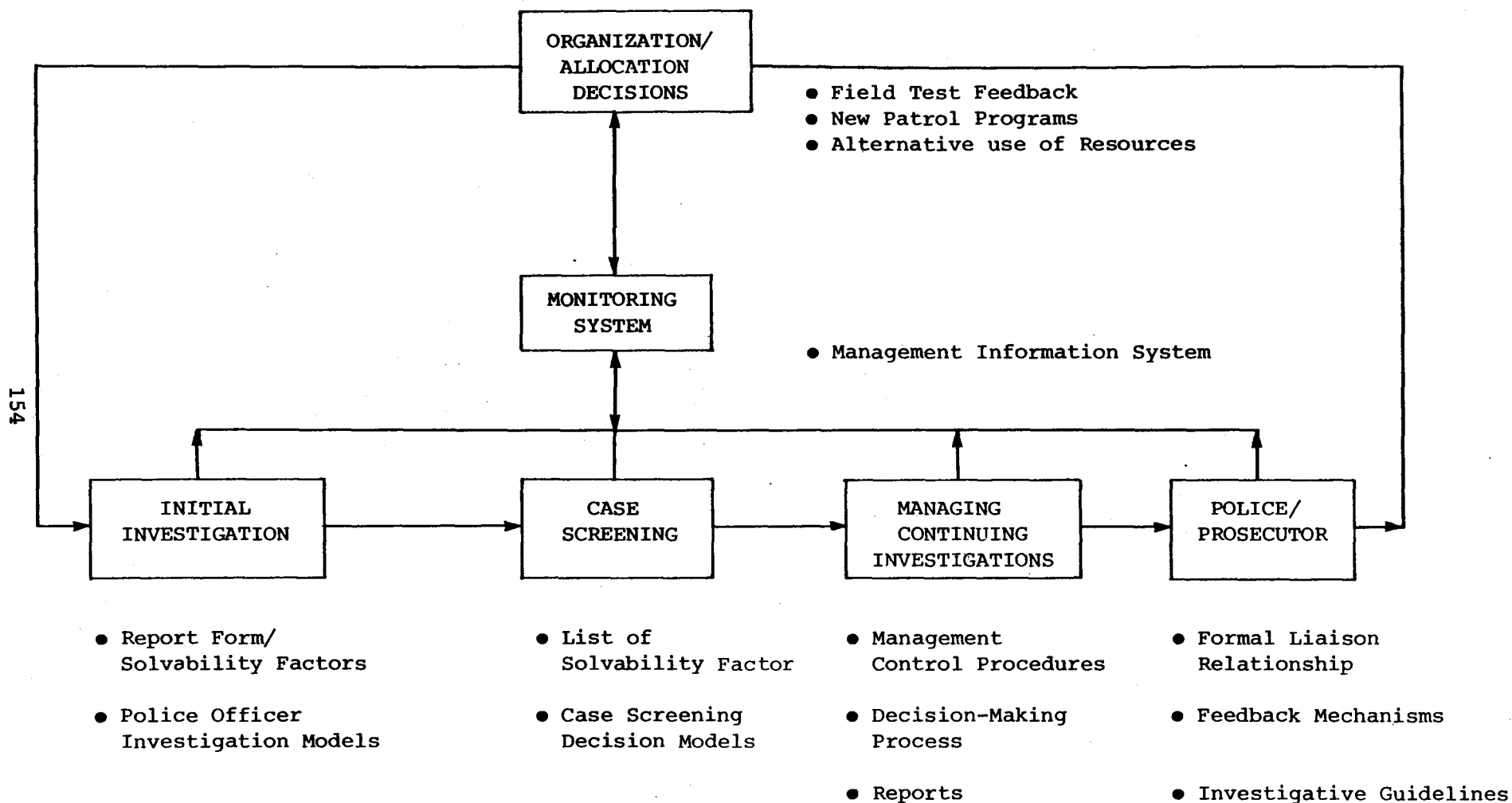
"If the interaction between the units is strained or hostile, the quality of communication will be marginal, and the groups may become competitive and even seek to undermine the other's activity, thus becoming a liability to the organization as a whole." /1/

There are some police managers who believe the above comment describes the state of affairs in their departments. Clearly, aggressive and imaginative steps must be taken to overcome the communications and information sharing problems.

---

/1/ "Intercommunications between Police Patrol and Detective Personnel," Ernest Maldonado and Lyle Knowles, The Police Chief, January, 1981.

SYSTEMS APPROACH TO MCI (MANAGING CRIMINAL INVESTIGATIONS)





LIST OF MCI FIELD TEST AGENCIES

Corpus Christi Police Department  
P.O. Box 9016  
Corpus Christi, TX 78408

Albany Police Department  
Public Safety Building  
Morton Avenue  
Albany, NY 12202

Indianapolis Police Department  
Indianapolis, IN 46204

Baltimore County Police Department  
400 Kenilworth Drive  
Towson, MD 21204

Jefferson Parish Sheriff's Department  
3300 Metairie Road  
Metairie, LA 70001

South Bend Police Department  
701 West Temple Street  
South Bend, IN 46621

Montgomery County Police Department  
2350 Research Blvd.  
Rockville, MD 20850

Anaheim Police Department  
P.O. Box 3369  
Anaheim, CA 92803

Hartford Police Department  
155 Morgan Street  
Hartford, CT 06103

Broward County Sheriff's Department  
P.O. Box 9507  
Ft. Lauderdale, FL 33310

Atlanta Police Department  
175 Decatur Street, S.E.  
Atlanta, GA 30303

Peoria Police Department  
542 S.W. Adams  
Peoria, IL 61602

Ft. Wayne City Police  
Ft. Wayne, IN 46802

Knoxville City Police  
800 E. Church Avenue  
Knoxville, TN 37915

Indiana State Police  
100 N. Senate Avenue  
Indianapolis, IN 46204

Rochester Police Department  
Civic Center Plaza  
Public Safety Building  
Rochester, NY 14614

Birmingham Police Department  
710 North 20th Street  
Birmingham, AL 35203

St. Paul Police Department  
101 East 10th Street  
St. Paul, MN 55101

Santa Monica Police Department  
1685 Main Street  
Santa Monica, CA 90401

## MATRIX OF MODEL ROLES OF PATROL OFFICERS IN CONDUCTING CRIMINAL INVESTIGATIONS

(Each Model Builds Upon and Includes Activities Outlined in Preceding Model)

MODELS	PATROL RESPONSIBILITY	CASE REFERRAL PROCEDURE	CONSEQUENCES	MANAGEMENT POLICIES
<p>98%</p> <p><b>A. TYPICAL</b></p>	<ul style="list-style-type: none"> <li>• Prepare and complete basic report form.</li> </ul>	<ul style="list-style-type: none"> <li>• Refer all cases, including preliminary investigations, to detectives.</li> </ul>	<ul style="list-style-type: none"> <li>• Redundancy</li> <li>• Insufficient data collected</li> <li>• Low level of productivity</li> <li>• Low morale in patrol</li> </ul>	
<p>67%</p> <p><b>B. BETTER INFORMATION COLLECTION</b></p>	<ul style="list-style-type: none"> <li>• Conduct a complete initial investigation and fill out revised initial investigation report for selected categories of crime.</li> </ul>	<ul style="list-style-type: none"> <li>• Refer the reports of the initial investigations for selected categories of crime to detectives for follow-up investigation. (In these types of cases, detectives do not conduct preliminary investigations.)</li> </ul>	<ul style="list-style-type: none"> <li>• Elimination of redundancy.</li> <li>• More complete data collected.</li> <li>• Productivity increased.</li> <li>• Improved case load for detectives.</li> <li>• Better morale.</li> </ul>	<ul style="list-style-type: none"> <li>• Define crime categories to be investigated by patrol.</li> <li>• Define exceptions.</li> <li>• Design new initial investigation form.</li> <li>• Train patrol and detectives in use of new forms.</li> <li>• Train supervisors.</li> </ul>
<p>72%</p> <p><b>C. PATROL REC- COMMENDATION</b></p>	<ul style="list-style-type: none"> <li>• Conduct initial investigation and complete detailed investigation report.</li> <li>• Decide whether to call for forensic or evidence specialists.</li> <li>• Recommend closing or continuing case based on presence or absence of solvability factors.</li> </ul>	<ul style="list-style-type: none"> <li>• Supervisor reviews patrol recommendation.</li> <li>• Case screening criteria are used to close cases when initial investigation reveals lack of solvability factors.</li> <li style="text-align: center;">OR</li> <li>• Case screening criteria are used to refer cases for follow-up investigation by detectives.</li> </ul>	<ul style="list-style-type: none"> <li>• Recommendation and screening, after initial investigation by patrol, focuses resources only on probably solvable cases.</li> <li>• Increases productivity.</li> <li>• Promotes interdependency between detectives and patrol.</li> </ul>	<ul style="list-style-type: none"> <li>• Establish policy and procedures for case screening.</li> <li>• Establish policy and procedures detailing the role of patrol and follow-up role of detectives.</li> <li>• Provide additional training for patrol and supervisors.</li> </ul>

## MATRIX OF MODEL ROLES OF PATROL OFFICERS IN CONDUCTING CRIMINAL INVESTIGATIONS (Cont'd.)

(Each Model Builds Upon and Includes Activities Outlined in Preceding Model)

MODELS	PATROL RESPONSIBILITY	CASE REFERRAL PROCEDURE	CONSEQUENCES	MANAGEMENT POLICIES
<b>D. LIMITED INVESTIGATIVE ROLE OF PATROL</b>	<ul style="list-style-type: none"> <li>• Investigate crimes in selected categories beyond initial investigation phase.</li> <li>• Patrol continues and completes investigation of certain categories of crime which do not require the service of detective specialists.</li> </ul>	<ul style="list-style-type: none"> <li>• Crime cases in selected categories are not referred.</li> <li>• Other cases are referred to detectives for follow-up investigation.</li> </ul>	<ul style="list-style-type: none"> <li>• Reduces detective workload.</li> <li>• Permits detective to increase specialty or to adopt new roles.</li> </ul>	<ul style="list-style-type: none"> <li>• Establish policy and procedures delineating investigative roles of patrol in selected categories of criminal investigation and of detectives in other categories of crime.</li> <li>• Provide additional training for patrol.</li> </ul>
<b>E. ENHANCED INVESTIGATIVE ROLE OF PATROL</b>	<ul style="list-style-type: none"> <li>• Investigate crimes in increased number of categories.</li> <li>• Closure can occur on scene after initial investigation.</li> </ul>	<ul style="list-style-type: none"> <li>• Refer only those cases which require high level of skill or which are of an exceptional nature.</li> </ul>	<ul style="list-style-type: none"> <li>• Maximal use of detectives by assigning them to follow up only those cases with high probability of solution and/or those which require specialized skills.</li> <li>• Maximal use of patrol resources in all investigations.</li> <li>• Improved relationships between public and police.</li> <li>• New roles and opportunities available for detectives.</li> </ul>	<ul style="list-style-type: none"> <li>• Establish policies detailing the differing authority and relationships between patrol and detectives.</li> <li>• Adopt case screening system which incorporates early, on-scene, case-closure criteria.</li> </ul>

## CASE SCREENING

### DEFINITION:

Case screening is more than case review, it is a formal mechanism for making a management decision on whether or not to continue an investigation.

### PROCESS/OUTCOME:

Case screening should result in a supervisory review, verification, and approval of the continuation or non-continuation of an investigation.

### BENEFIT:

Screening will lead to a reduction in the number of unproductive cases that are followed-up, with a concomitant savings of effort and organizational energy.

Several examples of case screening models in use are presented for consideration.

REVISED COMPLAINT REPORT

To assist the patrol officer in acquiring the needed information to make a decision as to whether a crime complaint will receive continued investigation, some agencies have incorporated the solvability factors into the basic complaint report.

A copy of the Rochester, N.Y. Police Department crime complaint report is shown as an example.

PAGE OF  
rochester police department crime investigation report

1. OFFENSE OR CHARGE (INCLUDE DEGREE)				2. CLASSIFICATION OF OFFENSE (SUPERVISORY REVIEW)				3. C. R. NO. (ORIGINAL ONLY)					
4. TIME OF OCCURRENCE		M...D...Y...T...		5. WHEN AND WHERE REPORTED		LM...D...Y...T...		6. LOCATION OF OFFENSE (HOUSE NO. STREET NAME)					
7. VICTIMS NAME (LAST, FIRST, MIDDLE) OR FIRM NAME IF BUSINESS				8. VICTIMS ADDRESS (HOUSE NUMBER, STREET NAME)				9. RESIDENCE PHONE DAY NIGHT					
10. VICTIMS PLACE OF EMPLOY. OR SCHOOL NAME				11. BUSINESS PHONE DAY NIGHT		12. SEX / RACE / AGE		13. PERSON REPORTING - SIGNATURE - DATE					
14. IF ARREST IS MADE; NAME ARRESTEES IN NARRATIVE. PLACE THE NUMBER OF ARRESTEES IN BOX A. IF NONE PLACE AN X IN BOX A													
15. INDICATE WITH PROPER CODE IN BOXES PROVIDED PERSONS RELATIONSHIP TO INVESTIGATION W-1 WITNESS #1, W-2 WITNESS #2, R-REPORTING PERSON, P/K PERSON WITH KNOWLEDGE INCLUDING REPORTING PERSONS NAME IF DIFFERENT FROM VICTIMS IF CITIZEN INFORMATION FORM R.P.D. 1148 IS LEFT WITH ANY OF THESE PERSONS INDICATE BY CIRCILING PERSONS DESIGNATED													
ADDRESS CHECKED		APT. #		PERSON INTERVIEWED				INFORMATION PROVIDED - USE NARRATIVE IF NEEDED					
ADDRESS CHECKED				PERSON INTERVIEWED									
ADDRESS CHECKED				PERSON INTERVIEWED									
ADDRESS CHECKED				PERSON INTERVIEWED									
ADDRESS CHECKED				PERSON INTERVIEWED									
ADDRESS CHECKED				PERSON INTERVIEWED									
16. WAS THERE A WITNESS TO THE CRIME? IF NO PLACE AN X IN BOX B													
17. CAN A SUSPECT BE NAMED? IF NO PLACE AN X IN BOX C													
SUSPECT #1 (NAME INCLUDE ANY A-K-A INFO)				SUSPECT #2 (NAME INCLUDE ANY A-K-A INFO)				SUSPECT #3 (NAME INCLUDE ANY A-K-A INFO)					
18. CAN A SUSPECT BE LOCATED? IF NO PLACE AN X IN BOX D													
SUSPECT #1 MAY BE LOCATED AT				SUSPECT #2 MAY BE LOCATED AT				SUSPECT #3 MAY BE LOCATED AT					
19. CAN A SUSPECT BE DESCRIBED? IF NO PLACE AN X IN BOX E													
SUSPECT #1 DESCRIPTION				SUSPECT #2 DESCRIPTION				SUSPECT #3 DESCRIPTION					
DESCRIBE EACH SUSPECT - USING AGE, SEX, RACE, HEIGHT, WEIGHT, ANY IDENTIFYING SCARS, MARKS AND CLOTHING DESCRIPTION													
20. CAN A SUSPECT BE IDENTIFIED? IF NO PLACE AN X IN BOX F													
21. IF SUSPECT INFORMATION HAS BEEN GIVEN OUT VIA RADIO COMM. PLACE AN X IN BOX 21.				USING APPROPRIATE CODE IN THE BOXES PROVIDED - INDICATE WHO CAN IDENTIFY SUSPECT									
22. FILL IN LICENSE PLATE INFORMATION IF IT IS AVAILABLE.		MODEL MAKE		YEAR		TYPE		COLOR TOP/BOTTOM		IDENTIFYING CHARACTERISTICS			
23. CAN THE SUSPECT VEHICLE BE IDENTIFIED? IF NO PLACE AN X IN BOX G													
24. IF SUSPECT VEHICLE INFORMATION WAS GIVEN VIA RADIO COMMUNICATION PLACE AN X IN BOX 24													
25. IF THE STOLEN PROPERTY IS TRACEABLE INDICATE IN THE SPACE PROVIDED BELOW IF NO PLACE AN X IN BOX H													
26. DESCRIBE PROPERTY TAKEN/DAMAGED				27. WHERE PROPERTY WAS REMOVED FROM				28. PROPERTY IDENTIFICATION INFORMATION				29. PROP. VAL.	
30. WHERE HOSPITALIZED				31. ATTENDING PHYSICIAN		32. DATE, TIME PRONOUNCED		33. PRONOUNCING PHYSICIAN - WHERE		34. MEDICAL EXAMINER NOTIFIED NAME		TOTAL VALUE	
35. IS THERE A SIGNIFICANT M.O. PRESENT? IF YES DESCRIBE IN NARRATIVE IF NO PLACE AN X IN BOX I													
36. PROPERTY INV. NO.		37. NATURE OF INJURY		38. POINT OF CRIME				39. TYPE OF WEAPON, INSTRUMENT OR FORCE USED					
40. IS THERE SIGNIFICANT PHYSICAL EVIDENCE PRESENT? IF YES DESCRIBE IN NARRATIVE IF NO PLACE AN X IN BOX J													
41. TECH WORK DONE BY				HAS AN EVIDENCE TECHNICIAN BEEN CALLED?				IF NO PLACE AN X IN BOX K					
42. IS THERE A SIGNIFICANT REASON TO BELIEVE THAT THE CRIME MAY BE SOLVED WITH A REASONABLE AMOUNT OF INVESTIGATIVE EFFORT? IF NO PLACE AN X IN BOX L													
43. WAS THERE A DEFINITE LIMITED OPPORTUNITY FOR ANYONE EXCEPT THE SUSPECT TO COMMIT THE CRIME? IF NO PLACE AN X IN BOX M													
44. NARRATIVE: SUMMARIZE DETAILS OF CRIME INCLUDING A DESCRIPTION OF EVENTS; ANY ADDITIONAL INFORMATION WHICH IS AN EXTENSION OF ANY OF THE ABOVE BOXES. NAMES OF ARRESTED; NAMES OF OTHER OFFICERS OR UNITS ASSISTING.													
ASSIST													
ASSIST													
ASSIST													
ASSIST													
ASSIST													
ASSIST													
45. IS ONE OR MORE OF THE SOLVABILITY FACTORS PRESENT IN THIS REPORT? <input type="checkbox"/> YES (FIELD FOLLOWUP) <input type="checkbox"/> NO (OFFICE REVIEW)				46. REPORTING OFFICERS				ASSIGNED BEAT #				51.	
FIELD SUPERVISORS REVIEW				49. <input type="checkbox"/> OPEN <input type="checkbox"/> ARREST <input type="checkbox"/> NO ARREST				50. STATUS FOR REVIEW CENTER					
47. <input type="checkbox"/> COMPLETE <input type="checkbox"/> CONCUR RECOMMEND								<input type="checkbox"/> UNFOUNDED <input type="checkbox"/> NO PROSECUTION					
C. I. D. SECTION COMMAND REVIEW				48. <input type="checkbox"/> CONCUR RECOMMEND REVIEWER				<input type="checkbox"/> WARRANT ADVISED					

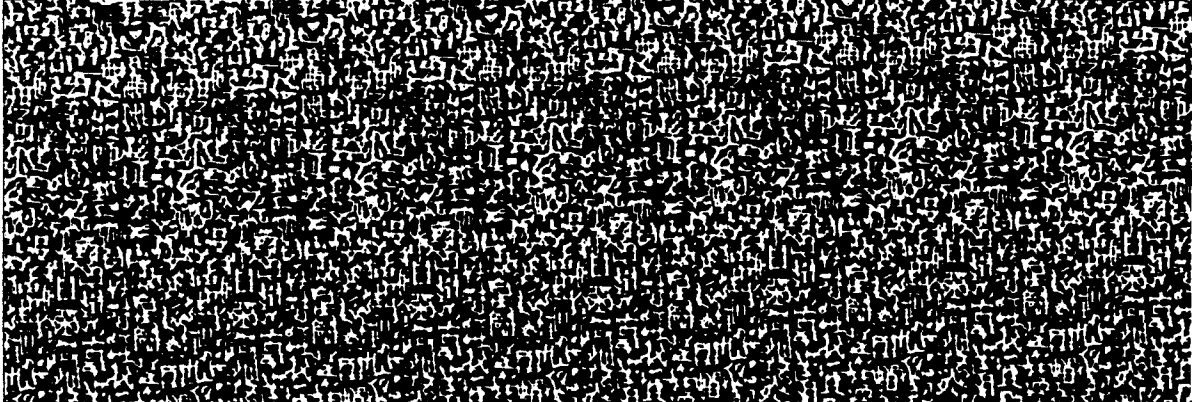
PAGE OF  
rochester police department crime investigation report

1. OFFENSE OR CHARGE (INCLUDE DEGREE) 2. CLASSIFICATION OF OFFENSE (SUPERVISORY REVIEW) 3. C.R. NO. (ORIGINAL ONLY)

4. TIME OF OCCURRENCE M...D...Y...T... 5. WHEN AND WHERE REPORTED M...D...Y...T... 6. LOCATION OF OFFENSE (HOUSE NO. STREET NAME)

7. VICTIMS NAME (LAST, FIRST, MIDDLE) OR FIRM NAME IF BUSINESS 8. VICTIMS ADDRESS (HOUSE NUMBER, STREET NAME)

10. VICTIMS PLACE OF EMPLOY. OR SCHOOL NAME 11. BUSINESS PHONE DAY NIGHT 12. SEX/RACE/AGE VICTIMS 13. PERSON REPORTING - SIGNATURE - DATE



19. CAN A SUSPECT BE DESCRIBED? IF NO PLACE AN X IN BOX E

SUSPECT #1 DESCRIPTION SUSPECT #2 DESCRIPTION SUSPECT #3 DESCRIPTION  
DESCRIBE EACH SUSPECT - USING AGE, SEX, RACE, HEIGHT, WEIGHT, ANY IDENTIFYING SCARS, MARKS AND CLOTHING DESCRIPTION

20. CAN A SUSPECT BE IDENTIFIED? IF NO PLACE AN X IN BOX F

IF SUSPECT INFORMATION HAS BEEN GIVEN OUT VIA RADIO COMM. PLACE AN X IN BOX 21. USING APPROPRIATE CODE IN THE BOXES PROVIDED - INDICATE WHO CAN IDENTIFY SUSPECT

22. FILL IN LICENSE PLATE INFORMATION IF IT IS AVAILABLE. MODEL/MAKE YEAR TYPE COLOR TOP/BOTTOM IDENTIFYING CHARACTERISTICS

23. CAN THE SUSPECT VEHICLE BE IDENTIFIED? IF NO PLACE AN X IN BOX G

24. IF SUSPECT VEHICLE INFORMATION WAS GIVEN VIA RADIO COMMUNICATION PLACE AN X IN BOX 24

25. IF THE STOLEN PROPERTY IS TRACEABLE INDICATE IN THE SPACE PROVIDED BELOW IF NO PLACE AN X IN BOX H

26. DESCRIBE PROPERTY TAKEN/DAMAGED 27. WHERE PROPERTY WAS REMOVED FROM 28. PROPERTY IDENTIFICATION INFORMATION 29. PROP. VAL.

30. WHERE HOSPITALIZED 31. ATTENDING PHYSICIAN 32. DATE/TIME PRONOUNCED 33. PRONOUNCING PHYSICIAN - WHERE 34. MEDICAL EXAMINER NOTIFIED NAME TOTAL VALUE

35. IS THERE A SIGNIFICANT M. O. PRESENT? IF YES DESCRIBE IN NARRATIVE IF NO PLACE AN X IN BOX I

36. PROPERTY INV. NO. 37. NATURE OF INJURY 38. POINT OF CRIME 39. TYPE OF WEAPON, INSTRUMENT OR FORCE USED

40. IS THERE SIGNIFICANT PHYSICAL EVIDENCE PRESENT? IF YES DESCRIBE IN NARRATIVE IF NO PLACE AN X IN BOX J

41. TECH WORK DONE BY HAS AN EVIDENCE TECHNICIAN BEEN CALLED? IS EVIDENCE TECHNICIAN REPORT POSITIVE? IF NO PLACE AN X IN BOX K PLACE AN X IN BOX K

42. IS THERE A SIGNIFICANT REASON TO BELIEVE THAT THE CRIME MAY BE SOLVED WITH A REASONABLE AMOUNT OF INVESTIGATIVE EFFORT? IF NO PLACE AN X IN BOX L

43. WAS THERE A DEFINITE LIMITED OPPORTUNITY FOR ANYONE EXCEPT THE SUSPECT TO COMMIT THE CRIME? IF NO PLACE AN X IN BOX M

44. NARRATIVE: SUMMARIZE DETAILS OF CRIME INCLUDING A DESCRIPTION OF EVENTS; ANY ADDITIONAL INFORMATION WHICH IS AN EXTENSION OF ANY OF THE ABOVE BOXES. NAMES OF ARRESTED; NAMES OF OTHER OFFICERS OR UNITS ASSISTING.

ASSIST  
ASSIST  
ASSIST  
ASSIST  
ASSIST

46. REPORTING OFFICERS ASSIGNED BEAT # 51.

49. OPEN ARREST NO ARREST 50. STATUS FOR REVIEW CENTER UNFOUNDED NO PROSECUTION WARRANT ADVISED

SCREENING MODEL

STANFORD RESEARCH INSTITUTE

OAKLAND POLICE DEPARTMENT

Burglary Case Disposition Decision Rule

<u>INFORMATION ELEMENT</u>	<u>WEIGHTING FACTOR</u>
Estimated time lapse:	
Less than 1 hour . . . . .	5
1-12 hours . . . . .	1
12-24 hours . . . . .	0.3
More than 24 hours . . . . .	0
Witness' report of offense . . . . .	7
On-view report of offense . . . . .	1
Usable fingerprints . . . . .	7
Suspect information developed	
Description or name . . . . .	9
Vehicle description . . . . .	0.1
Other . . . . .	<u>0</u>
 TOTAL SCORE . . . . .	

Rule: If the weighted value of some or all of these factors are found to exist in the crime report and if these factors add to 10 or more in value, then continue the investigation.

If the total weighted value of the factors is less than 10, then discontinue the investigation.



SCREENING MODEL

MULTNOMAH COUNTY POLICE DEPARTMENT

ORIGINAL INVESTIGATING OFFICERS PRIORITIES

1. GRAVITY OF OFFENSE

- a. Felony = 4 points
- b. Misdemeanor = 3 points
- c. Victimless crime = 2 points
- d. Violations/status offense = 1 point

2. PROBABILITY OF SOLUTION

Whether there are:

- a. Suspects
- b. Witnesses
- c. Physical evidence
- d. Undeveloped leads

(Score one point for each factor present.)

3. URGENCY FOR ACTION

- a. Danger to others = 4 points
- b. Immediate action required = 3 points
- c. Impact on victim = 2 points
- d. Pattern/frequency of crime = 1 point

SUPERVISORY PRIORITY

4. SUPERVISORY JUDGMENT

- a. Department policy
- b. Totality of circumstances
- c. Investigator's case load
- d. Personal background and experience

(Total possible: 4 points)

Scoring and Application of Priority System

<u>Priority</u>	<u>Points</u>	<u>Report Investigative Process Within:</u>
A	16-22	1-5 days
B	10-16	15 days
C	4-10	30 days
D	Less than 4	Suspend (form letter to victim):

SCREENING MODEL

ROCHESTER POLICE DEPARTMENT

The new form developed by Rochester asks the field officer to answer the following solvability questions:

1. Was there a witness to the crime?
2. Can a suspect be named?
3. Can a suspect be located?
4. Can a suspect be described?
5. Can a suspect be identified?
6. Can the suspect vehicle be identified?
7. Is the stolen property traceable?
8. Is there a significant M.O. present?
9. Is there significant physical evidence present?
10. Has an evidence technician been called? Is the evidence technician's report positive?
11. Is there a significant reason to believe that the crime may be solved with a reasonable amount of investigative effort?
12. Was there a definite limited opportunity for anyone except the suspect to commit the crime?

### SOLVABILITY FACTORS

- Witness to the crime
- Suspect named
- Suspect known
- Suspect described
- Suspect identified
- Suspect previously seen
- Vehicle identified
- Traceable property
- Significant M.O.
- Limited opportunity
- Significant evidence
- Time lapse after occurrence
- Supervisory judgments and other considerations.

### MCI ORGANIZATIONAL IMPACTS

- Allocation/Deployment Policies
- Patrol Time Utilization
- Investigation Policies/Procedures
- Criminal Case Supervision
- Supervisor's Responsibilities
- Training
- Forms Design
- Records
- Data-Processing
- Equipment
- Citizen's Perceptions
- Role Definition Changes
- Internal Communication Network
- Etc.

Implementation of the Initial Investigation, Case Screening, and Managing the Continuing Investigation components have a systemic impact throughout the organization. As one agency reported:

"Probably one of the most significant impacts of implementing the program has been that of bringing latent department procedural deficiencies to the surface. This has been brought about because of the need to look at most of the department's procedural operations very closely in an effort to assess the need for change or modification in implementing the MCI concepts."

## PROBLEMS - MCI FIELD TEST AGENCIES

### RESOURCES

- Lack of sufficient patrol time
- Reassignment of some detective personnel
- Use of "volunteers" in pilot program
- Assignment of "investigative coach."

### OPERATIONS

- Rumors - negative views
- Adequacy of forms design
- Excessive number of cases referred for continuance
- Training required
- Role re-definition
- Internal communications altered
- Revision of data formats
- Organizational structure considerations
- New numbering system for incident reports
- Supervisors not monitoring investigations
- Insufficient collaboration/coordination between uniformed officers and detectives
- Better uniformed officer understanding of initial investigation
- Concept not "marketed" correctly
- Field officers recognizing solvability factors
- Lack of case "tracking and monitoring" process
- Detectives workload increased.

### ATTITUDES

- Uniformed officer's resentment regarding increased workload
- Lack of executive/manager commitment
- Resistance to major change
- Authority being infringed upon
- Lack of supervisory interest
- Detective resentment
- Citizen reaction--no detective visit.

## STEREOTYPES OF INVESTIGATORS ROLE

### MEDIA IMAGE

"A clever, imaginative, perseverant, streetwise cop who consorts with glamorous women and duels with crafty criminals. He and his partners roam the entire city for days or weeks trying to break a single case, which is ultimately solved by means of the investigator's deductive powers." /1/

### HISTORICAL IMAGE

- The handler of delicate problems (e.g., vice, gambling, prostitution, "speakeasies")

NOTE: This role resulted in gaining the favor of business leaders and politicians; the acquisition of political "clout," and the assemblage of a stable of informants.

- Dispenser of street corner justice
- Third degree interrogation methods.

---

/1/ Criminal Investigations Process, Rand Corporation.

## TYPICAL ACTUAL ROLES

### UNIFORMED OFFICER

- Conducts initial investigation
- Secures crime scene
- Searches for evidence
- Summons evidence technician
- Interviews witnesses
- Assists victim
- Counsels victim--regarding protective measures
- Prepares complete report.

### CRIMINAL INVESTIGATOR

- Conducts continuing investigation
- Reviews reports
- Documents files
- Completes paperwork
- Attends meetings/line-ups
- Interviews witnesses
- Searches crime scene
- Processes prisoners
- Attends court.

FACTORS AFFECTING UNIFORMED OFFICERS  
AND CRIMINAL INVESTIGATORS RELATIONSHIPS

UNIFORMED OFFICER VIEW OF DETECTIVES

- Higher status in organization
- Increased pay for less work
- High degree of autonomy
- Freedom from supervision
- No dress code/uniform requirements
- Assignment based on "hook"
- Less responsibility than uniformed officer
- Do not know what's happening on street
- Establish their own workload
- Flexibility in work hours
- Aloof from patrol officer
- More permissive supervision
- Operate independently
- More esprit de corps
- Work more interesting and challenging
- Etc.

DETECTIVE VIEW OF UNIFORMED OFFICER

- Patrol officer lacks investigative skills
- Disinterested in investigator's requirement
- Poor collection of needed information
- Not smart enough to be detective
- Performs Mickey Mouse duties.



## STEPS TO IMPROVE RELATIONSHIPS

### ORGANIZATIONAL DESIGN

- Decentralize detective bureau
- Place detectives in patrol bureau
- Reduce detective strength/increase patrol
- Establish better information systems.

### SUPERVISORY PRACTICES

- Assign knowledgeable (investigator) supervisors
- Establish case monitoring system
- Increase on-scene presence
- Recognize good work.

### PERSONNEL POLICIES

- Eliminate pay differentials
- Rotate detective/patrol assignments
- Establish career paths for patrol
- Revamp reward system
- Tie incentive pay to results
- Select detectives on merit principles
- Install equitable evaluation system
- 
- 
-

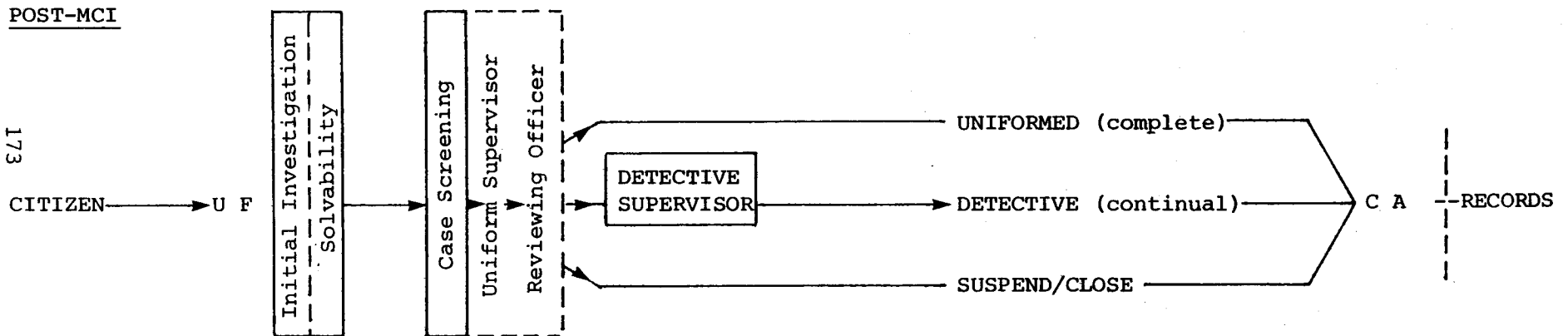
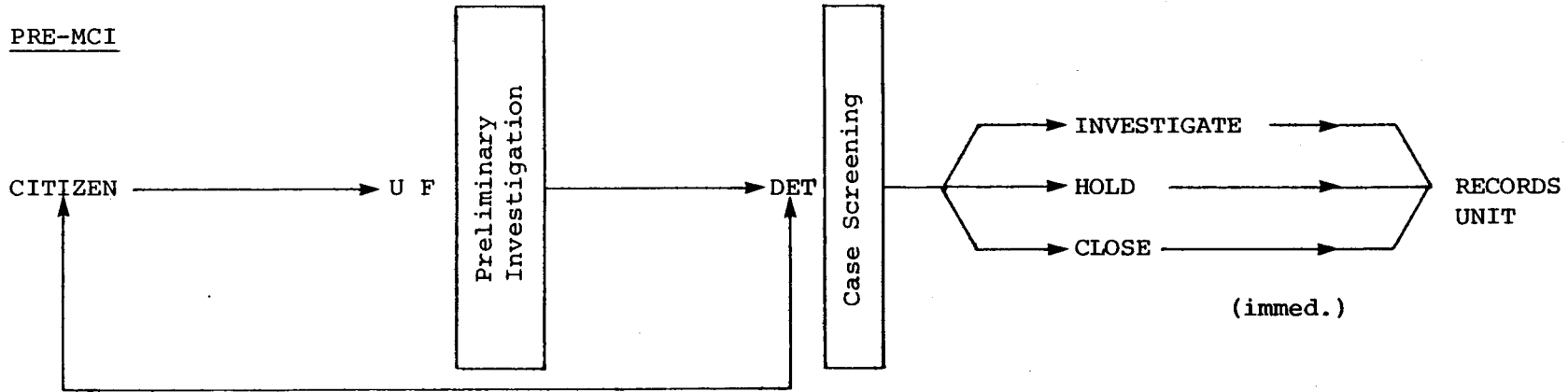
### TRAINING

- Uniformed officers in investigative techniques
- Interviewing/interrogation skills
- Report preparation
- Evidence collection
- Communication skills
- 
- 

### ASSIGNMENT OF WORK

- Assign more crimes for investigation to patrol
- Assign "investigative coaches"
- Require detectives to street patrol
- 
- 
-

COMMUNICATION CHANNELS - CHANGES



CHANGE IN INTERNAL COMMUNICATIONS PROCESS - DETECTIVE CONTACTS

PRE-MCI

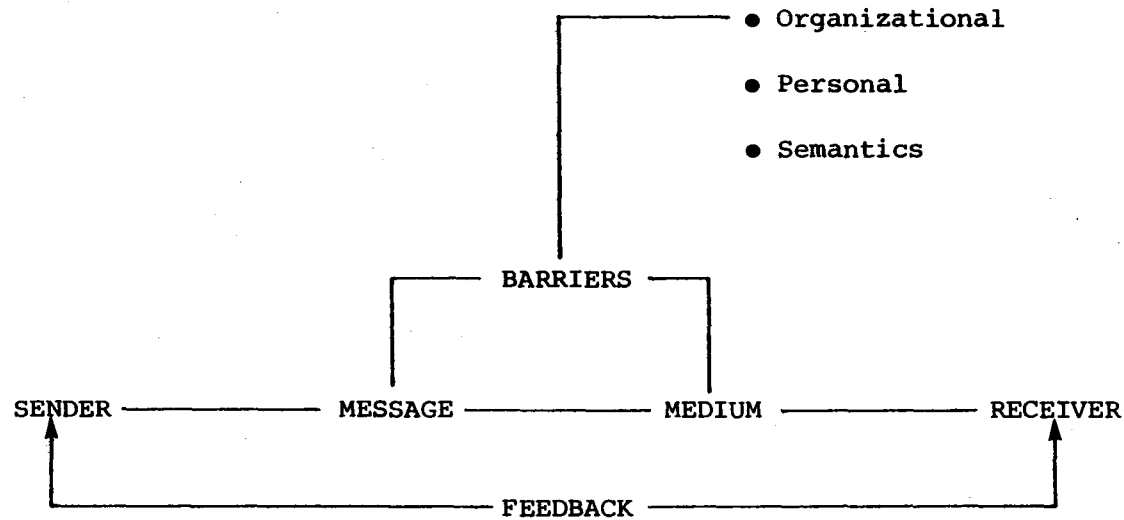
- Citizen
- Informants
- Law Enforcement Sources
- Possible Peer Exchange

POST-MCI

- Citizen
- Reporting Officer
- Uniformed Supervisor
- Reviewing Officer
- Detective Superior
- Detective Peers
- Uniformed Investigator
- Crimes Analyst
- Informants
- Law Enforcement Sources
- Prosecutor

DEFINITION: COMMUNICATION IS THE SENDING, RECEIVING, SHARING, AND UNDERSTANDING OF INFORMATION

COMMUNICATIONS PROCESS:



- Communication is a three dimensional process - up, down, across
- "Communication is the act of the recipient"
- Communication has occurred when there is an action or reaction.

## SOME BARRIERS TO EFFECTIVE COMMUNICATIONS

### ORGANIZATIONAL

- Organization Design
- Work Fragmentation
- Work Schedule Difference
- 
- 
- 

### PERSONAL

- Social Group Differences
- Attitudes
- Values and Beliefs
- Work Groups
- Peer Pressure
- 

### SEMANTICS

- Meaning of Words
- Cultural Differences
- Education and Work Experience
- Language Differences
-

## IMPROVING COMMUNICATIONS IN ORGANIZATIONS

### MANAGERS MUST HAVE:

- Knowledge of how communications process works
- An understanding of the causes of communications difficulties (organizations and people)
- An understanding of the critical factors affecting communications in organizations
  - choice of medium
  - timing
  - direction of the communications
  - effectiveness of the feedback
  - relationship between sender and receiver
- An understanding of how his individual behavior is perceived by the receiver
- An awareness of the difficulties of really listening and skill in creating conditions where listening can improve.

## SUMMARY

The introduction of a more comprehensive initial investigation by uniformed officers and a mechanism to screen out "unsolvable" cases has aggravated the long-standing difficulties between uniformed officers and detectives. Since those two functions constitute almost 80% of an agency's total personnel resources, it is obvious that aggressive and imaginative efforts should be undertaken by management to promote a harmonious and integrated working relationship between the two.

Problems might be traced back to stereotyping of roles; insufficient intercommunications channels; unawareness of information sharing needs; role redefinitions; and management's inability to communicate its expectations and requirements adequately.

The police administrator, by listening to the "complaints" of each group about the other, might indicate a series of inquiries to examine the work and mutterings.

In the task activity we will look at four areas of concern which seem to require re-examination.

## TASK ACTIVITY

### BACKGROUND

The department is considering adopting a program which will increase the patrol officer's participation in criminal investigations by requiring the conduct of a detailed initial investigation of all reported crime. The revised investigation report will include "solvability factors" which are to be used by the case screening officer in deciding which cases are to be referred to detectives for continued investigation.

Additionally, patrol officers will be permitted to conduct the complete investigation of selected crimes (i.e., residential burglaries, simple (and some felonious) assaults, auto thefts, and all larcenies).

As a result of the proposed changes, the investigative process, previously the exclusive domain of the detective, will become a shared one.

However, the top command of the department is concerned that the traditional difficulties of intercommunication and information sharing between the two groups (units) may worsen. The frequent referral by patrol officers to "those coffee suckers in the dick bureau" and by detectives to "those idiots couldn't find a bleeding elephant in the snow" is symptomatic of the current environment.

To obtain a clearer appreciation of the extent of the problems, the personnel officer administered an "attitude survey" of all detectives and all patrol officers assigned to the district (street) level. The returns depicted a working force that was both bitter and cynical. (See Attachment A)

Based upon an extensive discussion of those "findings," the executive committee concluded that several department policies and procedures which have contributed to the current state of affairs between patrol officers and detectives should be re-examined. Specifically, they believe that substantial improvements in basic attitudes and intercommunications could be realized by taking the following actions:

- identify appropriate solvability factors and develop an efficient and effective case screening review process
- rectify any inequitable and ill conceived personnel policy which exist
- develop an investigative training program for both uniformed and detective personnel
- modify rules and procedures to facilitate lateral communication between the two groups.



The executive committee has constituted Task Groups to address these four areas of concern. The committee is charged with identifying the problems, developing alternatives, and considering the agency-wide impacts of the proposed changes. Upon completion of the studies, top ranking executives will consider the recommendations and develop a program of implementation.

## TASK INSTRUCTIONS

Each group will be assigned one of the four areas.

The group will spend one hour to develop its program. Each group will appoint a reporter (spokesperson) who will deliver a five minute summary of the program to the entire group after the individual groups reconvene in the main training room.

Group assignments are as follows:

Group A - Solvability/Case Screening Review

Group B - Personnel

Group C - Training

Group D - Procedures (lateral communication)

## ATTACHMENT A

### SUMMARY OF ATTITUDE SURVEY - PATROL OFFICERS AND DETECTIVES

#### PATROL OFFICERS VIEW OF DETECTIVES:

- Enjoy a higher status in the organization
- Receive increased pay for less work
- Free of supervision and have more autonomy
- Assigned to detective duty based on a "hook"
- Have less responsibility than patrol officer
- Wear civilian clothes - no dress code
- Uninformed as to what's happening on the street
- Establish their own workloads
- Have flexibility in work hours
- Impossible to communicate with
- Refuse to share information
- Nothing ever changes in the detective bureau
- Arrogant attitudes are intolerable
- Curry favor from supervisors and politicians
- Strong on public relations but weak on performance
- Have no confidence in patrol's attitudes
- Always repeating work that's already done
- Always grabbing uniformed arrests.

## DETECTIVES VIEW OF PATROL OFFICERS

- Lack investigative competence
- Disinterested in investigator's information needs
- Poor collectors of basic information
- Always need help in arrest presentation
- No smarts--always turning the public off
- Spread false rumors about detective activities
- Impossible to talk to when seeking information
- Resent detectives position which they've earned
- Better level of pay
- Not smart enough to be detectives
- Perform Mickey Mouse work.



- **Recommend a case screening (review) process which makes sense for your department.**

- **Where should "screened" out cases be sent? What process should be established to "reactivate" cases (if any)?**

PERSONNEL PRACTICES/POLICIES

EXISTING POLICY

PROPOSED CHANGE

BENEFITS

TRAINING PROGRAM NEEDS

PROPOSED PROGRAM

BENEFITS

RECIPIENT OF TRAINING



PROCEDURAL CHANGES TO PROMOTE LATERAL COMMUNICATIONS

PROPOSED PROGRAM

BENEFITS

ESTIMATE OF EASE OF IMPLEMENTATION

For further information regarding this session  
see APPENDICES E, F, and G

SESSION 7

DAY II

---

PATROL MANAGEMENT

---

Management of the patrol function has undergone significant changes in the past several years. Based upon the findings of research efforts, and the sharing of those findings through executive training among police administrators, imaginative and innovative patrol programs have replaced the inefficient practice of "preventive patrol."

An issue that emerges from the several years of experimentation of patrol management is the need for sufficient organizational support elements to maximize patrol effectiveness (e.g., crime analysis and communications division). Those critical elements will be addressed in this session.

## CRIME ANALYSIS

In 1973, the National Advisory Commission on Criminal Justice Standards and Goals urged that:

Every police department should improve its crime analysis capability by utilizing information provided by its information system within the department. Crime analysis may include the utilization of the following:

1. Methods of operation of individual criminals;
2. Pattern recognition;
3. Field interrogation and arrest data;
4. Crime report data;
5. Incident report information;
6. Dispatch information; and,
7. Traffic reports, both accidents and citations.

These elements must be carefully screened for information that should be routinely recorded for crime analysis.

The effective and efficient use of patrol resources (generally 60-70% of total department strength) is dependent upon the commitment to a crime (problem) analysis capability. Without the information/recommendations provided by such a unit, it is unlikely that the large amount of non-committed time will be productively used.

## WHAT IS CRIME ANALYSIS

"Crime Analysis is a set of systematic analytical processes directed towards predicting criminal trends (in both individual and aggregate situations) for the purpose of reducing crime in a cost-effective manner." (California Crime Technological Research Foundation, Training Workbook: The Crime Analysis Process, LEAA, 1975).

"Crime Analysis is the process of systematically examining recent crime incidents and criminal behavior in an effort to identify crime patterns and characteristics so as to permit the effective deployment of personnel and resources and the adoption of appropriate strategies and tactics." (Improving Patrol Productivity.)

## REASONS FOR FORMALIZING CRIME ANALYSIS PROCESS

- Increases objectivity;
- Facilitates better coordination between operational units;
- Assigns responsibility for the analytical function;
- Promotes inter- and intra-agency communication;
- Reduces time required to determine patterns; and
- Improves capability to identify trends.

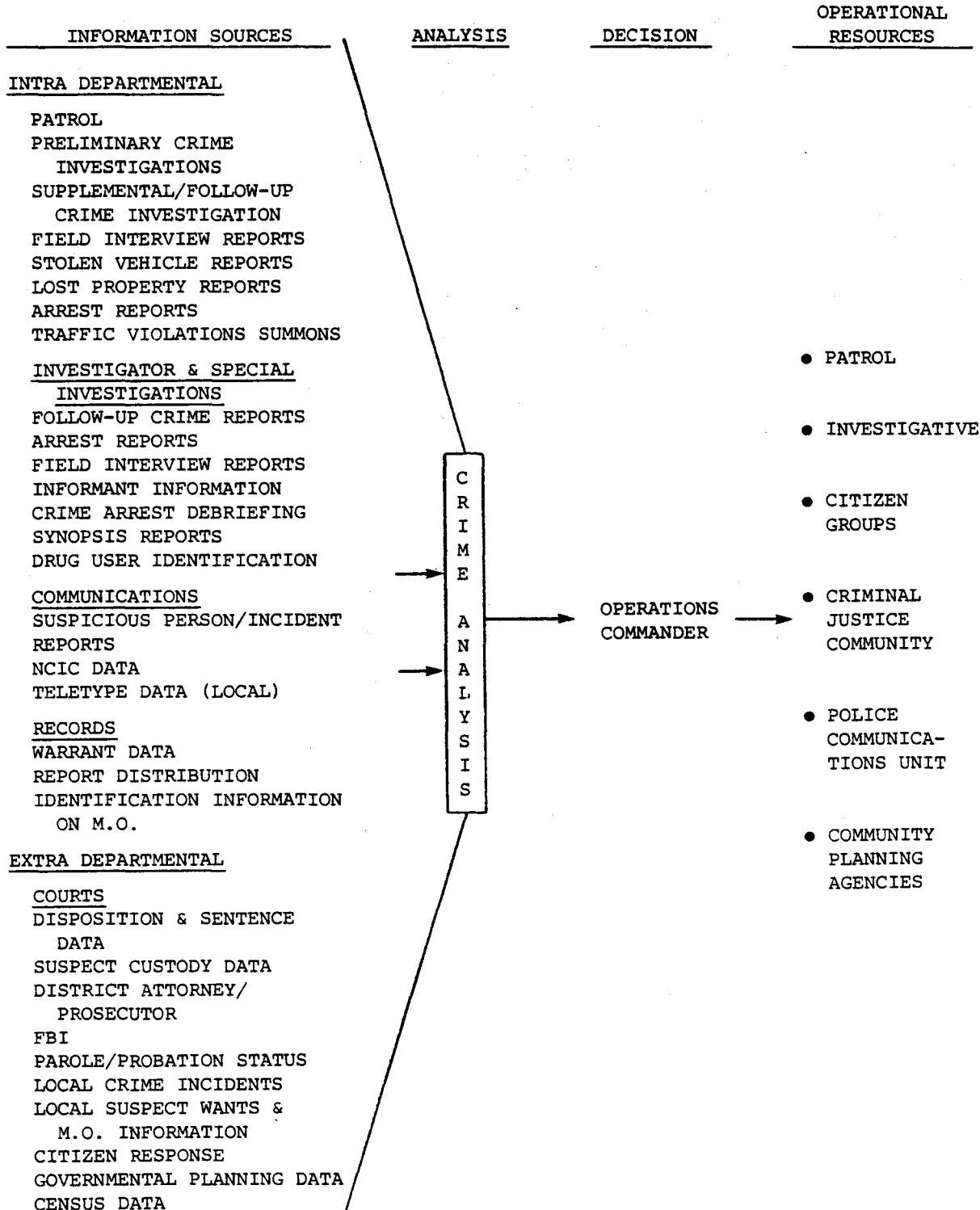
### FIVE BASIC COMPONENTS OF CRIME ANALYSIS PROCESS

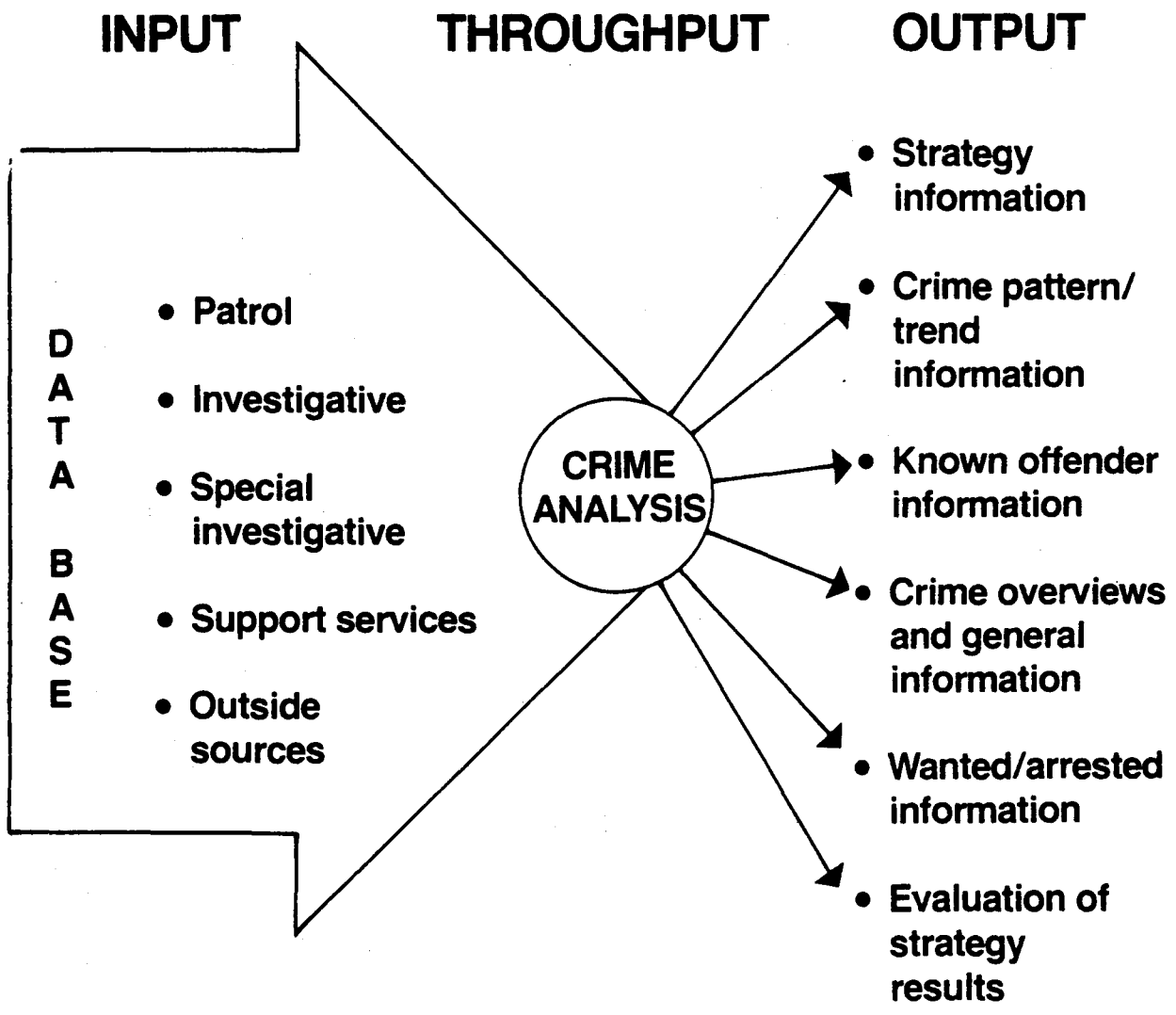
- Data collection and collation;
- Data analysis;
- Data output (reports);
- Feedback and;
- Evaluation of patrol strategies.

### PERFORMANCE OUTCOMES OF CRIME ANALYSIS

- Increase the number of cases cleared by arrest;
- Provide investigative leads to detectives;
- Improve operational data for patrol operations;
- Furnish support data to public awareness and involvement programs;
- Supply enforcement related data to urban planning, building, permits and codes, transportation systems, construction, etc.;
- Identify evolving or existent crime patterns;
- Provide supporting data for recommended crime control programs; and
- Furnish trend data for law enforcement planning, targeting, budgeting, and resource allocation.

COLLECTION - ANALYSIS - DISTRIBUTION







### CRIME ANALYSIS - TYPES OF REPORTS ISSUED

- Crime trends;
- Geographic temporal patterns;
- Crime specific overviews;
- Modus operandi (category and individual);
- Known offender monitoring;
- Daily crime listings and commentaries;
- "Wanted" person information; and
- Special crime reports.

### CRIME SPECIFIC OVERVIEW CONTENT

- Facts of problem;
- Facets to be considered;
- Modus operandi by criminal category;
- Property disposal possibilities;
- Develop operational objectives for response program;
- Suspect information; and
- Victim information.

### EVALUATION OF CRIME ANALYSIS ACTIVITIES

- Promptness of problem identification;
- Completeness of analysis;
- Usefulness and logic of information presentation; and
- Promptness of information dissemination.

DECISIONS TO BE MADE REGARDING CRIME ANALYSIS CAPABILITY

- Responsibilities to be assigned;
- Organizational placement;
- Staffing;
- Equipment availability;
- Measures of performance;
- Crime analysis unit relationship to staff commanders;
- Information flow; and
- Record changes.

ANTICIPATED OUTCOME

Police managers will receive data and recommended courses of action that will facilitate the development of effective strategies and tactics to maximize the productive use of "non-committed" time.

### COMMUNICATIONS CENTER

The management of calls for service, as well as the use of computer-supported dispatch capabilities forces a re-examination of the role and organizational placement of the communications center.

## COMMUNICATIONS FUNCTION

Traditionally, the communications function operates as a telephone answering center which:

- receives, processes, and dispatches calls
- transmits information to the field
- receives and processes sundry field requests
- assumes a "command" function in emergency situations (short-term)

In addition to the above responsibilities it has been suggested that during "light workload" periods communication personnel may be requested to perform the following tasks:

- assist in the record-keeping functions
- booking of prisoners
- receipt of property
- process walk-in complaints
- provide information to the public
- control the movement of unauthorized persons in the building
- provide security for detention facilities
- 
-

COMMUNICATIONS FUNCTION

CHANGING DEMANDS/RESPONSIBILITIES

As police administrators modernize their patrol operations, the resultant changes substantially affect the roles and responsibilities of this critical function. Some examples are:

PROGRAM

IMPACT

- |  |   |
|--|---|
| ● Match resources with need                      | ● substantial workload shift (GEO-temporal)                       |
| ● Calls for service management                   | ● decisions made on routing and dispatching of work               |
|  | ● dispatch changes/procedures                                     |
|  | ● teleserve demands   |
|  | ● supervisory demands increased.                                  |
| ● Directed patrol concept                        | ● increase in workload  |
|  | ● increase in coordination of field support elements              |
|  | ● dispatch complications.   |
| ● Work Demands Analysis (time consumed approach) | ● more data collection required                                   |
|  | ● better control/records to capture "directed patrol" activities. |
| ● Etc.   |   |

## COMMUNICATIONS CENTER TODAY

Today, the communications center is much more than a routine telephone call processing operation--it could be viewed as an operations center in some respects.

It actually provides the needed coordination for an ever increasing number of proactive patrol activities which must be monitored. It:

- assists in managing the demand for patrol services
- monitors and coordinates patrol dispatch
- communicates directives to patrol units
- collects important workload data
- coordinates patrol and support unit efforts.

"The modern communication center is many times more sophisticated and complicated in its operation than those of just a decade ago. The modern control console may have multiple-frequency operations, with switches for mode receivers, tone alert, simulcast, intercom and other functions. Computer terminals require fast and intelligent operation to access formats in a matter of seconds while telephones are being answered or vehicles dispatched. Requests for information from patrol officers must be handled with accuracy and speed or the entire service delivery function will deteriorate with time." /1/

---

/1/ "The Communication Process: A Perspective on the State-of-the-Art," James Evans, 1978.

## ORGANIZATIONAL PLACEMENT OF COMMUNICATIONS CENTER

The placement of the communications function in the organization has generally been related to the size of the agency. Historically, communications and records functions have been grouped together.

Small Agency - communications/records may be one person

Moderate Sized - records may be in service division

- communications may be in patrol division

Large Agency - records and communications typically in a services division--though they are separate units.

There is no clear rationale for the grouping of records and communications to be found in the literature. The thought seems to be that because communications takes "complaints" and generates record information that it is a "records" type function. Nor is the reason for placing "communications" in a service division clearly stated.

With the substantial changes which have occurred that substantially impact upon the operations of the communications function, it would make sense for the police administrator to re-examine whether the communications center should be placed in:

- SERVICES DIVISION

or

- PATROL DIVISION.





SESSION 8

DAY III

---

THE CONCEPT OF DIRECTED PATROL: STRATEGIES & TACTICS

---

Many police managers have adopted and implemented "direct patrol" programs which are intended to make the efforts of the patrol officers more efficient, responsive, and effective. The concepts of "Managing Patrol Operations" programs have been tested in several sites throughout the nation and the experiences shared with other police agencies.

While progress has been made there is a need to build upon the successes and learn from the mistakes.

This session will address in detail the following:

- The need to define and understand the concept of "directed patrol."
- The need to determine the proper mix of patrol approaches and resources to use effectively the "non-committed" time.

## TRADITIONAL PATROL BELIEFS

For over 150 years police administrators believed that a good patrol force was one that was:

- Omnipresent
- Random
- Rapid Responding.

The above characteristics were deemed critical to fulfilling the patrol mission of:

- Preventing Crime
- Apprehending Criminals
- Protecting Life and Property
- Delivering Satisfactory Service to Citizens
- Maintaining Community Sense of Well Being.

## PREVENTIVE PATROL

The heart of the traditional patrol model was "preventive patrol." This type of patrol was performed (or not) during the periods of "non-committed" time.

Preventive patrol may be defined as a random and haphazard patrol activity which is initiated (or not) at the discretion of the individual police officer.

Importantly, "preventive patrol" was more than an activity; it was actually a state of mind.

### LIKELY RESULTS OF SUCH PATROL

- Uninformed/non-responsive patrol
- Inequitable levels of service
- Inappropriate priorities of attention
- Self determined delays in service
- Lack of service/problem-solving continuity
- Potential escalation of pressing field problems.

## FRESH LOOK AT PATROL

In the light of research findings, and conventional wisdom, many police administrators began asking such questions as:

- what are we now doing
- who is doing it
- why are we doing it
- who else can do it
- how might we do it better
- what do we need in order to do it better
- what should we be doing?

### MANAGED PATROL PROGRAM

The answers to those questions would constitute the base upon which a COHERENT PATROL POLICY would be developed which would be implemented systematically by patrol managers and officers.

At the very least, such a program would require that the police manager:

- establish responsive allocation policies
- determine priorities
- coordinate and direct activities
- install appropriate records
- evaluate performance
- develop rapport - internal and external.

## GENERAL COMMENTS REGARDING NONCOMMITTED TIME

### DEFINITION

Noncommitted time is that portion of the total time which is not spent on calls for service, administrative assignments, personal reliefs, or other required duties.

### PROBLEMS

Noncommitted time is difficult to "collect" because it:

- batches - (frequently when least needed)
- does not occur in uninterrupted intervals of sufficient duration.

### AMOUNT OF IT

In many agencies the noncommitted time (available time) amounts to 40-50% of the total patrol time.

### MANAGEMENT REQUIREMENT

Police managers must critically examine the noncommitted time issue with the view of:

- increasing it
- redistributing it
- effectively using it.

### ACQUIRED TIME

The block of noncommitted time should be considered total agency time. This time must be productively used to achieve the agency's mission.

Whether the time is used by enhancing the role of the uniformed officer assigned to routine patrol duties or by creating specialized patrols to address short-term specific goals is a decision to be made by agency management.

PRESSURES ASSOCIATED WITH NONCOMMITTED TIME

With all of the noncommitted time available and the number of programs available to choose from, care must be exercised that an agency does not embark upon so many changes that little is accomplished except to dilute the effectiveness of management programs and efforts.

Chaos resulting from an excess of management programs is as disruptive as it is in a preventive patrol mode.

In short,

THE MANAGER MUST DISCIPLINE HIM/HERSELF AND THE ORGANIZATION  
TO DEVELOP A COMPREHENSIVE PLAN WHICH WILL BE IMPLEMENTED  
INCREMENTALLY IN THE BEST WAY TO ACHIEVE ESTABLISHED OBJECTIVES  
WITHIN AN ACCEPTABLE PERIOD OF TIME.

"DIRECTED PATROL" - MPO TEST SITE EXPERIENCE

In implementing their "directed patrol" program, the MPO test sites encountered the following difficulties:

- a lack of understanding of what "directed patrol" was
- a lack of sufficient middle manager commitment
- officer resistance to a change in patrol habits
- an inadequate crime and problem identification/analytical capability
- an insufficient flow of information
- completing the program within the assigned period.



## WHAT IS "DIRECTED PATROL"

### Discussion

Lacking a precise definition, the term "directed patrol" means different things in different agencies.

In the MPO, and this training program, the term "directed patrol" is viewed as a concept of patrol management rather than an activity.

### Definition

DIRECTED PATROL MEANS THAT THE ACTIVITIES THAT ARE TO BE PERFORMED BY PATROL UNITS DURING NONCOMMITTED BLOCKS OF TIME ARE: (1) ACTIVITIES THAT ARE INITIATED AND/OR APPROVED BY PATROL MANAGERS AND (2) ARE ACTIVITIES DIRECTED AT ACCOMPLISHING EITHER A SPECIFIC AND DEFINED SHORT-TERM OBJECTIVE OR ARE ACTIVITIES DIRECTLY CONTRIBUTING TO THE ACCOMPLISHMENT OF APPROVED LONG-TERM MISSION OBJECTIVES.

### Two "Directed Patrol" Activities

Thus, the concept of directed patrol embraces two distinct types of activities:

- general/mission patrol
- specific/proactive patrol.

CHARLOTTE, NC - MPO TEST SITE "DIRECTED PATROL" PROGRAM

In developing their "directed patrol" program, the managers of the Charlotte Police Department recognized the need to distinguish between patrol activities performed during "noncommitted" time. They drew the distinction this way:

Directed Activities (General/Mission)

Those activities which are broader, more general, and difficult to measure on a short-term basis.

Examples of this activity included: crime prevention projects, school resource (liaison) work, community relations programs, etc.

Directed Patrol

Those activities which are designed to affect particular police problems--its objectives are specific, short-term, and "field oriented" (i.e., crime, traffic, etc.).

Objective - making the patrol function more effective by assigning officers to work on known problems in an organized and systematic way.

Concept - the "concept" of directed patrol seeks to:

- provide more precise identification and description of problems through crime analysis
- provide more rigorous and systematic planning of tactics to address target problems
- provide an evaluation phase to assess the impact of various tactics upon target problems.

MANAGEMENT DECISIONS

REGARDING "SPECIFIC/PROACTIVE" PATROL

- "Specific/proactive" patrol assignments are more important and more productive than some calls for service
- Team commanders may designate field units as unavailable to respond to calls for service or respond only to "emergency" calls
- Specific program objectives are to be established for each plan implemented (including duration and cost objectives)
- Crime analysis must provide a detailed crime/problem analysis and monitor the results of the specific/proactive activity
- Plan to be developed using team participation
- Plan to be formally evaluated at conclusion of program
- Specific/proactive operational plans must be reduced to writing and be approved by field commanders.

---

\*Charlotte is organized on a team policing basis.

## PLANNING AND IMPLEMENTATION PROCESS--CHARLOTTE, NC

### Identification of Problem

- Crime analysis to identify problems and trends and provide results of detailed analysis
- Crime analysis report to contain:
  - type and method of problem
  - when and where does problem occur
  - victim characteristics
  - m.o.'s
  - description of suspects and vehicles
  - who identified the problem
  - recommendations regarding tactics.

### Develop Plan (Team Participation)

- Select target
- Devise tactical plan--describe attack methods
- Be imaginative in exploring alternative tactics
- Tap all available information sources concerning problems
- Involve working officers in the development.

### Review and Approve Plan

The tactical plan is to be reduced to written form. (See attached "Directed Patrol Tactical Plan" format.)

The plan must be approved by the team commander and bureau commander, approved plans are forwarded to the bureau chief and to crime analysis for monitoring.

### Implementing Plan

- Information on plan (current information) provided at roll call
- Involved officers must review crime analysis report and written tactical plan
- Information sharing is critical
- Proper entry of availability status for CFS is critical.

### Monitoring Plan

- Crime analysis to issue regular monitoring reports; each report to indicate:
  - changes in crime roles or patterns
  - other changes in target problem (and evaluate those changes with respect to other areas in the city and historical data for the target area)
  - parallel trends throughout the city.

### Evaluation of Plan

- Team must submit an evaluation report on plan at least on a monthly basis (See attached: Directed Patrol Evaluation Report)
- The evaluation should also report upon:
  - amount of time expended on target
  - impact and effectiveness on target problem
  - accuracy of crime analysis information provides for problem and plan
  - use by teams of information provided
  - implementation of plan in accord with written program.

# CHARLOTTE POLICE DEPARTMENT DIRECTED PATROL TACTICAL PLAN

Crime Analysis ID # [ / ]

Initial Plan  
 Plan Revision

Proposed Implementation Date: [ / /19 ]

1. Briefly describe the problem which this plan addresses.
2. List the objectives which you intend to achieve with this tactic. At least one of the stated objectives should specify a quantitative change in the target problem.
3. Describe, in detail, the directed patrol tactic to be implemented. This description should include the following information: Number of personnel to be used; Locations of assignments; Time periods to be covered (specify days and hours); Mobility and uniform of officers (e.g. uniformed officers on bicycles, plain clothes in unmarked vehicles, etc.); Special equipment, if any.

4. For how long does the team propose to employ this tactical plan? When or under what conditions will this plan be terminated?

Submitted      /      /19

Tactical plan  approved;  reserved for revision: 216  
 rejected;      /      /19

Tactical plan reviewed      /      /19

\_\_\_\_\_  
Team

\_\_\_\_\_  
Commander, Bureau

\_\_\_\_\_  
Commander, Operations Division

# CHARLOTTE POLICE DEPARTMENT DIRECTED PATROL EVALUATION REPORT

Crime Analysis ID # [   /   /   ]    Termination of Tactic  
 Revision of Tactical Plan  
 Routine report

1. If termination or revision of tactic is proposed, explain why.

2. How much officer time was assigned to this task

a. since the last report?

[   ] officer-hours between [   /   /19 ] and [   /   /19 ]

b. since the tactic was begun (cumulative total)?

[   ] officer-hours between [   /   /19 ] and [   /   /19 ]

3. Describe and discuss the reasons for any alterations in or deviations from the Directed Patrol Tactical Plan.

4. To what extent were the objectives stated in the Directed Patrol Tactical Plan achieved?

5. What factors might account for the success or failure of the tactic to achieve the stated objectives?

6. What other results were produced by implementing the tactic? (e.g. arrests, cases cleared, etc.)

7. In your estimation, is the tactic employed a valuable or useful one?  yes  no

8. Would you use this tactic again?  yes  no

9. Observations and comments:

Submitted \_\_\_\_ / \_\_\_\_ /19 ; \_\_\_\_\_ ; Commander, \_\_\_\_\_ Team

---

---

Bureau Commander's response:

\_\_\_\_ / \_\_\_\_ /19 ; \_\_\_\_\_ ; Commander, \_\_\_\_\_ Bureau

Reviewed \_\_\_\_ / \_\_\_\_ /19 ; \_\_\_\_\_ ; Commander, Operations Division

### GENERALIZED PATROL--NON-TRADITIONAL STRATEGIES

In the past five years several police agencies have experimented with new patrol approaches which were intended to use noncommitted patrol time in a more effective and responsive way. While some of these programs have been modified, the strategies and philosophies are worthy of examination and discussion.



DIRECTED DETERRENT PATROL

NEW HAVEN, CONNECTICUT

Features of this program include:

- Noncommitted time is directed at crime occurrences;
- Program developed based upon crime analysis inputs and patrol officer/commander experience
- Target crimes are selected;
- Specific written tactics are developed and tested on a monthly basis;
- Directed deterrent "runs" (D-Runs) are established and are dispatcher issued and controlled (as are "calls for service");
- Detailed instructions are issued to patrol officers as to how the "run" will be conducted;
- These "D-Runs" can only be interrupted by the officer when he encounters an incident requiring an immediate response or by the dispatcher when an emergency call occurs in the D-Run area and;
- A "D-Run" findings and recommendations report is prepared at the conclusion of each.

---

NOTE: There are many variations of directed patrol activities. See Chapter 5, Improving Patrol Productivity, pp. 124-125.

SAMPLE

DIRECTED PATROL PATTERN SHEET

RUN NUMBER: 821  
SECTOR: EDWARD

PROBLEM: COMMERCIAL BURGLARY

- Step 1: LOCATION: Grand and Quinnipiac  
TACTIC: Park car. Check fronts and backs by walking to bridge and back to car.
- Step 2: LOCATION: Grand and Clinton  
TACTIC: Park car at Firestone. Check fronts and backs by walking one side of street to front and back to other side of street.
- Step 3: LOCATION: Grand between Clinton and Ferry  
TACTIC: Park at Ferry and Grand and walk to the church between Atwater and Bright and back to car; check fronts and backs of buildings.
- Step 4: LOCATION: Grand between Quinnipiac and James  
TACTIC: Ride entire length at 5 mph., checking fronts and backs as appropriate. One swing in each direction.
- Step 5: LOCATION:  
TACTIC:

SPECIAL NOTES:

ESTIMATED TIME REQUIRED FOR RUN - 45-50 min.

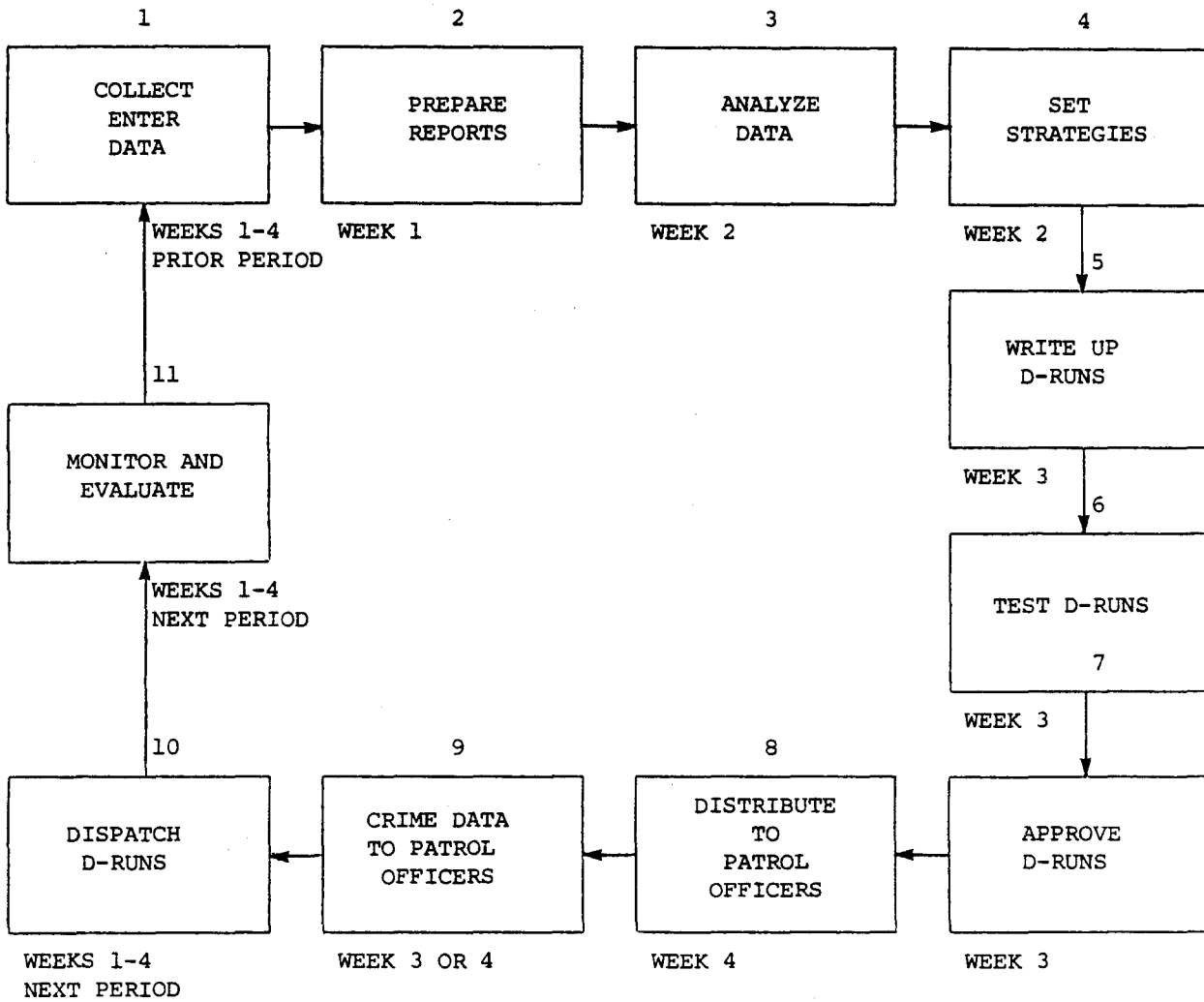
Green lights will be used by the officer while assigned to a deterrent run.

INSTRUCTION SHEET ORIGINATED BY:

APPROVED BY:

DATE:

DIRECTED DETERRENT PATROL PLANNING CYCLE



## COMMUNITY ORIENTED PATROL

SAN DIEGO, CALIFORNIA

Salient features of this program:

- Places considerable responsibility on patrol officer to analyze and develop patrol tactics.
- A "beat profile" is developed by each officer.
- The beat profile analyzes the community's structure with respect to:
  - Socioeconomic condition
  - Cultural diversity
  - Institutions
  - Organizations
  - Leaders
  - Police problems:
    - Crime
    - Traffic
    - Order maintenance
    - Noncriminal demands.
- Patrol officer initiative and discretion encouraged.
- Personnel performance evaluations modified to reflect broader responsibilities.
- Prompt dissemination of crime analysis information.
- Development of a community resources manual for referral purposes.
- Supervisors perform as facilitators and advisors.

## DIRECTED INTERACTIVE PATROL

### KANSAS CITY, MISSOURI

- Background
  - Developed by Operations Bureau Task Force in 1974,
  - Focused on crimes of robbery and residential burglaries; and
  - Identified 15 patrol activities that have an impact on crime.
- General Approach
  - Patrol deployment
  - Situational analysis
  - Crime attack strategies
  - Community involvement
  - Evaluation.
- Specific Needs - Control of Available Time
  - Calls for service given various priorities
  - Alternate means of reporting incidents.
- Sector Flexibility - Sergeant's Discretion
  - Decide upon best use of sector personnel involving calls for service and directed activities
  - "Manpower Utilization Forecast" - computer printout of anticipated workload for a month
  - Confer with other sectors to identify mutual needs and commitments
  - Dispatchers must be advised of assignment decisions.
- Four Groupings and 15 Activities
  1. Community Education
    - Crime information
    - Community meetings
    - Crime Prevention displays
    - Community newspaper activities.

2. Community Organization Programs

- Operation identification
- Security surveys
- Block watchers.

3. Tactical Deployment

- Safe walkways
- Decoy operations
- Garage and swap sales
- Tac II alarms.

4. Case Processing

- Solvability factors
- Concealed cameras
- Identification kits
- Height strips/description pads.

- Developed process and product measures
- Program attempts to deal with both internal capability and external (citizen) participation

## SPLIT-FORCE PATROL

WILMINGTON, DELAWARE

Salient features of this program:

- Establishment of a "basic patrol" element which responds to calls for service and performs only limited, directed patrol.
- Establishment of a "structured patrol" element which is dedicated to crime control activities and responds only to the most serious calls for service.
- Through a "push-pull" scheduling system a total of six shifts of duty result each day for basic patrol.\*
- Six alternate sector configurations are implemented each day and change every four hours.
- Basic car sectors were designated "response sectors" to reflect their primary responsibilities.
- Calls for service are given priorities and are dispatched on a first-come, first-serve basis by assignment to the first available and appropriate unit--irrespective of response sector assignment.
- Structured patrol is a specialized unit within patrol services.
- Assignments to the structure unit are routinely and regularly made (every four months).

---

\*Based upon temporal demands and using both PCAM and hypercube, shifts are adjusted by either "pulling" units up earlier in time or "pushing" units out later in time.

## DEFINITION - SPECIALIZED PATROL

Specialized patrol activities are defined as the activities of officers who are relieved of the responsibility of handling routine calls for service in order to concentrate on specific crime problems.

## ESTABLISHING A SPECIALIZED PATROL

The following issues must be examined by management in considering the need for a specialized patrol operation:

- Could regular patrol forces modify their operations to handle the problem?
- Is there an adequate crime analysis capability to identify crime problems and to provide support to specialized patrol operations?
- Does the jurisdiction have a constituency which regularly produces crime problems of a magnitude and duration that would occupy a specialized unit's available time?
- Are manpower resources and equipment available?
- Are there contractual constraints?
- Can organizational conflict be kept to an acceptable level?
- What has the experience of other police agencies with similar units been?

## PURPOSES

Deterrence of suppressible crimes and the on-site apprehension of offenders.



### SUPPRESSIBLE CRIMES

Crimes which can be viewed in person or monitored by electronic surveillance, at locations where the police have a legitimate right to be, and crimes which can be potentially affected by planned police operations are suppressible crimes. For example, such crimes include: street robbery, commercial robbery, purse snatchings, residential burglary, and commercial burglary.

### STAFFING CONSIDERATIONS

- There will be many volunteer applicants with a wide range of motives.
- Selection criteria need to be developed and formalized by management.
- Selection criteria should take into account personality and skill.
- Selection of supervisory and command personnel is the most critical choice to be made by management.

## SELECTION AND CHOICES OF TACTICAL RESPONSES

The selection of a tactical response by management should be the product of a management analysis of crime problems and available resources. Some specific questions to answer when conducting such an analysis for decisionmaking are:

- Are there temporal and geographic constraints that define a pattern?
- Can the crime be observed by police or monitored by electronic devices?
- Are there method of operations patterns that may lead to a development of suspect identity?
- Is there a victim typology that lends itself to prediction of occurrence or lends itself to decoy or possible target observation?
- Can current informant information be used or does it have to be cultivated?
- Is the identity of a suspect known or is there information that may lead to suspect recognition by police?
- What tactics in neighborhoods with similar demographics have worked in the past?
- Is needed manpower and equipment available?
- Will assistance be required from citizens or private firms?
- Will cooperation be required from other departmental units or other law enforcement agencies?
- How will this operation affect other specialized patrol unit agencies?
- Is the objective to move or suppress the problem; to investigate it; or to apprehend a suspect while a crime is in progress?

CONCEPTUALIZATION

TRADITIONAL CRIME OCCURRENCE CONTROL CONCEPT

<u>Timing</u>	<u>Activity</u>
Before	Prevent and deter the crime from occurring through Preventive Patrol (i.e., reduce opportunity and increase fear of apprehension during the commission).
After	Conduct investigation of crime and arrest offender.

EMERGING CRIME OCCURRENCE CONTROL CONCEPT

<u>Timing</u>	<u>Activity</u>
Before	Prevent and deter the crime from occurring through Managed Patrol (e., reduce opportunity and increase fear of apprehension during the commission).
During	Victim replacement by a decoy or, at the very least, have police presence near the scene of the crime so it can be observed.
After	Conduct investigation of crime and arrest offender.

SPECIALIZED PATROL\*

PROJECT FAMILIES

- Low Visibility Patrols

ASSUMPTION: less visible police presence will lead to increases in apprehension and reduction in target crimes.

METHOD: civilian dress and/or mechanical device tactics.

- High Visibility Patrols

ASSUMPTION: increased uniformed police presence will deter crime and increase the chances of apprehending criminals.

METHOD: use of uniformed tactical units.

- Combined High/Low Visibility Patrols

ASSUMPTION: increased uniformed presence combined with less visible police presence will deter crime and increase apprehension rates.

METHOD: uniform tactical units in combination with civilian dress and/or mechanical device tactics.

---

\*National Evaluation Program: Traditional Patrol, June, 1976, pp. 40-41.

SPECIALIZED PATROL TACTICS AND TARGET CRIMES\*

Target Crime	Tactical Alternatives
Street robbery	Uniformed tactical patrol; Decoy operations; Suspect surveillance; Area surveillance.
Commercial robbery	Physical stake-outs; Electronic stake-outs; Uniformed tactical patrol; Area surveillance; Suspect surveillance.
Residential robbery	Uniformed tactical patrol; Area surveillance; Suspect surveillance.
Purse snatches	Uniformed tactical patrol; Area surveillance; Suspect surveillance; Decoys.
Residential burglary	Uniformed tactical patrol; Area surveillance; Suspect surveillance.
Commercial burglary	Uniformed tactical patrol; Physical stake-outs; Electronic stake-outs; Suspect surveillance; Area surveillance.
Vehicle theft	Uniformed tactical patrol; Area surveillance; Suspect surveillance; Decoy operations.
Theft from vehicles	Uniformed tactical patrol; Decoy operations; Area surveillance.
Rape	Decoy operations; Uniformed tactical patrol; Suspect surveillance; Area surveillance.

\* Improving Patrol Productivity, Vol. II, p. 81.

## MAINTAINING THE OPERATION

Once a tactic has been selected and the operation implemented, it is necessary to provide management with constant data support about:

- the crime problem;
- related criminal activities; and
- the peripheral effects of the operation.

Operations maintenance should be provided by crime analysis through the regular reporting to management of the following events:

- Target or related crimes committed in the target area;
- Any target crime with similar M.O. or suspect description;
- Crime displacement;
- Arrests and clearances by other units;
- Pertinent field interview information;
- Any historical information on problem;
- Intelligence on possible suspects;
- Mapping support;
- Intelligence on narcotics or fencing activities which may be related to the crime pattern; and
- Evaluation of the project.

### SOME SUGGESTED PERFORMANCE MEASURES\*

To determine the deterrent effect, measure the changes in reported target crime rates in a particular area:

- Before, during, and after the program
- Compared with the prior three years
- Compared with a selected control area
- Target crime rate in balance of jurisdiction
- Target crime rate in adjoining areas
- When crime occurs - temporal displacement
- Crime rates of non-target crimes
- Etc.

To determine apprehension effectiveness, measure the:

- Number of arrests for target crime
- Number of arrests accepted for prosecution
- Number of arrests leading to conviction
- Importance of particular arrests
- Number of hours spent per arrest
- Number of arrests for target crime compared with number reported
- Number of reported crimes cleared
- Etc.

---

\*Improving Patrol Productivity, Vol. II, pp. 117-119.

Successful Programs Have Allowed For:

- Advanced planning
- Cooperation between departmental units
- Careful selection of personnel
- High quality supervisors
- Training of personnel
- Effective equipment use
- Adequate financial support
- Flexibility in operations to meet changes.

General Findings - Specialized Patrol

- Evaluations of performance and effectiveness have proven inconclusive.
- There is a need to relate successful tactics to the category of crime.
- Police officials believe programs are effective.

Outcome

Clearly conceived patrol programs that direct resources at identified crime and problem patterns on a geographic and temporal basis can have a favorable impact upon crime occurrences in the community.



## SUMMARY

The need to develop sufficient organizational capability (staff) to support field operations and programs, as well as the organizational placement of critical support units, should be carefully weighed by police executives.

Additionally, a good understanding of the two distinct activities within the concept of directed patrol will permit the concentration of patrol energies in high payoff programs and the formulation of strategies to be employed.

Finally, the creative use of routine and specialized patrol approaches could result in better control of crime and higher levels of community service.

Note: For further information regarding this session see APPENDICES H, I, and J



## SESSION 9

### DAY III

---

#### MANAGING CHANGE

---

Most progressive managers today are deeply concerned with the problem of developing managerial strategies appropriate to the changing conditions. The word "change" is no longer even a buzz word. It has become part of our everyday language. Managers are continually working on the problems of how to develop a flexible organization which can move with changing requirements, which can be "proactive" (influencing the environment) rather than reactive. Managers are seeking ways to establish a work climate in which increasingly complex decisions can be made by people with the information regardless of their location in the organization. Managers are looking for ways in which increasingly complex technologies can be managed and in which people who have an ever higher sense of freedom and autonomy can be encouraged to want to stay and work in their organizations. The search for ways of concurrently increasing collaboration among the members of organizations and at the same time increasing the rationality of decisions occupies many hours of management time and many chapters in management books. (Beckhard, 1969)

The statement above articulates well the challenges common to public and private organizations and the people who manage them. Managers at Exxon and Chrysler, along with their counterparts in federal, state, and municipal government, are dealing with an environment of constant change.

In the previous sessions, some of the critical issues faced by police agencies were raised and discussed. Budgets shrink while the expectations of police personnel, the public, and municipal management expand. Often, each group is headed in a different direction. It is the police manager whose task at hand is to deal with these and a variety of other complex problems. The manner in which this can be done is through application of innovation and change through a careful management process.

The management of change allows the police executive to introduce innovations directed at greater efficiency and/or constituent satisfaction. It attends to the information, knowledge and adoption requirements of the groups and systems components critical to the implementation of innovation and change.

Earlier sessions in this program have addressed specific police programs, policies, and innovations. In this session, we will review and apply key concepts of planned change as they relate to the development of a strategy outline for a program change which may be desired within your agency. The material to be covered is drawn from a broad range of sources. An important one is Richard Beckhard's Organization Development: Strategies and Tactics. It is a source of a great deal of material presented here and should be considered essential reading for anyone interested in organization development.

## Why Manage Change

Through the application of a careful process to manage change, it is possible to realize considerable benefits through the implementation of new programs and policies. Not only is it possible, it is the only reasonable course of action for today's police executive. Maintenance of the status quo is the impossible task for we know that change occurs by itself every day. Unfortunately, random change or change left to chance seldom contributes to the successful accomplishment of an organization's mission or goals.

## What is Managed Change?

- Planned
- Systemic
- Top-down management.

## What are its goals?

Managed change seeks to establish or restore organizational health and effectiveness with the following characteristics:

- work managed against goals and plans for achievement of goals
- problems, tasks, or projects dictate organization of human resources
- sources of information dictate where decisions are made
- managers and supervisors are rewarded for system performance, growth, and development of subordinates, creating a viable working group
- communication (lateral and vertical) is relatively undistorted
- conflict between individuals and groups is treated as a problem subject to problem-solving methods
- high "conflict" about task and project and low conflict regarding interpersonal difficulties
- organization and its parts perceive themselves interacting with each other and with a larger environment
- management support of each person or organizational unit to maintain integrity and uniqueness in an interdependent environment
- feedback mechanisms exist so that individuals and groups can learn from experience.

## Characteristics of Managed Change Efforts

In managing change, there are a number of characteristics which direct the efforts of top-down management such as:

- consonant with organization's mission
- long-term
- action oriented
- focus on changing attitudes and/or behavior
- rely on experience-based learning activities
- group oriented.

## Barriers to Change

No discussion of planned change can be considered complete without some discussion of the constraints to the change process. If one adheres to Kurt Lewin's force field concept that organizational structures are not static but dynamic, one believes that the equilibrium of the organization is maintained by a balanced field of forces working against each other. In order for change to take place, the driving forces (those seeking change) must increase in strength or the restraining forces (opposing change) must be weakened, or both. In order to do either, it is important to have some understanding of the forces resisting change. They may include:

- force of habit
- challenge to authority
- increased/decreased workloads
- appearance of failure or inadequacy
- unclear or misunderstood goals
- ripple effect
- 
- 
- 
- 
- 
- 
- 
- 
- 
-

## Conditions Which Require the Management of Change

Among the list of needs which typically require managed change responses are:

- change a managerial strategy
  
  
  
  
  
  
  
  
  
  
- improve intergroup collaboration
  
  
  
  
  
  
  
  
  
  
- open up communication system

●

●

●

## How is Planned Change Managed?

Earlier in this session, planned change was described to include the systematic diagnosis of the organization, development of strategic plans for improvement, and the mobilization of resources to carry it out. At this point, we will briefly examine each of these areas separately. Later presentations will provide greater detail in these areas as they apply to specific police programs, policies, and innovations.

### Organizational Diagnosis

This management activity usually occurs at two levels within an organization. The first level of diagnosis examines the groups within the total organization. For example, in a police agency, they may include top management teams, patrol or detective divisions, communications, etc. The second level of diagnosis includes the processes which occur within the organization. Included in this category may be the decisionmaking process, communication patterns and styles, management of conflict, and goal setting.

In Diagnosing Your Organization (1976), Marvin Weisbord identifies six areas of inquiry which may be used in the diagnostic phase of managed, planned change:

- purpose
- structure
- rewards
- helpful mechanisms
- relationships
- leadership

Among the important tools and sources of information police managers have available for the effective diagnosis of their agencies are several which are addressed elsewhere in this program:

- work demand data
- crime analysis data
- personnel policies
- statements of departmental goals
- others.



## Selection of Remedies and Formulation of Plans

Having completed the analysis of available information and diagnosed the organizational needs or ills, the next management activity of a planned change process is the selection of an appropriate remedy and the formulation of strategic plans for implementation. In evaluating the relative merits of a particular change, it is important that the readiness of the organization to adopt that change be measured. The literature on this subject is voluminous and contains hundreds of variables which may be examined to determine the suitability of a particular innovation for the host organization. A useful tool for that measurement, however, is the A VICTORY formulation of H. Davis:

- Ability
  
  
  
  
- Values
  
  
  
  
- Idea
  
  
  
  
- Circumstances
  
  
  
  
- Timing
  
  
  
  
- Obligation
  
  
  
  
- Resistance
  
  
  
  
- Yield.

### OPERATIONAL GOALS

- To develop a self-renewing, viable system that can organize in a variety of ways depending on tasks
- To optimize the effectiveness of both the stable and temporary systems through built-in, continuous improvement mechanisms
- To move toward high collaboration and low competition between interdependent units
- To create conditions where conflict is brought out and managed
- To arrive at the point where decisions are made on the basis of information rather than organizational role.

### PHASES OF ADOPTION

- Awareness
- Interest
- Evaluation
- Trial
- Adoption.

### SPECIFIC STRATEGIES

The range of specific strategies which may be pursued to implement change is enormous. It may be useful, however, to look at some of the categories of strategic interventions appropriate to this type of change process:

- working with teams on team development
  
- working on intergroup relationships between subsystems
  
- working on planning and goal setting for individuals, teams, and larger systems
  
- working on educational activities to upgrade knowledge, skills, and abilities of key personnel at all levels.

## Mobilization of Resources

The final phase of the change process is the mobilization of resources necessary to carry out the desired changes. The basic building blocks or resources of an organization are groups or teams of people. Therefore, the basic units of change are groups and not individuals. Running parallel to that assumption is another; groups and individuals within them require a sense of "ownership" if adoption of change, rather than passive acceptance, is to occur. At various points in the planning process, it may be desirable or essential to solicit input from groups or subsystems within the organization. In the diagnostic phase, staff surveys may be necessary to have sufficient information for a correct diagnosis of the organization's ills. In the planning process, it may be important to establish a task force (or collaboration group) composed of representatives of the affected groups. The input of such groups is generally invaluable in determining common concerns, attitudes, and directions regarding change strategies, etc. During the implementation stage of the change process, the involvement of groups directly and indirectly affected by the proposed change is essential. Therefore, it may be useful to look at ways in which groups might be effectively dealt with during this phase of the process.

Let us assume that, as the result of a directed patrol program, new teams have been organized with the patrol division. It is fairly safe to assume that the following conditions exist among the new teams:

- fair degree of confusion as to roles and relationships
- fairly clear understanding of short-term goals
- team members have the competence needed to carry out tasks and that the tasks are sufficiently challenging to draw on these competencies
- team leaders' attention will be focused on the task rather than on the relationships between members.

Experience in working with new groups in a variety of settings has shown us that, if left to its own devices, the new team will focus its early efforts on task and work problems. Overtime, relationship problems surface as they do in any human interaction. By the time this occurs, working out those relationships may be time-consuming, costly and/or impossible.

Considerable benefits have accrued to organizations when new groups take a short period at the beginning to examine collaboratively how they will work together, and their methods, procedures, work relationships, and priority concerns.

One model, consisting of a one to two-day retreat, which has been effective in a number of new team development efforts, include the following components:

- a statement, discussion, and clarification of the group mission--its goals, timetable, work task
- a discussion of the concerns and hopes of the group members for the joint effort
- a presentation by the group leader of his plan to organize the work--the organization structure, system inter-relationships, and general ground rules
- a discussion of major areas of responsibility and authority of each member
- development of communication mechanisms
- where appropriate, planning for the training of the rest of the organization
- arrangements for follow-up meetings.

Other models may be appropriate to different groups. Work teams which are not new, for example, but which are taking on different or new responsibilities should also go through a development exercise. In that case, it will be important to elicit information from group members prior to the meeting regarding the effectiveness of team operation and obstacles to optimal use of group resources. That information can be used to establish an agenda which begins with a resource person feeding back the data collected from team members. The major activity of the meeting is to work through the data, solving those problems which can be adequately addressed at that time and developing action plans for dealing with others which may take longer. The focus of such a meeting is on action planning based on the information produced. The team should leave the meeting with a list of follow-up activities, including meetings and a timetable of actions.

Whatever the nature of the group or the intervention, the point can not be overstressed that in order for proposed change to become reality, affected groups must be clear regarding the nature of the change and its implications, their roles and functions, and the inter-relationships important to successful implementation.

## SUMMARY

Earlier in this session, one of the characteristics of planned change was its action-orientation. As a fitting conclusion, we would like to share a number of axioms for action derived from the literature of planned change as well as the conventional wisdom of practitioners.

- Gather complete, precise information
- Know exactly what innovation is sought
- Enlist the support of power figures
- Inform and involve all concerned
- Know your opposition
- Focus on the local level
- Let others take the credit
- Provide feedback on both successes and setbacks
- Listen to those who resist
- Remember that temporary changes are more readily accepted
- Be mindful that people seldom change immediately under pressure, but they seldom change without pressure
- Do not expect adoption to come in the form or the time you anticipate
- Acknowledge that adoption of innovation will occur at the pace of the person or organization
- When you confront a stalemate, look for higher ground.

## BIBLIOGRAPHY

1. Organizational Development: Strategies and Models, Richard Beckhard, Reading, Mass., Addison Wesley Publishing Company, 1969.
2. Diagnosing Your Organization, Marvin Weisbord, Wynnewood, Pa., Organization, Research and Development, 1976.
3. A Checklist for Change: In National Institute of Mental Health, A Manual for Research Utilization, H.R. Davis, Washington, D.C., Government Printing Office, 1971.

## TASK ACTIVITY

Select a category of patrol workload to which you are going to apply one of the alternative decision options listed on page 80 of this handbook. Of course, you may select any category of patrol workload and are not limited to those in the "sample" workload presented during this training event.

The program change selected should be one that can benefit the agency most (and be one that can be implemented).

Once you have made your selection, carefully consider the suitability of the particular innovation for your agency as well as the forces of resistance which might be encountered.

To assist you in these deliberations, appropriate formats have been developed.

You are expected to devote the balance of this session to those deliberations.



CATEGORY OF WORK SELECTED: \_\_\_\_\_

OPTION SELECTED: \_\_\_\_\_

APPLICATION OF A VICTORY

---

COMPONENT	COMMENT
-----------	---------

---

ABILITY:

organizational resources and capabilities sufficient to implement/evaluate innovation; sanctions of decisionmakers to adopt change.

VALUES:

degree of accord with organization's philosophy and operating style.

IDEAS:

adequacy of knowledge about the innovative procedure and the proposed action steps.

---

COMPONENT

COMMENT

---

CIRCUMSTANCES:

features of the organization environment relevant to successful adoption or adaptation of the innovation.

TIMING:

readiness to consider the innovation; the particular combination of events at a given time that might affect the likelihood of innovation.

OBLIGATION:

the felt need to change from the existing modus operandi, or at least to try the proposed change.

---

COMPONENT

COMMENT

---

RESISTANCE:

inhibiting factors, the organizational or individual disinclination to change.

YIELD:

the benefits or payoff from the innovation, as perceived by potential adoptees and by those implementing the innovation at the operating level.  
(Davis, 1971)

Listed below are several forces which lead to resistance to change. All should be considered in developing your implementation plan. Briefly describe the actions you will take to overcome the resistance:

---

FORCES	ACTION TO OVERCOME
1. Force of Habit	
2. Challenge to authority	
3. Increased/decreased workload	
4. Appearance of failure or inadequacy	

---

FORCES

ACTION TO OVERCOME

---

5. Unclear or misunderstood goals

6. Ripple effect

7. Others



SESSION 10

DAY III

---

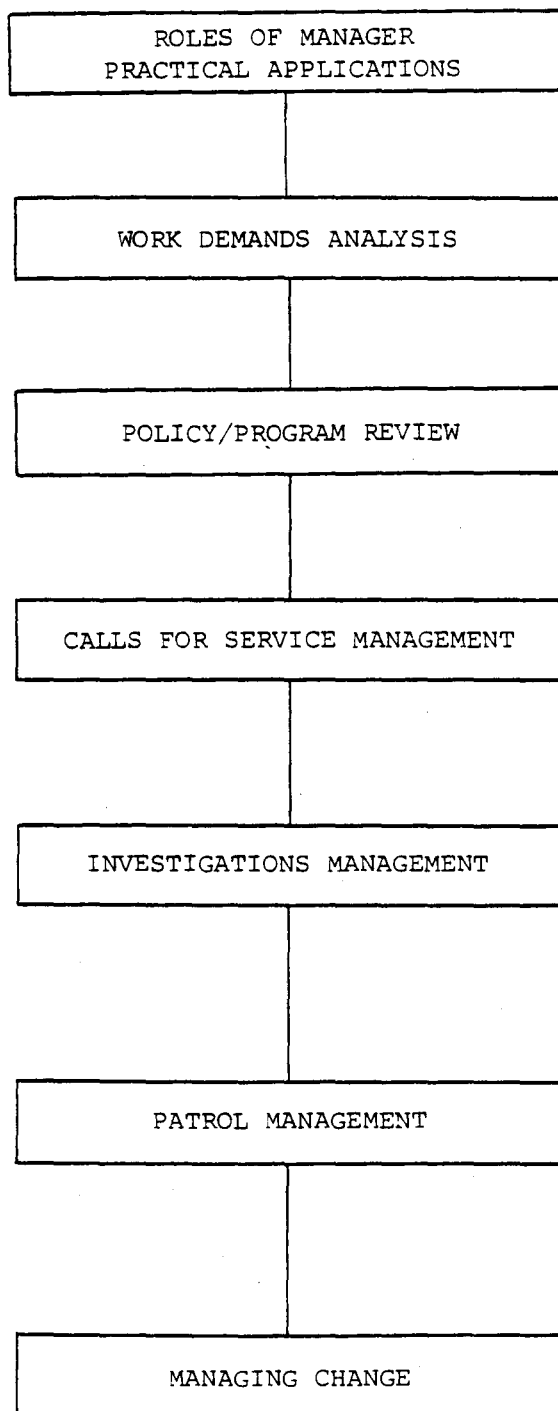
SYNTHESIS/SUMMARY

---

In this session we will review the highlights of each of the components in the training program and consider the important linkages which exist.

There will be time to raise questions for discussion by the group.

IMPROVING POLICE MANAGEMENT - FLOW OF TRAINING



- Problems/Paradoxes of Retrenchment Management
- Roles of Manager
- Strategic Assessment and Choices
- Staff Support Requirements
  
- Research--Noncommitted Time
- Need for "Time Consumed" Approach
- Review of Sample Patrol Workload-- Consider Decision Options
- Allocation Models/Considerations
  
- Alternative Approaches
- Process for Effective Planning
  
  
- Historical Perspectives
- Classification/Dispatch Priorities
- Planning Requirements
- Role Change for Communications Division
  
  
- Solvability Factors
- Initial Investigation Models
- Case Screening
- Role Redefinition/Intercommunications Problems
  
  
- Need for Organizational Support
- Directed Patrol Experiences
- Routine Patrol Strategies
- Specialized Patrol Utilization
- Patrol Concepts
  
  
- Organizational Principles of Managing Change



**APPENDIX A**

**IMPROVING POLICE MANAGEMENT QUERY INSTRUMENT**



Current Status of Management Practices  
in Police Departments

Name and Address of Department: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Telephone Number: (\_\_\_\_) \_\_\_\_ - \_\_\_\_\_

Name of Chief of Police: \_\_\_\_\_

Name and Title/Rank of Respondent, if other than Chief: \_\_\_\_\_  
\_\_\_\_\_

Unit assigned: \_\_\_\_\_

A. Description of Department

Population size for jurisdiction \_\_\_\_\_

Sworn personnel:

Authorized quota \_\_\_\_\_ Actual number \_\_\_\_\_

Civilian personnel:

Authorized quota \_\_\_\_\_ Actual number \_\_\_\_\_

Has the agency had forced layoffs in the past 12 months?

\_\_\_ yes                      \_\_\_ no

IF YES, how many: sworn personnel \_\_\_\_\_ civilian personnel \_\_\_\_\_

B. Patrol Workload Analysis

1. Does your Department conduct a comprehensive patrol workload analysis?

yes  no

IF NO, what factors have prevented your Department from implementing this component (please identify both internal and external factors that influenced this decision)?

---

---

---

Proceed to Section C, Page 3.

IF YES, please provide the following information:

a. The data collected for the analysis is acquired from (check all that apply):

incoming calls for service

dispatch records

patrol officer's activity record

observation

other (Please specify): \_\_\_\_\_

b. Do you have an automated (computerized) data collection, analysis and reporting system?

yes  no

c. Data are collected for the following workload categories: (Check all that apply)

calls for services

crime occurrences

administrative duties

statutory (mandated) duties

personal relief

office-initiated activities

"directed" patrol activities

others (please specify): \_\_\_\_\_

d. Does the total workload and "available time" report include breakdowns on?

temporal basis:             yes             no

geographic basis:         yes             no

e. Is this report used as the basis for allocation of patrol personnel in your jurisdiction?

yes                     no

2. What were the major barriers encountered during the implementation phase of Patrol Workload Analysis (please be specific and identify both internal and external barriers)?

---

---

---

3. Do you consider the patrol workload analysis a successful tool in the responsive assignment of patrol personnel in your Department?

yes                     no

IF YES, please indicate the degree of success (circle the appropriate number on the scale):

Very Successful	Successful	Somewhat Successful	Unsuccessful	Failure
5	4	3	2	1

C. Management of Calls for Service

1. Has your Department developed a program to "prioritize" the incoming "calls for service" or a call screening program?

yes                     no

IF NO, what factors have prevented your Department from implementing this component (please be specific and identify both internal and external factors that influenced this decision)?

---

---

Proceed to Section D, page 5.

IF YES, please provide the following information:

- a. Are there written procedures for "call screening?"  
 yes                       no
- b. Are written procedures used by communications personnel in handling calls for service?  
 yes                       no
- c. Do the patrol dispatch procedures include (check all that apply):
- immediate response
  - delayed response moderate (10 to 15 minute delays)
  - delayed response prolonged (more than 15 minute delay)
  - non-response--appointment made
  - others (please specify): \_\_\_\_\_
- 
- d. In lieu of mobile response, do your "call screening" procedures allow for (check all that apply):
- referral to another agency
  - telephone acceptance of crime report
  - mail-in of crime report
  - walk-in (to police facility) to file crime report
  - others (please specify): \_\_\_\_\_
- 
- e. Has the implementation of the "call screening" program included a community education program?  
 yes                       no

2. What were the major barriers encountered during the implementation phase of Management of Calls for Service (please be specific and identify both internal and external barriers)?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

3. Do you believe that the call screening program has made available "additional" patrol time to respond to other police demands?

\_\_\_\_\_ yes                      \_\_\_\_\_ no

IF YES, please indicate the degree of success (circle the appropriate number on the scale)

Very Successful	Successful	Somewhat Successful	Unsuccessful	Failure
5	4	3	2	1

D. Policy and Program Review

1. Has your Department initiated a process for formal review of current policies and programs critical to decisionmaking regarding the allocation of patrol personnel?

\_\_\_\_\_ yes                      \_\_\_\_\_ no

2. Has a particular unit/person been assigned the responsibility for the conduct of ongoing policy and program review?

\_\_\_\_\_ yes                      \_\_\_\_\_ no

E. Department Management Programs

1. Does your Department have a formal "case screening" procedure which requires sufficient potential for successful solution of a criminal case before assignment to a criminal investigator for follow-up?

\_\_\_\_\_ yes                      \_\_\_\_\_ no

2. Has your Department reviewed its arrest policies in order to prioritize departmental enforcement activities (e.g., non-enforcement or low enforcement of Sabbath violations, public intoxication)?

\_\_\_\_\_ yes                      \_\_\_\_\_ no

3. Does your Department serve summons in lieu of arrest in misdemeanor and felony cases (other than traffic violations)?

\_\_\_\_\_ yes                      \_\_\_\_\_ no

4. Does your Department have an arrest diversion program that includes specific crimes? (e.g., drug violations, family disputes)?

\_\_\_\_\_ yes                      \_\_\_\_\_ no

5. Are paraprofessionals employed by your Department to respond to certain types of calls for service?  
 yes       no
6. Does your Department have a civilian auxilliary program to support patrol personnel activities?  
 yes       no
7. Has your Department established a formal on-going liaison with the local prosecutor's office?  
 yes       no
8. Has your Department implemented other programs not listed above?  
 yes       no

IF YES, please identify and briefly describe:

---



---

F. Resource Allocation

1. Does your Department assign the patrol personnel in accord with a written allocation or distribution formula?  
 yes       no

IF YES, we would appreciate receiving a copy of same.

2. Listed below are 5 "Patrol Distribution Models", please check one that most closely reflects the practices of your Department:

EQUAL STAFFING--three basic shifts require the same number of personnel.

PROPORTIONATE NEED-BASIC CALLS FOR SERVICE--resources should be assigned to meet geographic and temporal demands; identifies C.F.S. workload; distributes C.F.S. on geographic and temporal basis.

PROPORTIONATE NEED-WEIGHTED CALLS FOR SERVICE--resources should be assigned to meet geographic and temporal demands; assigns "weights" to categories of C.F.S. to reflect: seriousness, duration, priorities.



\_\_\_\_ PROPORTIONATE NEED-TIME CONSUMED--resources should be assigned to meet workload requirements both C.F.S. and non-C.F.S.; identifies the actual time spent on C.F.S. as well as all other activities performed.

\_\_\_\_ PROPORTIONATE NEED-MATHEMATICAL OR COMPUTER APPLICATION--resources should be assigned to meet geographic and temporal demands/refinements; adds into the distribution information; call rates per hour; travel distances; travel needs; patrol frequency; cross beat dispatch, etc.

G. Crime Analysis

1. Does your Department have a crime analysis unit/capacity?

\_\_\_\_ yes                      \_\_\_\_ no

IF NO, What factors have prevented your Department from implementing this component (please be specific and identify both internal and external factors that influenced this decision)?

---

---

---

Proceed to Section H, page 8.

IF YES, please provide the following information:

a. Does your crime analysis unit/capacity use computers or micro processors for the following:

input of data:            \_\_\_\_ yes            \_\_\_\_ no

data analysis:           \_\_\_\_ yes            \_\_\_\_ no

generating reports: \_\_\_\_ yes            \_\_\_\_ no

2. What were the major barriers encountered during the implementation phase of Crime Analysis (please be specific and identify both internal and external factors that influenced this decision)?

---

---

---

3. Has the crime analysis capability provided patrol managers with sufficient and timely information to make appropriate decisions in deployment of patrol personnel?

\_\_\_\_\_ yes                      \_\_\_\_\_ no

IF YES, please indicate the degree of effectiveness:

Very Effective	Effective	Somewhat Effective	Uneffective	Very Uneffective
5	4	3	2	1

H. Patrol Management Programs

1. Does your Department require patrol personnel to conduct preliminary or initial investigation for crime complaints received?

\_\_\_\_\_ yes                      \_\_\_\_\_ no

IF NO, proceed to question number 2.

IF YES, please provide the following information:

Patrol personnel are required to:

- a. prepare and complete a basic report form?

\_\_\_\_\_ yes                      \_\_\_\_\_ no

- b. conduct an initial investigation and complete a detailed form including assessment of potential for "solvability"?

\_\_\_\_\_ yes                      \_\_\_\_\_ no

- c. conduct an initial investigation, complete detailed form, and make recommendations for continuation of investigation?

\_\_\_\_\_ yes                      \_\_\_\_\_ no

- d. conduct the complete investigation of selected crimes?

\_\_\_\_\_ yes                      \_\_\_\_\_ no

2. Does your Department require that patrol personnel engage in specialized crime prevention activities (e.g., premises security surveys, block watch programs)?

\_\_\_\_\_ yes                      \_\_\_\_\_ no

3. Does your Department have "crime specific" programs that patrol personnel perform during "available" time (e.g., commercial burglaries, school vandalism)?

\_\_\_\_\_ yes                      \_\_\_\_\_ no

4. Does your Department require patrol personnel to conduct community participation programs (e.g., business premise inspection, operation identification)?

\_\_\_\_\_ yes                      \_\_\_\_\_ no

5. Does your Department use patrol personnel in civilian clothes programs (e.g street anti-crime units, sting operations)?

6. Other types of programs your Department has implemented to direct patrol personnel to respond to identified problems (please specify and briefly describe):

---

---

---

I. Comments and Suggestions:

---

---

---

The program which we are designing will be available for delivery during 1981. There will be neither tuition nor materials charges associated with the training, though each participating department will be responsible for its own travel and per diem costs. Given these conditions would you be willing to send a team of two policymakers from your department to a 2½ day workshop where police management issues will be addressed?

\_\_\_\_\_ yes

\_\_\_\_\_ no

IF NO, why?

---

---

---

On behalf of the Research Utilization Program Team who will be developing the workshop, we want to express our deep appreciation for your effort and willingness to share with us the information concerning your Department.

APPENDIX B

SOME CUTBACK MANAGEMENT TACTICS

"Organizational Decline and Cutback Management,"  
Charles Levine, Public Administration Review, July/August 1978

"Organizational Decline and Cutback Management," Public Administration Review,  
No. 4, July/August 1978, Charles Levine, Symposium Editor. Reprinted by  
permission of publisher.

SOME CUTBACK MANAGEMENT TACTICS

Tactics to Resist Decline

Tactics to Smooth Decline

<p>External Political</p>	<p>(Problem Depletion)</p> <ol style="list-style-type: none"> <li>1. Diversify programs, clients and constituents</li> <li>2. Improve legislative liaison</li> <li>3. Educate the public about the agency's mission</li> <li>4. Mobilize dependent clients</li> <li>5. Become "captured" by a powerful interest group or legislator</li> <li>6. Threaten to cut vital or popular programs</li> <li>7. Cut a visible and widespread service a little to demonstrate client dependence</li> </ol>	<ol style="list-style-type: none"> <li>1. Make peace with competing agencies</li> <li>2. Cut low prestige programs</li> <li>3. Cut programs to politically weak clients</li> <li>4. Sell and lend expertise to other agencies</li> <li>5. Share problems with other agencies</li> </ol>
<p>Economic/ Technical</p>	<p>(Environmental Entropy)</p> <ol style="list-style-type: none"> <li>1. Find a wide and richer revenue base (e.g., metropolitan reorganization)</li> <li>2. Develop incentives to prevent disinvestment</li> <li>3. Seek foundation support</li> <li>4. Lure new public and private sector investment</li> <li>5. Adopt user charges for services where possible</li> </ol>	<ol style="list-style-type: none"> <li>1. Improve targeting on problems</li> <li>2. Plan with preservative objectives</li> <li>3. Cut losses by distinguishing between capital investments and sunk costs</li> <li>4. Yield concessions to taxpayers and employers to retain them</li> </ol>
<p>Internal Political</p>	<p>(Political Vulnerability)</p> <ol style="list-style-type: none"> <li>1. Issue symbolic responses like forming study commissions and task forces</li> <li>2. "Circle the wagons," i.e., develop a siege mentality to retain esprit de corps</li> <li>3. Strengthen expertise</li> </ol>	<ol style="list-style-type: none"> <li>1. Change leadership at each stage in the decline process</li> <li>2. Reorganize at each stage</li> <li>3. Cut programs run by weak subunits</li> <li>4. Shift programs to another agency</li> <li>5. Get temporary exemptions from personnel and budgetary regulations which limit discretion</li> </ol>

Economic/  
Technical

(Organizational Atrophy)

- |  |   |
|--|---|
| <ol style="list-style-type: none"><li>1. Increase hierarchical control</li><li>2. Improve productivity</li><li>3. Experiment with less costly service delivery systems</li><li>4. Automate</li><li>5. Stockpile and ration resources</li></ol> | <ol style="list-style-type: none"><li>1. Renegotiate long term contracts to regain flexibility</li><li>2. Install rational choice techniques like zero-base budgeting and evaluation research</li><li>3. Mortgage the future by deferring maintenance and downscaling personnel quality</li><li>4. Ask employees to make voluntary sacrifices like taking early retirements and deferring raises</li><li>5. Improve forecasting capacity to anticipate further cuts</li><li>6. Reassign surplus facilities to other users</li><li>7. Sell surplus property, lease back when needed</li><li>8. Exploit the exploitable</li></ol> |
|--|---|

DEFINITIONS:

1. Problem Depletion - where a problem has been solved, alleviated, redefined, or terminated after review.
2. Environmental Entropy - capacity of the environment to support the public organization at prevailing levels erodes (e.g., economic decline, shifting market demands, transportation shifts).
3. Political Vulnerability - a high level of fragility and precariousness which limits the capacity to resist budget cuts and demands to contract.
4. Organizational Atrophy - declining performance, caused by a wide range of deficiencies, which can lead to weakening of organizational capability/capacity.

**APPENDIX C**  
**THE ROLES OF A MANAGER**



## THE ROLES OF A MANAGER

This chapter seeks to answer the deceptively simple question, "What do managers do?" This question is posed to managers by their families, by their staff members, by line personnel who aspire to become managers, and even by most managers themselves.

Ask this question of people who have attended a management training course and you are likely to be told that managers plan, organize, coordinate, and control. This answer has been the classic one since it was first prescribed in 1916 in the work of Henri Fayol, the founder of modern administration and management theory.

"Fine," you may respond, "but what do managers really do?" If you choose to probe further for a more specific answer, you may be interested in reviewing an article in the 1969 issue of the Harvard Business Review entitled, "The Management Process in 3-D," which is described as providing "a way to fit together all generally accepted activities of management."<sup>1</sup> Coming one-half century after Fayol, this article ends up telling the reader that managers plan, organize, staff, direct, and control.

In the past 60 years an enormous literature has developed on management. In American public and private organizations, there may be at least four million managers at the second level of supervision alone who aspire to become chief executives. In any month, countless courses, training programs, seminars, workshops, and in-house management development programs are going on. In any day, a manager may be surrounded and supported by a host of staff specialists whose jobs are simply to make their managers more efficient in carrying out their work.

All this and still we do not really know what managers do.

In this chapter we seek to summarize answers to this and other questions about the job of the manager. The text relies heavily on the work of one school of management--the "work-activity" school--and, particularly, one person, Dr. Henry Mintzberg. Mintzberg's<sup>2</sup> work is based on evidence from empirical studies of managers' work, in sharp contrast to the great majority of books and articles on the manager's job that make little reference to systematic evidence. By the use of a methodology that includes extended observations of managers and leaders of organizations, analysis of the working records of presidents of public and private organizations, analysis of the daily work of managers, and structured

---

<sup>1</sup>MacKenzie, R. A., "The Management Process in 3-D," Harvard Business Review, 47, November-December, 1969, pp. 80-87.

<sup>2</sup>Mintzberg, Henry, The Nature of Managerial Work. New York: Harper and Row, 1973.

observations and interviews of chief executives, Mintzberg was able to bring the results of empirical research together for the first time. The convergence of these research findings enabled him and others to develop a new view of the work of the manager and will enable us to answer that fundamental question, "What do managers do?"

The manager's work is analyzed in several dimensions. Section I of this chapter summarizes the findings of the studies of Mintzberg and others about the nature and characteristics of the job of the manager. Section II discusses some of the issues regarding the job of the manager in the public sector compared to the job of the manager in private organizations. Section III summarizes the findings and implications of the roles of a manager in public organizations. Finally, an appendix to this chapter presents a checklist for self-study of your job as a manager.

#### I. THE MANAGER'S JOB: ROLES AND CHARACTERISTICS

What do managers do? An answer has been developed by the "work-activity" school of thought. The organizing concept of the work-activity theory is the notion of the role. A role is defined as an organized set of behaviors belonging to an identifiable office or position. While individual personality may affect how a role is performed, it will not affect the fact that the role is performed. Thus, managers and others play roles that are predetermined, although individuals may interpret them in different ways.

Identification and description of the roles of managers on the job is derived from actual observations by Mintzberg and the documented performance of several hundred managers of both public and private organizations. There is considerable empirical evidence to support the contention that the various identified roles of the job of the manager are common to the work of all managers. The differences that may exist in some managers' work--for example, the managers of public sector organizations--can be described largely as certain roles being highlighted or de-emphasized by these managers. In reviewing the following detailed descriptions of these roles, three points should be borne in mind.

First, each role is observable and can be witnessed. It should also be noted that some activities of a manager may fit into more than one of the identified and described roles.

Second, all of the observed work or activities of managers are accounted for in the role description. There has been a tendency in the literature to exclude certain work that a manager does as inherently nonmanagerial. But if a manager must do certain things, such as preside at a retirement dinner, then we should assume that this is part of the managerial job and seek to understand why the manager does it.

Third, while the roles are described individually, they cannot be isolated; these roles form a gestalt--an integrated whole. One cannot arbitrarily remove one role and expect the other roles to remain intact. For example, a manager who ceases to perform a liaison role may lose access to external information; this loss will lessen his/her performance in the disseminator role, which, in turn, will affect the quality of the decisionmaking role of the manager.

## A. The Roles of the Manager

The position of manager provides the starting point for this analysis. The manager is defined as that person formally in charge of an organizational unit. This formal authority leads to a special position of status in the organization. From this formal authority and status comes what Mintzberg has determined as ten established roles of the manager. Figure I-1 shows the relationship between the authority of the manager and the ten roles of a manager.

### 1. The Interpersonal Roles

#### a. The Manager as Figurehead

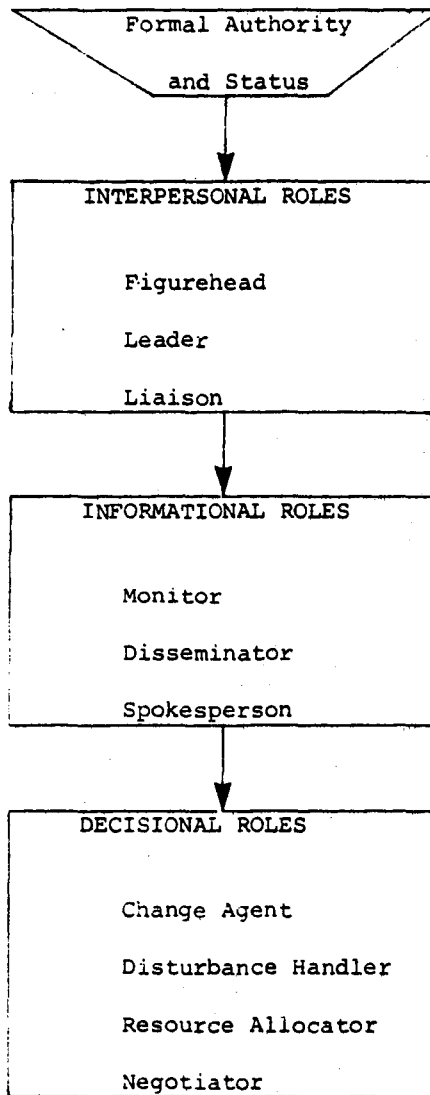
The most basic and most simple of the managerial roles is that of figurehead. Because of his/her formal authority, the manager is a symbol and is obliged to perform a number of symbolic duties. Some are trite; some are inspirational; all involve some form of interpersonal activity; and none require significant information processing or decisionmaking.

#### b. The Manager as Leader

The leader role is clearly among the most significant of all the manager's roles and has received more attention than any other. It has several outstanding characteristics:

- It permeates all management activities. Thus, it would be unwise to isolate certain activities as specifically being leadership activities. For example, each time a manager encourages or criticizes a subordinate, he/she is acting in the capacity of leader, in spite of the fact that such activities may have other purposes, such as transmitting information or making strategic decisions. Virtually everything the manager does is screened by subordinates searching for leadership clues. Anxious subordinates may infer leadership messages (perhaps nonexistent ones) even from the manager's form of greeting.
- Some activities may be concerned primarily with leadership. A special class are those associated with staffing--hiring, training, judging, promoting, rewarding, and dismissing subordinates. Some other leadership activities may be primarily motivational in nature, in which a subordinate may turn to the manager--for advice on a personal problem or for reassurances that his/her work is adequate.

Figure 1-1. The Ten Managerial Roles<sup>3</sup>



---

<sup>3</sup>Ibid.

- In another set of activities, the manager, as leader, probes (one might even say "meddles") into the actions of subordinates. Empirical evidence shows clear indication of this type of activity, even though most of the management literature ignores this activity or does not recognize it as leadership. In "touring" the organization, in reading company magazines, in much of what he/she does on a daily basis, the manager seeks information on his/her organization. When exposed to something he/she doesn't like, the manager often may act--as the leader.

Two additional points should be noted about the leadership role. First, the key purpose of this role is to integrate individual needs and organizational goals. Second, it is in the leader role that managerial power most clearly manifests itself. Formal authority vests the manager with great potential power; leadership activity determines how much of it will be realized.

### c. The Manager as Liaison

While the leader role stresses vertical relationships or authority and power within the organization, the liaison role stresses the significance of horizontal relationships between the manager and numerous individuals and groups outside the organization. The liaison role involves the significant web of external relationships that the manager builds and maintains in a variety of formal and informal ways. These relationships or contacts have been called "exchange" relationships, in which the manager gives something in order to get something in return. For example, managers may join outside boards or organizations, or attend conferences, conventions, seminars, or serve on external committees--all of which provide contacts that will produce information and favors to the manager in return for the manager's investment of time and expertise. The liaison role represents the beginning of a key part of the manager's job--the linking of the environment with the organization.

## 2. The Informational Roles

Mintzberg's second set of managerial activities concern receiving and transmitting information. Much evidence indicates that to his/her subordinates, to the observer, and to the manager himself/herself, the manager clearly occupies the central position in the movement of a certain kind of information within the organization. In effect, the manager occupies a position that can be described as the "densest part of a network" of information flow. He/she is the organization's "nerve center" through which the flow of nonroutine information is transmitted and used. These roles reflect two features of the manager's job--his/her unique access to external information (derived from the liaison role) and his/her all-embracing access to internal information (derived from the leader role). Though the manager may not know everything about a given subordinate activity performed by staff or line employees, he/she is the only one to know a significant amount about every activity, whether staff or line. As a result, many outsiders will turn to the manager when the information they need from his/her organization involves more than one function or when they do not know which specialist in the organization can answer their questions.

Three roles characterize the manager in his/her informational function. In the monitor role, he/she informs himself/herself about the organization and its environment; in the disseminator and spokesperson roles, he/she transmits this information to others.

a. The Manager as Monitor

The manager as monitor is continuously seeking, and being bombarded with, information that enables him/her to understand what is taking place in the organization and its environment. Observations clearly indicate that the manager receives a wide variety of information from a wide variety of sources both inside and outside the organization. Usually, such information falls into five categories:

- Internal Operations--Information on the progress of operations in the organization that comes in many forms: standard reports, touring the organization, etc.
- External Events--Information about clients, personal contacts, associates, political events and moves, and developments in new technology. Sources may be as diverse as personal contacts who keep him/her informed on events and gossip of the business; subordinates who act as filters for information; and periodicals and newsletters.
- Analyses--Analyses and reports on various issues, solicited and unsolicited, from subordinates, trade organizations, consultants, news clippings, studies. Some are requested and initiated by the manager; others derive from the basic flow of nonroutine information that crosses the manager's desk by mail or by memo.
- Ideas and Trends--A number of means are used by the manager to maintain and increase understanding of the technical and conceptual aspects of the job. Conferences, letters from associates, professional organization reports, phone conversations with colleagues in other organizations, and contacts with subordinates or specialists within the organization form the conceptual reference base from which new understanding is developed.
- Pressures--The manager's channels of information also bring him/her data in the form of pressures of various kinds. Subordinates attempt to influence decisions by providing information. Outsiders may make a variety of demands based on their access to and use of information.

It is clear that the manager's advantage lies not in the vast amount of documented information available to him/her, but in the current, non-documented information transmitted largely by informal means. As Richard Neustadt pointed out in his study of presidential leadership, "...It is not information of a general sort that helps a President see personal stakes.... Rather, it is the odds and ends of tangible detail that, pieced together in his mind, illuminate the underside of issues put before him.... To help himself, he must reach out as

widely as he can for every scrap of fact, opinion, gossip, bearing on his interests and relationships as President...."<sup>4</sup>

What does the manager do with his/her information? Clearly, he/she simply transfers a good part of it. The means of transferring information inside the organization are discussed in the disseminator role of the manager, while the means of transferring information outside the organization are discussed in the spokesperson role. Figure I-2 shows the manager's role in the processing of information and makes clear that it is the informational roles that tie all managerial work together--linking status and the interpersonal roles with the decisional roles.

b. The Manager as Disseminator

His/her special access to information allows the manager to play the role of disseminator, sending external information into the organization and internal information from one subordinate to another. The information is usually of two distinguishable types: factual and value.

Factual information can be tested as to its validity; on some recognized scale it is either correct or incorrect. The manager receives much factual information simply because of his/her formal authority. A good part of this information is quickly forwarded to the appropriate subordinates.

Value information deals with preferences--someone's arbitrary belief of what ought to be. A statement of values is neither correct nor incorrect; it often reflects the needs of those who wish to exercise power over a decisionmaking situation. A significant function of the disseminator role is to transmit value statements into the organization to guide subordinates in making decisions.

c. The Manager as Spokesperson

The spokesperson role is performed when the manager transmits information of his/her organization's environment. As the formal authority, the manager is called upon by the employees of the organization to speak on behalf of the organization; as nerve center, he/she has the information to do so effectively.

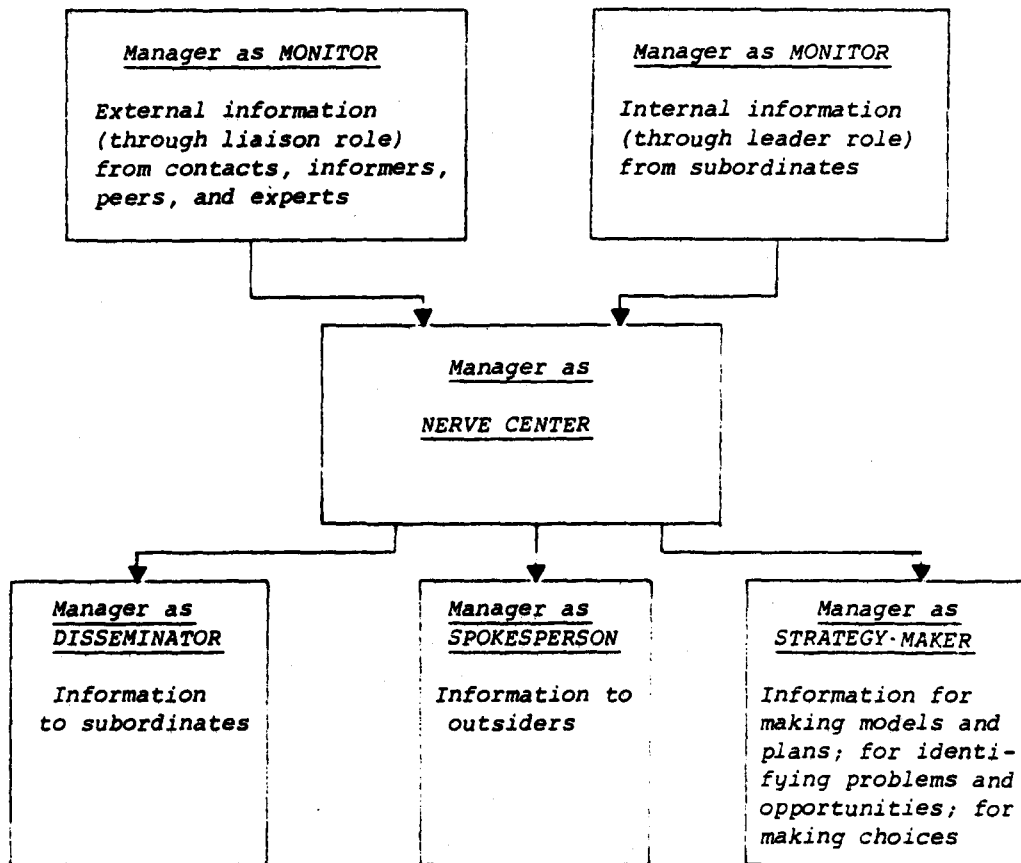
The spokesperson role requires that the manager keep two groups informed. The first is the organization's set of key influencers--the board of directors, the policymaking body, or, in the case of a middle manager, the boss. A second group to be informed is the organization's public, which may include clients, peers, consumers, professional organizations, government agencies, the press, citizens, and interest groups.

The manager must keep both groups informed about the organization's plans, policies, and results. The manager may maintain and even enhance his/her liaison network by sharing information with his/her contacts. To perform these spokesperson activities effectively, the manager must transmit

---

<sup>4</sup>Neustadt, Richard, Presidential Power: The Politics of Leadership. New York: Wiley, 1960, p. 157.

Figure 1-2. The Manager as an Information Processing "System"





information that is current, accurate, and expert. In effect, because of his/her authority position and the resulting "nerve center" information the manager has developed, he/she is vested with considerable "expert power"--special knowledge about the profession, industry, or interest group of which the organization is a part--and is called on to give expert advice both to outsiders and to those within the organization.

### 3. The Decisional Roles

A most crucial part of a manager's work, and the part that justifies his/her authority and his/her access to information, is the decisional roles. These roles involve the manager in the strategy-making process in the organization, the process by which significant organizational decisions are made and interrelated.

One fact is unquestionably clear from the empirical studies of managers: the manager must take full charge of the organization's strategy-making system and is substantially involved in every significant decision made by the organization. This is so because: (1) The manager, as formal authority, is the only one allowed to commit the organization to new or important courses of action; (2) the manager, as nerve center, is the only person in the organization who can best ensure that significant decisions reflect current knowledge and organizational values; and (3) strategic decisions can most easily be integrated into the complex organization by having one person control all of them.

In strategic decisionmaking, there are generally three kinds of activities--an intelligence phase, a design phase, and a choice phase. The intelligence phase is the initiating activity--looking for and selecting situations that require decisions. The design phase is the heart of the decisionmaking analysis--seeking alternatives and evaluating them. The choice phase is the process of choosing or accepting one alternative from among those available.

Four decisional roles are described as part of the job of the manager: the change agent role, in which the manager acts at the proactive, innovative end of the continuum of strategic decisionmaking (includes both intelligence and design phases); the disturbance handler role, which includes the same phases at the reactive end of the continuum of strategic decisionmaking; the resource-allocator role, which deals primarily with choice-making activities; and the negotiator role, in which the manager engages in a distinct type of decisionmaking activity--negotiations with other organizations or groups.

#### a. The Manager as Change Agent

In the change agent role, the manager acts as the initiator and designer of much of the controlled change in his/her organization. Controlled change implies all those activities where the manager makes changes of his/her own will by exploiting opportunities and solving nonpressing problems. The change agent work begins with "scanning" activities. As part of the monitor role, the manager spends much time scanning the organization, looking for opportunities and situations that may be considered problems or areas for possible improvement.

In such a search for opportunities and problems, the manager depends on tangible information in the form of specific events and ad hoc data, rather than on the gradual trends displayed in routine reports. Having discovered either an opportunity or problem, the manager may decide that the organization should take action to improve the situation. At this point the design phase of decisionmaking begins and the intelligence or scanning phase diminishes. What is noteworthy about this type of "improvement decision" is that it is not usually an immediate, discrete act of deciding. Rather, as a decision, it emerges as the consequence of smaller decisions and activities happening over a period of time. The key features of most "improvement decisions" are the sequencing of steps leading to the actual decision to act and the prolongation of these steps over time.

Assuming that over a period of time the manager has finally decided, "We've gone as far as we can go in our discussions on the problem (or opportunity)," subsequent activities are then designed to improve a particular organizational situation. The manager may choose to involve himself/herself in the design phase and the choice phase of this improvement project on one of three levels of decisionmaking:

- Delegation--For the least important improvement projects, the manager may choose to delegate all responsibility for the design and choice phases of the project. He/she may become involved only to the extent of choosing the subordinate who will deal with it, while retaining the right to replace the subordinate.
- Authorization--Because some improvement projects may require closer control, the manager may choose to delegate responsibility for the design phase, while retaining responsibility for the choice-making phase. By operating this way, the manager retains ultimate control over choice implementation actions without having his/her time consumed in design work.
- Supervision--Because the improvement project may involve major organizational resource commitments or sensitive value issues, or because powerful organizational groups are to be affected, the manager may choose to retain responsibility for and supervision of the design phase and, of course, the choice phase.

Most managers who were studied seem to maintain supervision at any given time of a large number of "improvement projects" in widely differing stages of development.

In summary, in the change agent role the manager functions as an initiator and as a designer of important controlled change in the organization. These changes take place--overtime--in the form of "improvement projects," many of which are supervised directly by the manager and all of which come under his/her control in one way or another.

b. The Manager as Disturbance Handler

The change agent role of the manager emphasizes voluntary action by the manager to bring about controlled organizational change. In the disturbance handler role, the manager deals with involuntary situations and changes that

are partially beyond his/her control. Here, the manager acts out of necessity, because the pressures brought to bear on the organization are too great to ignore. Types of disturbances are many.

Studies of managers acting in this role suggest that the nature and characteristics of disturbances can be described as follows:

1) Nature:

- Conflicts between subordinates over resource demands, personality clashes, or overlap of specialties
- Conflicts or difficulties between one organization and another
- Losses (or the threat of losses) of resources to the organization.

2) Characteristics:

- Disturbances often come up suddenly and are most frequently unpredictable.
- Generally, disturbances are seldom indicated in the routine flow of information--in reports and so on. Rather, they are defined by ad hoc oral reports, usually in the form of "instant communication."
- Disturbance handling usually takes priority over most other kinds of managerial activity.
- Managers have more influence during periods of disturbance than at other times.

It seems evident that every manager must spend a good part of his/her time reacting very quickly to disturbance situations. These arise not only because poor managers ignore situations until they reach crisis proportions, but also because good managers cannot anticipate the consequences of all actions taken by their organizations.

c. The Manager as Resource Allocator

Resource allocation is the heart of the organization's strategy-making system. It is making choices involving significant organizational resources that determines the success of the strategy. Among these resources, in the broadest context, are manpower, money, time, material, equipment, and reputation. Each of these can be allocated positively or negatively--that is, decisions can be taken to use or to preserve these resources.

How should the manager allocate resources? In the studies of managers' work, there was evidence that resource allocation comprises three essential elements--scheduling time, programming work, and authorizing decisions made by others in the organization.

- Scheduling of the manager's time--While it may seem strange to begin a discussion of the resource allocator role with a review of how the manager decides to schedule his/her own time, it should be obvious that throughout each working day, the manager is faced with decisions that have an effect well beyond the manager and his/her own schedule. In scheduling his/her own time, the manager is in fact determining the interests of the organization and setting its priorities for action. In announcing his/her own schedule, the manager determines that certain issues are important to the organization and that others are inconsequential, because they receive little or none of his/her time. Those issues that receive low priority in the schedule of the manager's time do not reach the formal authority centers of the organization and are, in effect, blocked for want of resources. It is little wonder, then, that subordinates react strongly to the priorities set implicitly by the manager's scheduling and use of his/her time. The results of personal scheduling decisions by the manager indicate how powerful the manager of an organization really is and how much influence he/she can exert in simple ways over the diverse affairs of the organization. They also indicate the enormous "opportunity costs" (positive or negative) of the manager's time to the organization.
- Programming work-- The manager's role is to establish the work system of the organization: what is to be done, who will do it, what structure will be operative. Such decisions are basic resource allocation choices; many of them are made when the organization is new or when a new part or process is added to the existing organization. However, the work system also requires continual readjustments as the organization continues to operate. In the informational roles of monitor and disseminator as well as in the change agent role, the manager acquires the needed information to design and construct such adjustment or improvement programs. In his/her programming work as a resource allocator, the manager, by deciding what is to be done, in effect programs the work of his/her subordinates.
- Authorizing actions--The manager retains continuing control over the allocation of resources--particularly in the programming of work--by insisting that he/she authorize all significant decisions before they are implemented. By retaining--and not delegating--such power, the manager ensures that he/she can interrelate decisions. To fragment this power is to invite discontinuous decisionmaking and a disjointed strategy.

Given the fact that much of the resource allocation role of the manager is involved with many such informal, ad-hoc, ill-defined, and relatively unspecified or unknown authorizing requests, which are usually presented individually (rather than in "batches," as in a formal budget review session), what are the factors that enter into the manager's choice-making behavior?

- The manager must believe that the organization's resources will not be overextended.
- The manager must consider whether a decision on one request is consistent with other decisions.

- The manager must somehow be able to test the feasibility of the request.
- By authorizing too quickly, the manager may be denying himself/herself important information.
- By delaying the request, the manager may be losing an opportunity or confusing subordinates, who may not know whether to try again or forget the request.
- By approving, rather than supervising, these requests--as discussed in the change agent role--the manager suggests with these types of decisions that he/she is not prepared to spend much time on them; by making a decision "with the stroke of a pen," he/she may be discouraging a subordinate who may have taken months to develop such a proposal and request.

d. The Manager as Negotiator

The final role of the manager is that of participant in negotiations. From time to time, the organization finds itself in major, nonroutine negotiations with other organizations or individuals. Some management theorists have argued that the manager's participation in negotiations--even with labor unions--is nonmanagerial and unnecessary. However, an examination of the work of managers and, particularly, an analysis of this work in terms of the roles of the manager argue convincingly that the negotiator role is a vital part of the manager's job. He/she participates because as figurehead his/her presence adds credibility and authority to the proceedings; as spokesperson he/she presents the organization's information and value system to outsiders. But, most important, as resource allocator, the manager has the authority to commit organizational resources. Negotiation is resource trading in real time. Whether the resource to be negotiated is money, time, manpower, materials, or reputation, such negotiation or trading requires the presence of someone with authority to commit the quantity of resources at stake, and to do it quickly. Who but the manager has this authority and knowledge and these decisionmaking capabilities?

In summary, the decisional roles of the manager are those in which the real power of the manager is exercised: power over strategy-making in the organization, power expressed by his/her ability to initiate and supervise improvement projects, power through his/her control over the allocation of organizational resources, and power through his/her supervision of all major negotiations.

Figure I-3 summarizes the answer of Mintzberg and others to the question: What do managers do? These summary findings identify and describe the roles and present identifiable activities performed by managers in their jobs.

Figure 1-3.

SUMMARY OF TEN MANAGERIAL ROLES

<u>Role</u>	<u>Description</u>	<u>Identifiable Activities from Study of Chief Executives</u>
<u>Interpersonal</u>		
Figurehead	Symbolic head; obliged to perform a number of routine duties of a legal or social nature	Ceremonies, status requests, solicitations
Leader	Responsible for the motivation and activation of subordinates; responsible for staffing, training, and associated duties	Virtually all managerial activities involving subordinates
Liaison	Maintains self-developed network of outside contacts and informers who provide favors and information	Acknowledgments of mail and phone calls; external board work; other activities involving outsiders
<u>Informational</u>		
Monitor	Seeks and receives wide variety of special information (much of it current) to develop thorough understanding of organization and environment; emerges as nerve center of internal and external information of the organization	Handling all mail and contacts categorized as concerned primarily with receiving information (for example, periodical news, observational tours)
Disseminator	Transmits information received from outsiders or from other subordinates to members of the organization--some information factual, some involving interpretation and integration of diverse value positions of organizational influencers	Forwarding mail into organization for informational purposes, making oral contacts involving information flow to subordinates (such as review sessions, instant communication flows)
Spokesperson	Transmits information to outsiders on organization's plans, policies, actions, results, etc.; serves as expert on organization's industry	Board meetings; handling mail and contacts involving transmission of information to outsiders

Figure 1-3, continued...

Role	Description	Identifiable Activities from Study of Chief Executives
<hr/> Decisional <hr/>		
Change Agent	Searches organization and its environment for opportunities and initiates "improvement projects" to bring about change; supervises design of certain projects as well	Strategy and review sessions involving initiation or design of improvement projects
Disturbance Handler	Responsible for corrective action when organization faces important, unexpected disturbances	Strategy and review sessions involving disturbances and crises
Resource Allocator	Responsible for the allocation of organizational resources of all kinds--in effect, the making or approval of all significant organizational decisions	Scheduling; requests for authorization; any activity involving budgeting and the programming of subordinates' work
Negotiator	Responsible for representing the organization at major negotiations	Negotiation

## II. PUBLIC ORGANIZATION MANAGERS

In general, the public and private manager perform similar roles, but there are a few important aspects of the job of the public manager that set it apart from management in the private sector. Though these differences do not directly change any of the roles of the manager, they do affect these roles and make the job of the public manager relatively more complex.

Generally, these unique characteristics of public management fall into three principal categories: external factors that affect the entire nature and life of the public organization; internal factors that affect the managerial procedures of the public organization; and internal-external transaction factors that affect the regular daily operations of the public organization.

Each of these factors is analyzed below and statements are offered describing the various impacts on the organization of the factors. Finally, a series of implications for the manager's role in public organizations is listed.

When one matches these implications to the ten managerial roles described in Section I, one discovers that the differences between managers' jobs in public and private organizations are usually a matter of the greater degree or intensity with which some of these roles are exercised by public organization managers. Fundamentally, however, there is very little natural difference in managers' jobs between the public and private sectors.

A. External Factors that Affect the Nature of Public Organizations

1. Public organizations rely on annual guaranteed appropriations of funds.

There is no marketplace in which the public organization can test its effectiveness and efficiency on the basis of how the "market" responds. The market for public organizations is noncompetitive and is not based on supply and demand. Thus, incentives to the organizations derived from relatively automatic penalties or rewards imposed by a market do not occur in public organizations.

The result is that compared to private organizations, public organizations have:

- Less knowledge of client or consumer preferences;
- Less knowledge of performance indicators and information about how well they are doing;
- Less knowledge about how to match their "supplies" to "demands;" and
- Fewer incentives toward cost reduction, operating efficiency, and effective performance.

2. Public organizations are more formally constrained by laws, courts, legislatures, and hierarchy.

The impact of external formal forces on these organizations is such that there are:

- More constraints on spheres of operations (jurisdictions) and procedures, with the result that there is less autonomy for the manager in making choices about these matters;
- More external sources of formal influence; and
- More and greater fragmentation of these sources and influence.

3. External political influences impose informal constraints or challenges on public organizations.

The impact of informal political influence is such that, compared to private organizations:



- There is greater diversity and intensity of external influences on decisions;
- Greater attention is given to public opinion and interest group reactions, and more organizational energy is spent on bargaining and negotiations; and
- There is a greater need on the part of the public organization to seek support from "constituents"--citizens, client groups, sympathetic formal authorities, etc.

B. Internal Factors that Affect the Procedures of Public Organizations

1. Public organizations are characterized by more complex goals and objectives, which make their decision criteria and evaluation processes more complex.

The manager must deal with a greater number and diversity of objectives and criteria. The vagueness and intangibility of most objectives and criteria create conflict for the organization. The greater tendency is for the public manager to "trade off" between conflicting goals, objectives, and performance criteria.

2. The authority of the public manager may be more constrained than that of the private manager.
  - Authority over subordinates and lower staff levels is more fragmented due to merit or civil service system constraints and because subordinates can bypass the manager and appeal to alternative authorities.
  - Managers have a greater reluctance to delegate more levels of review; they make greater use of formal regulations, due to difficulties in supervision resulting from the vagueness of objectives or the intangibility of criteria discussed in No. 1 above.
3. Incentives and incentive structures are different.
  - Managers have greater difficulty in devising incentives for effective and efficient performance.
  - Some studies indicate that many public employees place a lower value on monetary incentives and, where there are unions, emphasize bargaining for nonmonetary incentives, such as fringe benefits, access to policymaking, job security, etc.
4. Personal characteristics of public employees seem to be different.
  - Individual empirical studies indicate that public organization employees manifest lower work satisfaction and lower organizational commitment.
  - Most managers in public organizations show a higher need for achievement and dominance, though these findings may be questionable since most managers of any organization manifest these traits.

5. Organizational performance is relatively less "activist" in most public organizations.
    - Because of both external and internal factors, public organizations show greater caution and rigidity and less innovation. Moreover, frequent turnover of top management due to elections and political appointments results in greater disruption of implementation of plans.
- C. External-Internal Transactions that Affect the Operations of Public Organizations
1. Many public "government" activities are monopolistic and coercive or regulatory in nature.
    - Participation in financing of public services is unavoidable or mandatory for the "consumer," thus creating both interest and resentment. Consumers of public services must pay taxes.
    - Participation in the consumption of services will be unavoidable, since there will usually be no other service agency available.
    - Regulation of individuals or institutions may be perceived as a common good--so long as it is done to someone else.
  2. Public organization activities have broad impact.
    - "Consumers" or "politicians" who finance, use, and influence activities express concern about "the public interest," "law and order," and "the public good"--all of which are undefined, of wide scope, and highly symbolic. The result is that the actions of public administrators are often invested with great symbolic significance.
  3. Scrutiny and public integrity are more highly valued in public organizations and reflect unique public expectations, compared to private organizations.
    - Public officials are under greater scrutiny by citizens, groups, the media, and higher authorities.
    - There is a greater public expectation that officials act with fairness, responsiveness, accountability, and honesty.

If one were to characterize the relative importance of public organization managerial roles in terms of the intensity of effort or energy required, one could conclude that the interpersonal roles of figurehead, leader, and liaison seem to be predominant. However, the public manager cannot lessen his/her efforts in the other roles. All ten roles form a basic, integrated whole or gestalt; no one role can be isolated from the others because all are interdependent. Even where the interpersonal roles of the public manager seem to be predominant, many of the activities performed in these interpersonal roles require the exercise of the other informational and decisional roles.

The net effect of the heightened emphasis on some of the roles of the public manager may be that extra pressures are placed on him/her to share information and, if information can be shared, to share the job. This may explain the proliferation of various deputies, assistant or associate directors, or managers in many public organizations. Yet even in these instances, the unique authority and access to information that the manager has invests him/her alone with the ability and responsibility to control the strategic decisionmaking roles of the job.

### III. SUMMARY

The "work-activity" school of management analysis represented by Mintzberg and others has been able to develop a detailed view of the work of the manager for the first time and has reached some major conclusions and implications about the job of manager.

#### A. Conclusions

1. Managers' jobs are remarkably alike. Most of the work of managers can be described in terms of ten basic roles and six sets of characteristics.
2. Differences can be described largely in terms of these roles and characteristics. Some types of managerial work or a specific manager's job may give more attention to certain roles or highlight or de-emphasize various characteristics of the job.
3. As commonly thought, much of the manager's work is challenging and unprogrammed. But every manager has his/her share of regular, ordinary duties to perform, especially in moving information and maintaining a status system. Almost all of the activities managers engage in ultimately relate back to their roles as managers.
4. The manager is both a generalist and a specialist. In his/her own organization he/she is a generalist--as the focal point or nerve center for moving information and in handling disturbances. But as a manager, he/she is a specialist, and the job involves specific roles and skills. Unfortunately, to date we know little about these skills or how to teach or transmit them systematically.
5. Much of the manager's power derives from information. Unfortunately, he/she receives much information orally, often lacks effective means to disseminate it to others, has difficulty in delegating responsibility for decisionmaking, and must therefore take full charge of the organization's strategy-making.
6. The principal hazard of the job is superficiality. The job is open-ended, and because he/she has responsibility for information processing and strategy-making, the manager is induced by the job itself to take on a heavy load of work and to do much of it superficially. The work pace is unrelenting and characterized by brevity, variety, and fragmentation.
7. Managers work with oral information and intuitive processes. The management "scientist" has had almost no influence on how the manager works.

8. The manager is in a kind of vicious circle. The job pressures force him/her to adopt work characteristics that make it difficult for him/her to receive help from the management scientist, which leads to aggravation of the negative characteristics and increased work pressures.
9. The management scientist can help break this circle by providing some help for the manager in information processing and strategy-making. However, to do so, the management scientist must devise a way of getting access to the manager's oral data base and must understand the real work and activities of the manager.
10. Managerial work is far more complex than a reading of the literature or attendance at management development seminars would suggest. There are no simple prescriptions, and there is a need to study it further if improvements are to occur.

#### B. Implications

Managing is an art, not a science. Since most of the methods managers use are not properly understood, they have not been analyzed in any formal sense and are thus not yet capable of being taught. Management training has done little to supplement the set of innate skills that managers are required to exercise.

Managers can partly overcome this lack of learning opportunities through self-study and by making changes in the way they manage. By self-study, we mean that managers should study their own particular jobs. To stimulate managers to analyze their own work, the Appendix to this chapter presents a checklist of 15 groups of guideline questions developed by Dr. Mintzberg. The checklist is derived from empirical observations of managers and is keyed to the roles and characteristics of the manager's job.

The following list of 10 ideas may be used as concepts around which the results of the use of the checklist may be organized in the formation of a "plan" to modify some aspects of your job as a manager.

1. Share information--By status and roles, the manager is exposed to a significant amount of "privileged" information. Much of this information is oral and memory-based. Conscious attention should be given to disseminating this information.
2. Deal consciously with superficiality--The manager's work and time are disjointed and fragmented; activities are varied and brief, with most decisions being taken incrementally. A balance must be found between concentration on issues and marginal involvement. There will be dilemmas of delegation.
3. If information can be shared, share the job also--A way to overcome heavy managerial workload is to share the job. A dyad or triad can be formed called the "management team" or "chief executive office." A disadvantage is that information-sharing by the manager with this team will require considerable time. However, when job-sharing works, it is probably the best answer to the pressures of work.

4. Make the most of obligations--Fulfilling obligations, such as by meeting callers, attending to ceremonial duties, and handling some crises, may be an opportunity to accomplish many of the other roles of the manager.
5. Free oneself from obligations--Free time is made, not found, and the manager must force it into his/her schedule. However, the manager is not a reflective "planner" in the classic sense. His/her milieu is stimulus-response. Still, he/she can make some choices that could relieve him/her of long-term obligations, or he/she can authorize others to meet some of these obligations.
6. Emphasize the managerial role that fits the situation--Most managers must give special attention to certain roles in certain situations. It is almost as if the manager must subscribe to a "contingency" style of management. There cannot be one style or role that fits all situations that arise in any given day.
7. See a comprehensive picture in terms of its details--The manager puts together a jigsaw puzzle, and though he/she is always working with small pieces, he/she cannot forget the whole picture. Thus, effective managing often means building channels of information that bring to him/her tangible, specific information. He/she must often step back and take advantage of those mental models that can assist in determining decisions to be made.
8. Recognize one's own influence in the organization--While obvious, this idea is often actually overlooked during daily work. Subordinates are always sensitive to and on the lookout for clues to what the manager is thinking, needing, wanting. Often such clues are misinterpreted.
9. Deal with growing coalitions--Any organization exists because certain "influencers" created it and are prepared to support it. In the past, it was easy for managers to handle simple coalitions of "influencers" and organizations. Today, there are no simple coalitions, but many complex ones composed of people inside and outside the organization. The trend is that these new types of coalitions will continue and grow larger and more influential.
10. Learn to use the management scientist--As organizations become more complex, they turn to the use of outside experts and consultants. Each has to learn to use the other effectively. Managers have information and authority; consultants may have the time, technology, and analytic skills. A marriage between these two can benefit the organization--but remember that marriages are usually preceded by a period of courtship in which each partner gets to know the other.

A CHECKLIST FOR SELF-STUDY  
OF THE JOB OF THE MANAGER

1. Where do I get my information and how? Can I make greater use of my contacts to get information? Can other people do some of my scanning for me? In what areas is my knowledge weakest, and how can I get others to provide me with the information I need? Do I have powerful enough mental models of those things in the organization and its environment that I must understand? How can I develop more effective models?
2. What information do I disseminate into my organization? How important is it that my subordinates get my information? Do I keep too much information to myself because dissemination of it is time-consuming or inconvenient? How can I get more information to others so they can make better decisions?
3. Do I balance information-collecting with action-taking? Do I tend to act prematurely--before enough information is in? Or do I wait so long for all the information that opportunities pass me by and I become a bottleneck in my organization?
4. What rate of change am I asking my organization to tolerate? Is this change balanced so that our operations are neither excessively static nor overly disrupted? Have we sufficiently analyzed the impact of this change on the future of our organization?
5. Am I sufficiently well informed to pass judgment on the proposals made by my subordinates? Is it possible to leave final authorization for some of them with subordinates? Do we have problems of coordination because subordinates in fact now make too many of these decisions independently?
6. What is my vision of the proper direction of this organization? Are these "plans" primarily in my own mind in loose form? Should they be made explicit in order to better guide the decisions of others in the organization? Or do I need flexibility to change them at will?
7. Are we experiencing too many disturbances in this organization? Would there be fewer if we slowed down the rate of change? Do disturbances reflect a delayed reaction to problems? Do we experience infrequent disturbances because we are stagnant? How do I deal with disturbances? Can we anticipate some and develop contingency plans for them?
8. What kind of a leader am I? How do subordinates react to my managerial style? How well do I understand their work? Am I sufficiently sensitive to their reactions to my actions? Do I find an appropriate balance between encouragement and pressure? Do I stifle their initiative?
9. What kinds of external relationships do I maintain and how? Are there certain types of people that I should get to know better? Do I spend too much of my time maintaining these relationships?

10. Is there any system to my time scheduling, or am I just reacting to the pressures of the moment? Do I find the appropriate mix of activities, or do I tend to concentrate on one particular function or one type of problem just because I find it interesting? Am I more efficient with particular kinds of work at special times of the day or week, and does my schedule reflect this? Can someone else (in addition to my secretary) take responsibility for much of my scheduling and do it more systematically?
11. Do I overwork? What effect does my workload have on my efficiency? Should I force myself to take breaks or to reduce the pace of my activity?
12. Am I too superficial in what I do? Can I really shift moods as quickly and frequently as my work patterns require? Should I attempt to decrease the amount of fragmentation and interruption in my work?
13. Do I orient myself too much toward current, tangible activities? Am I a slave to the action and excitement of my work, so that I am no longer able to concentrate on issues? Do key problems receive the attention they deserve? Should I spend more time reading and probing deeply into certain issues? Could I be more reflective?
14. Do I use the different media appropriately? Do I know how to make the most of written communication? Do I rely excessively on face-to-face communication, thereby putting all but a few of my subordinates at an informational disadvantage? Do I schedule enough of my meetings on a regular basis? Do I spend enough time touring my organization to observe activity at firsthand? Am I too detached from the heart of our activities, seeing things only in an abstract way?
15. How do I blend my rights and duties? Do my obligations consume all my time? How can I free myself sufficiently from obligations to ensure that I am taking this organization where I want it to go? How can I turn my obligations to my advantage?

Some of these questions may sound rhetorical. None are meant to be. There are no simple solutions to the complex problems of managerial work. If the manager is to improve his/her work, he/she must provide his/her own answers. For this reason it is crucial that the manager develop a better understanding of his/her own work.

## APPENDIX D

### A GUIDE FOR PROGRAM IMPLEMENTATION PLANNING

The attached Guide for Program Implementation was prepared as an internal working document for use by the Kansas City, Missouri Police Department in its planning and development of its major Directed Patrol Program. It has been included in this Manual with the permission of the KCPD.



## A GUIDE FOR PROGRAM IMPLEMENTATION PLANNING

### I. PROGRAM POLICY AND SPECIFICATION

#### A. Operational Definitions and Objectives

1. What is the operational definition of this program activity?
2. What is(are) the objective(s) of this program activity?

#### B. Boundary Conditions

1. In what area of the Northeast Patrol Division will the proposed program be implemented?
2. What specific segments of the area population will be involved?
3. How will each population segment be involved?
4. When will the involvement of each population segment begin and end?
5. Who will be responsible for involving each segment?
6. What specific area individuals will be involved?
7. How will each individual be involved?
8. When will the involvement of each individual begin and end?
9. Who will be responsible for involving each individual?
10. What groups will be involved?
11. How will each group be involved?
12. When will the involvement of each group begin and end?
13. Who will be responsible for the involvement of each group?
14. What difficulties with boundary conditions may develop?
15. How will each difficulty develop?
16. When will each difficulty develop?
17. Who will be responsible for resolution of each difficulty?
18. What resources will be necessary to aid resolution of each difficulty?
19. How will each resource aid resolution of each difficulty?
20. When will each resource be implemented to aid resolution of each difficulty?
21. Who will be responsible for implementing each resource to aid resolution of each difficulty?

#### C. Division of Functions

1. What distinct activities or functions are involved in program implementation?
2. What pairing of elements and functions are appropriate for implementation of the program?
3. How will each element accomplish each program activity/function?
4. When will each element accomplish each program activity/function?
5. Who within each element will be responsible for accomplishing each program activity/function?
6. What division of functions changes will occur within the various phases of the program?
7. How will the changes be accomplished within each phase?
8. When will the changes be accomplished for each phase?
9. Who will be responsible for insuring the accomplishment of each change?

D. Administrative Functions

Policy

1. What existing policy decisions affect program implementation?
2. What policy decisions are necessary for program implementation?
3. How will each policy decision be implemented?
4. When will each policy decision be implemented?
5. Who will be responsible for creation and implementation of each policy decision necessary?

Procedures

1. What existing procedures affect program implementation?
2. What procedures are necessary for program implementation?
3. How will each procedure be implemented?
4. When will each procedure be implemented?
5. Who will be responsible for establishing, implementing and assessing the operational appropriateness of the procedures?

Guidelines

1. What existing guidelines affect program implementation?
2. What guidelines are necessary for program implementation?
3. How will each guideline be implemented?
4. When will each guideline be implemented?
5. Who will be responsible for establishing, implementing and assessing the operational appropriateness of the guidelines?

E. Law

1. What existing laws affect program implementation?
2. What legal restrictions currently exist with respect to project implementation?
3. How will each legal restriction affect the program?
4. When will each legal restriction affect the program?
5. What legal restrictions can be resolved?
6. How will each legal restriction be resolved?
7. When will each legal restriction be resolved?
8. Who will be responsible for resolution of each legal restriction?
9. What additional authority will be necessary for program implementation.
10. How will the additional authority be acquired?
11. When will the additional authority be required?
12. Who will be responsible for obtaining the additional authority?

II. PROGRAM ADMINISTRATION AND MANAGEMENT

A. Decision Making

1. What elements make decisions that will affect program implementation?
2. What decisions are made by each element that will affect program implementation?
3. How does each element make each decision?
4. When does each element make each decision?
5. Who in each element is responsible for making each decision?

6. What sources of information are used by each element to make each decision?
7. What decisions are necessary for program implementation?
8. What elements make the decisions necessary for program implementation?
9. How will each element make each necessary decision?
10. When will each element make each necessary decision?
11. Who within each element will be responsible for making each decision?
12. What sources of information are necessary for making each decision?
13. What decisions will be communicated to interested elements?
14. What interested elements will receive each decision?
15. How will each decision be communicated to each element?
16. When will each element receive each decision?
17. Who will be responsible for communicating each decision to each element?

B. Management Styles

1. What management style is necessary for program implementation?
2. What difficulties will be encountered during program implementation that are due to the present management style?
3. How will each difficulty be resolved?
4. When will each difficulty be resolved?
5. Who will be responsible for resolution of each difficulty?

C. Delegation of Authority

1. What delegation of authority will be necessary for program implementation?
2. How will each delegation of authority be implemented?
3. When will each delegation of authority occur?
4. Who will be responsible for insuring each delegation of authority is authorized and implemented appropriately?

D. Informal Organization

1. What existing informal groups will affect program implementation?
2. How can each group facilitate the program?
3. How can each group adversely affect the program?
4. How should each group be dealt with?
5. Who will be responsible for dealing with each group?
6. What new groups may be formed as a result of program implementation?
7. How will each new group facilitate the program?
8. How will each new group adversely affect the program?
9. How will each new group be dealt with?
10. When will each new group be dealt with?
11. Who will be responsible for dealing with each group?

E. Communication

1. What informational items need to be communicated for program implementation?
2. What items will each element need for program implementation?
3. How will each informational item be communicated to each element?
4. When will each informational item be communicated for each element?
5. Who will be responsible for communicating and receiving each informational item for each element?

6. What restrictions to communication will be necessary for program implementation?
7. How will each restriction be implemented?
8. When will each restriction be implemented?
9. Who will be responsible for insuring that restrictions on communications are achieved?
10. What "spin-off" impacts will be experienced due to program communication?
11. How will each spin-off result occur?
12. When will each spin-off result occur?
13. Who will be responsible, if necessary, for taking appropriate action?

F. Operational Relationships

1. What non-department, non-patrol, or intra-patrol projects will affect program implementation? (ongoing, planned)
2. How will each project affect program implementation? (program context, program inputs, program process, program products)
3. When will each project affect program implementation?
4. What projects with potentially favorable impacts can be used to an advantage in program implementation?
5. How will each favorable project be used in program implementation?
6. When will each favorable project be used in program implementation?
7. Who will be responsible for insuring appropriate interface?
8. What costs will be incurred as a result of program-project interface?
9. What projects with potentially unfavorable impacts will be circumvented in program implementation?
10. How will each unfavorable project be circumvented?
11. When will each unfavorable project be circumvented?
12. Who will be responsible for insuring appropriate circumvention?
13. What impacts will program implementation have on each project identified?
14. How will each program-to-project impact occur?
15. When will each program-to-project impact occur?
16. Who will be responsible for insuring non-detrimental program-to-project interface?

III. PROGRAM EVALUATION AND ASSESSMENT

A. Areas of Data Needs

1. What are the program inputs to be monitored?
2. How well are each program's activities operating?
3. What types of performance accountability are needed?
4. What impact data about the accomplishment of program objectives are needed?

B. Measurement

1. What measures are relevant to each data need?
2. How should the measurements be taken?
3. What are the procedures for assuring reliability and accuracy of the data?
4. What record-keeping procedures will be required?
5. When and how frequently will data be required?
6. Who will be responsible for collecting and organizing the data?

C. Data Feedback

1. Who needs to receive data feedback?
2. What format should be used?
3. How often should feedback occur and when should it start and stop?
4. What coordination of data is required?
5. Who is responsible for that coordination?
6. What potential constraints to an efficient, effective feedback system can be identified?
7. What can be done to overcome such constraints?
8. What costs will be involved in establishing a feedback system?
9. Who will monitor data for evidence of unanticipated problems?
10. What action might the monitor take upon discovering such problems?
11. How do we identify defects in program design?

D. Accountability of Performance

1. How will accountability be determined?
2. What shall each element be accountable for?
3. Who shall each element be accountable to?
4. What procedures should be used in the event of accountability failure?

E. Impact Evaluation Design

1. What evaluation design(s) is(are) most appropriate?
2. What statistical analyses are suggested by both the research questions and the data?
3. What overlap between program objectives exists?
4. How can such overlap be dealt with best?
5. Who is responsible for the design and implementation of the impact evaluation?

F. Unanticipated Outcomes

1. How can we identify unanticipated outcomes?
2. How can we deal with these?
3. When should we check for unanticipated outcomes?
4. Who should be responsible for identifying and dealing with them?

IV. DEVELOPMENT OF INFORMATION SYSTEMS

1. What information is needed for program implementation and maintenance?
2. What information systems need to be developed for program implementation and maintenance?
3. How will each information system be developed?
4. When will each information system be developed?
5. Who will be responsible for developing and maintaining each information system?
6. What elements will use each information system?
7. How will each element use each information system?
8. When will each element use each information system?
9. Who within each element will be responsible for insuring the appropriate utilization of each information system?
10. What are the information sources for each information system?
11. What will be the information format for each information system?

12. How will each format be developed?
13. When will each format be developed?
14. Who will be responsible for the development of each format?
15. What are the areas of overlap between information systems?
16. How will each area overlap?
17. When will each area overlap?

V. RESOURCE MANAGEMENT

A. Human Resource Allocation

1. What tasks will be required for program implementation?
2. What types of personnel qualifications will be required to perform each task?
3. How many personnel with each type of qualifications will be needed?
4. When will personnel with each type of qualifications be necessary?
5. Are sufficient personnel currently available with each type of qualifications?
6. What selection criteria will be used to assign personnel to tasks required for program implementation?
7. How will selection procedures for qualified personnel by task be accomplished?
8. When will each selection procedure be accomplished?
9. Who will be responsible for accomplishing each selection procedure?
10. What types of personnel training will be required?
11. How will each type of training be accomplished?
12. When will each type of training be accomplished?
13. Who will be responsible for insuring that each type of training is accomplished?
14. How will the effects of each type of training be assessed?
15. What effects will selection and training have on present personnel assignments?

B. Program Staff Relationships and Coordination

1. What activities/functions will the program staff perform?
2. How will each activity/function be performed?
3. When will each activity/function be performed?
4. Who will be responsible for accomplishing each activity/function?
5. What types of coordination between program staff will be necessary for program implementation?
6. What types of staff relationships will be necessary to implement the program?
7. How will rank structure affect staff relationships and coordination?
8. Who will be responsible for development and supervision of program staff?

C. Equipment and Facilities Allocation

1. What equipment/facilities will be necessary for program implementation?
2. How will the equipment/facilities be acquired?
3. When will the equipment/facilities be necessary?
4. What costs will be incurred by acquiring equipment/facilities necessary for program implementation?
5. Who will be responsible for acquiring and allocating equipment/facilities necessary for program implementation?

VI. PROGRAM CONFLICTS

A. Special Events

1. What types of difficulties created by special events may affect program implementation?
2. How can each type of difficulty be resolved?
3. When can each type of difficulty be resolved?
4. Who will be responsible for resolution of each type of difficulty?

B. Conflicts

1. What types of conflicts might arise?
2. How can each type of conflict adversely affect the program?
3. How can each type of conflict be dealt with?
4. Who will be responsible for resolution of each type of conflict?

**APPENDIX E**

**Patrol Models**

from

**"Managing Patrol Operations"**



## Model A

### The Typical Model

In this model, the goal (outcome) of the patrol responsibility is to collect information for the detective and to transcribe this information onto a relatively simple crime report. The patrol officer functions basically as a "report taker." The process begins by the officer's asking very basic questions of the victim and witnesses and transcribing the answers, usually in narrative form on the form and filling out blocks on the form appropriately. The form is generally handed over for supervisory review and subsequent transmittal to the investigative unit.

Clearly, the investigative consequences and activities of the process are determined by the outcome--the information the officer writes on the report form. If the report is in any way inadequate or incomplete, the consequences will be:

- Having to discontinue the case, or
- Requiring the detective to report the information-collecting process--a redundant effort.

The investigative steps that will have to be taken flow from the process and activities which the patrol officer carries out. Whatever process and activities the patrol officer carries out, in this typical model, the results will be documented in the report form. Thus, the form itself conditions and affects the way continued investigation will be conducted. If the report form is inadequate or incomplete, the consequences are predictable: Detectives will have to repeat the process of interviewing and collecting facts, productivity will decline, and morale problems may surface.

## Model B

### Better Information

By designing, and using a revised crime report form similar to the one shown earlier in this chapter, the outcome of the initial investigation process and activities will be different. In the process of completing the new form, the patrol officer is automatically placed in a role other than that of a passive "report taker," whose report may or may not be used.

Obtaining the desired outcomes from following the procedures outlined in the legendary mnemonic, PRELIMINARY, are substantially facilitated by an expanded information-gathering instrument:<sup>6</sup>

- P Proceed to the scene promptly and safely.
- R Render assistance to the injured.

---

<sup>6</sup> Bloch and Weidman, (1975), pps. 23-24.

- E Effect the arrest of the criminal.
- L Locate and identify witnesses.
- I Interview the complainant and the witnesses.
- M Maintain the crime scene and protect the evidence.
- I Interrogate the suspect.
- N Note conditions, events, and remarks.
- A Arrange for collection of evidence or collect it.
- R Report the incident fully and accurately.
- Y Yield the responsibility to the follow-up investigator.

Questions on the new form prescribe a directed search for predetermined solvability factors, and the patrol officer assumes an active role in the investigative process by collecting information which can lend directly to the apprehension of a suspect. The work of the patrol officer is directly related to the continuation of the case by detectives. Thus, use of the form acknowledges that the role of detective and patrol officers are interdependent and inseparable.

The patrol officer's activities have a basic over-riding investigative objective: to collect in a structured, organized manner that information which experience and study have demonstrated is most likely to solve a crime. Rather than being thought of as a taker of miscellaneous information, the patrol officer performs activities that have a clear and meaningful purpose.

When the patrol officer "yields the case to the investigator," for follow-up, the outcome will be a report with clear and detailed information. The information will have been collected in a way which eliminates the need for investigators to repeat any steps of the preliminary investigation and which provides investigators an outline for developing follow-up plans.

The patrol officer in Model B provides the "preliminary investigation"--the initial fact-finding phase of the investigation of a reported crime during which prescribed and structured questions are used to make sure that all available, appropriate information regarding the presence or absence of solvability factors is documented for subsequent use.

This definition resolves one of the management dilemmas frequently posed in a discussion of the role of the patrol in the preliminary investigation: How can management properly limit the role?

Previous definitions and theories about preliminary investigation have suggested that the preliminary investigation "terminates after /the patrol officer/ has completed all that he can possibly accomplish."<sup>7</sup> Such a theory is

---

<sup>7</sup> Ibid., p. 24.

inadequate because it does not define what should be accomplished by the patrol officer. Structured questions, derived from prior identification of solvability factors, can, in fact, be used to define what the patrol officer should do. By requiring that the patrol officer direct his or her activities only to those areas of inquiry which are the most promising for successful case solution, the role of the patrol officer described in Model B is effectively limited and the manager's dilemma regarding role limits resolved.

The other models which are described in the matrix are further developments of Model B; Models C, D, and E successively build upon this basic definition of the role of the patrol officer in a preliminary investigation as set forth in Model B.

#### Model C

##### Patrol Officers Make Recommendations Regarding Continued Investigation

The description of Model B showed some of the procedures and benefits which can derive from using a new report form to collect information about "solvability factors." With practiced use of the form, in-service training, and improved communications between patrol and investigators, additional responsibilities and authority may be given to the patrol. Model C gives the patrol officer one additional level of responsibility: recommending, after the initial investigation is completed, that the case be either closed as early as possible or continued.

This patrol officer's recommendation is based on the results of the "hunt for solvability" conducted in the initial investigation. As a consequence of training and experience, the officer develops skill, knowledge, and the ability to predict that some cases have little, if any, probability of successful solution while other cases have a high probability of solution. There is little reason why such an officer, upon completion of the initial investigation, should not make a formal recommendation to his supervisor to close or continue the case.

All experienced police officers know that some cases will never be solved. An informal process operates that effectively closes these by placing them on the bottom of the detectives' caseload or by filing them in an active but suspended file. Why shouldn't this informal process which is already in place, be formalized? Why couldn't the formalized process begin with a recommendation from a trained, capable officer who has followed departmental policies and procedures in conducting the initial investigation?

By introducing the patrol officer's recommendation into the investigative process, a simple yet critical procedure begins to emerge as a benefit in management of the process: case screening. The recommendation by the patrol officer will contain a judgment that some cases should be pursued or closed; in effect, the officer screens the case.

The difference between Model C and Model B is that the role of the patrol is increased in Model C by giving the patrol officer and

his supervisor the authority and responsibility for making recommendations about continuing or suspending the investigation. Both the patrol officer and the supervisor use solvability factors--the patrol officer in collecting information and making judgments about the value of this information for the continued investigation and the supervisor in accepting the officer's recommendation.

In Model C, the patrol officer will have received training in technical investigative procedures so that his or her decision to call for specialists (evidence technicians, etc.) will be based on the judgment that their services will increase the chances that the case will be solved. Since most agencies have a limited number of technicians, they must be used as efficiently as possible. Using them in cases which an officer knows have a higher probability of success will lessen the possibility that technicians will be called unnecessarily.

The basis for assigning cases for continued investigation or follow-up will be the report form and recommendation by the patrol officer, an evidence technician's report (in some cases), and the supervisor's application of criteria--all of which are related to the solvability factors predetermined by management.

A major consequence of these activities will be the elimination of wasted or inefficient investigative effort by the agency.

This model explicitly acknowledges that there is a formal administrative control procedure which focuses limited agency resources only on those cases which have the best chance for solution.

To inaugurate the use of Model C, training for patrol officers and patrol supervisors will be required. The nature of this training will be determined by the understanding and use by each of the concept of solvability that has been adopted by the entire agency. Increased productivity and interdependency between patrol and detectives will derive from training and agencywide understanding of the solvability factors and the way they are used.

Policies clarifying the recommending and decision-making role of the patrol officers and detectives will be required. The establishment of a policy regarding case-screening criteria which incorporates solvability factors will lessen misunderstandings and reduce the need for complicated and repeated actions by detectives.

#### Model D

##### Limited Investigation Model

Model D logically extends the roles described in Model C. The refinement added is that the patrol officer is trained and authorized to make a decision to continue the investigation of selected crimes beyond the initial investigative stage. In all previous models, the investigative role of the patrol ends when the outcomes of the initial investigation--the completed reports plus a patrol recommendation--are

turned over to the supervisor. In Model D the patrol officer has authority to continue and complete the investigation of certain crimes on the basis of clearly established policy.

When this model is used, it is recognized that some categories of crimes do not require the usual assistance or the skills of the specialist investigator. Not all cases need be referred for follow-up by the patrol investigator.

Some consequences of this model will be that the detective workload can be reduced in order to permit the best use of specialist skills and abilities only on those cases which require such specialists. Further, by enabling the patrol to conduct investigations under certain conditions, there will be built up within the patrol ranks a pool of investigative talent, skills, and abilities. Thus, the police manager has resources to consider when career advancement opportunities open up.

Management policy making will, in this model, focus on specifying those cases which are to be handled by detectives and those which are to be handled at the patrol level.

#### Model E

##### Enhanced Investigative Model

Model E outlines the maximum and effective use of the patrol officer in the initial investigation. In this model, the patrol officer not only completes a detailed report but also has the authority to complete the investigation and to suspend the case on scene in most cases and to refer other cases for follow-up investigation. In this model, cases which require a high degree of specialization--homicide, rape, fraud, etc.--are referred to detectives. The difference between Model E and D is that the manager determines which crime categories the patrol officer is authorized to investigate.

In this model the patrol officer is required to conduct a prompt and effective investigation of crimes in those categories that local policy determines can and should be handled by patrol. The officer conducts a comprehensive investigation and makes appropriate use of technical and scientific examinations. Finally, the patrol officer has the new authority and responsibility to decide to suspend a case on scene or as early as possible.

In this model, a case-screening system is in place and functioning as an overall part of the investigative system in the local agency. Further, the authority to suspend cases early is tied to the policy of using solvability factors to screen or eject cases from the investigative process as early as possible.

Implicit in the early case-suspension system as used by the patrol must be a suitable response from the policy to the complainant. Recent studies have indicated that when a suitable reply is given to the complainant, either directly by the patrol officer or within a few days

by a telephone referral from detectives or patrol, complainants react in a positive and supportive manner.<sup>8</sup>

### Conclusion

It has become increasingly clear that most case clearances in police agencies result from the information provided by the initial responding patrol officer or from an immediate on-scene arrest. The quick and efficient collection of relevant information by the patrol officer is seen to be so important for the successful outcome of an investigation that, without such information, the probability of a case being solved, even by extensive follow-up investigations, is minimal.<sup>9</sup>

Both experience of police managers and recent studies have identified most important or dominant information elements--solvability factors--which can effectively be used in developing an expanded role for the patrol officer in conducting a more comprehensive initial investigation. Solvability factors have been shown to have such a direct relationship to case clearances that several police agencies applied these factors in the development of management strategies for the improvement of the criminal investigation process.

Incorporating these findings into an enhanced role for patrol may enable police managers to develop a management framework within which local policies and procedures can be developed with a view to improving the entire investigative process. Considered from this angle, one can define the preliminary investigation process as that initial fact-finding phase of the investigation of a reported crime by which the responding patrol officer identifies factors that result in one or more of the following:

- (a) The reported case is founded or unfounded and investigation continues or the case is suspended;
- (b) An arrest is made because solvability factors are demonstrably present and known to the patrol officer;
- (c) The reported case is continued and/or referred to others because dominant solvability factors are present;
- (d) The reported case is continued and/or referred to others for investigation because there are exceptional reasons for continuation even though solvability factors are not present; or

---

<sup>8</sup> Ibid., p. 31.

<sup>9</sup> Greenberg, (1975), p. 6.

- (e) The reported case is not continued or referred for investigation because solvability factors are not present and because there are no exceptional reasons for continuing the investigation and/or referring the reported case.

This definition overcomes some of the limitations in other descriptions and theories about the investigative role of patrol. It states clearly that the preliminary investigation has a definite investigative goal: to get the facts that enable the patrol officer to make a determination about continuation. It also states the manner in which that goal is to be achieved--by the "hunt" for solvability factors that local policy has determined are the most important and predictable elements regarding the probability of solving the crime.

The task for police managers is to organize the resources of local departments in such a manner that the patrol officer receives guidance, support, and direction in conducting the "search for solvability".

It is important to remember what the definition does and does not state about the role of the patrol in the investigative process.

1. It does not state that patrol officers will be responsible for conducting and completing all of the investigation of all reported felony or misdemeanor crimes. It does state that patrol officers will follow agency policy and procedures regarding the search for solvability and apply them in making an initial determination about continuing, referring, or suspending cases.
2. It does not state that patrol officers will do anything that is beyond the scope of their authority. It does state that the patrol officer will do all that he/she should do to collect facts which indicate the presence of solvability factors and to use these facts to make an initial determination about referring the case or closing it.
3. It does not state that patrol officers will act unilaterally in making decisions or determinations. It does state that they can make certain determinations based on local police policies and procedures. Procedures regarding the supervisory review of field decisions or determinations are also included.
4. It does not state that the agency organizational structure or the patrol units and the detective units must be reorganized, or that police personnel must be deployed in a different way. The definition is silent on this issue.
5. It does not state that the patrol officer can not perform services within the investigatory process not included in the definition. It does, however, set forth the essential investigative elements of preliminary investigation.

Finally, it seems obvious that the roles of patrol and detectives cannot be viewed as completely separate and distinct functions.

Patrol fulfills not only as a crime suppressant role but also performs an investigative function. How effectively the patrol officer documents the events of a crime to which he or she responds has a definite impact on the case outcome when investigators attempt to pursue the case.

Whatever new roles are assigned to the patrol officer (and we have delineated only the best known to date) will have an effect not only on the case outcome but also on the effective management of the entire process of criminal investigation.



**APPENDIX F**

Instructions on how to use the new crime investigation form, as developed by the Rochester Police Department.

INSTRUCTIONS ON HOW TO USE THE NEW CRIME  
INVESTIGATION FORM, AS DEVELOPED  
BY THE ROCHESTER POLICE DEPARTMENT

INDEX AS:

	DATE OF ISSUE	EFFECTIVE DATE	NO.
GENERAL ORDER			
		DISTRIBUTION	AMENDS
SUBJECT:	Crime Investigation Report		
REFERENCE		RESCINDS	

PURPOSE

To establish a single policy for the reporting of preliminary crime investigation.

I. Offense and Victim Identification

The preliminary investigator must determine if an offense has actually been committed and if so, he must identify that offense. Law manuals will enable him to accurately classify offenses by degree (and to obtain a better understanding of the elements of offenses) so that the investigatory report will accurately describe the offense committed.

When the preliminary investigator has identified the offense, he records the information in Block Number 1 on the Crime Investigation Report:

Block 1 Both the offense and the degree are to be placed in Box #1. The word "charge" is included so that when an arrest is made the reporting officer will identify the charge in Box #1.

1. OFFENSE OR CHARGE (INCLUDE DEGREE)

Block 2 This block is for use by supervisors only. Supervisors will assure that the classification of the crime is correct and change that classification if it is incorrect.

2. CLASSIFICATION OF OFFENSE (SUPERVISORY REVIEW)

If correct, the supervisor shall sign his name in this block; if not correct, the supervisor shall strike out the original classification, initial Box #1, and enter the correct classification in Box #2.

Block 3 List the original CR number in the space provided.

3. C. R. NO. (ORIGINAL ONLY)
------------------------------

Since it may be necessary to contact the victim again after the preliminary investigation, it is important that the officer obtain complete victim information such as telephone numbers and places where he can be reached at any time. The location and time of the offense must be determined since this information will be used later if and when an arrest is made.

As the preliminary investigator obtains the above-mentioned information, he records it in Blocks 4 through 12 on the Crime Investigation Report.

Block 4 List, to the best of your availability, the time the crime occurred. If the specific time of occurrence is known, place that information on the bottom line by military designation, i.e., using numbers rather than letters.

If the specific time of occurrence is not known, determine the limits of the time and date of the occurrence. Place the first limit above the dotted line and the second limit below the dotted line. FOR EXAMPLE: If a burglary is determined to have occurred between 2000 hours, June 3rd, and 0700 hours, June 4th, enter the information as follows:

4. TIME OF OCCURENCE	M.....	D.....	Y.....	T.....
----------------------	--------	--------	--------	--------

Use two digit numbers for month and day.

Block 5 Indicate the time the offense was reported, using numbers rather than letters. Location where reported in lower half of box.

5. WHEN AND WHERE REPORTED	M	D	Y	T
----------------------------	---	---	---	---

Block 6 State the exact location of the offense. Be specific enough that another officer can find the exact location. FOR EXAMPLE: Apartment numbers. In the small box place the section number where the offense occurred. Intersection locations (e.g., Broad Street East at Plymouth Avenue South) must be translated to a number and street location (e.g., 100 Plymouth Avenue South, or \_\_\_\_\_ East Broad Street).

6. LOCATION OF OFFENSE (HOUSE NO. STREET NAME)	<input type="text"/>
--	----------------------

Block 7 State the victim's name, giving the last name first. If the victim is a firm, state the legal name of the firm.

Block 8 State the exact address of the victim, including zip code.

Block 9 Indicate the victim's residence phone and circle the proper word or words indicating when the person can be reached at that telephone number.

Block 10 List the name of the victim's place of employment and the address, if necessary, in order to permit him to be found while at work. If the victim is in school, state the name of the school.

Block 11 Indicate the victim's business telephone number and circle the proper word indicating whether he can be reached at this phone during the daytime or nighttime.

Block 12 State the victim's sex, race, and age, if known. Use the following codes:

- Sex: M = Male  
F = Female
- Race: W = White  
B = Black  
M = Mexican American  
P = Puerto Rican  
O = Oriental  
= Other

Thus, if the victim is a black male, 39 years of age, complete the box as follows:

7. VICTIM'S NAME (LAST, FIRST, MIDDLE) OR FIRM NAME IF BUSINESS	8. VICTIM'S ADDRESS (HOUSE NUMBER, STREET NAME)	9. RESIDENCE PHONE	DAY NIGHT
10. VICTIM'S PLACE OF EMPLOY. OR SCHOOL NAME	11. BUSINESS PHONE	12. SEX / RACE / AGE	VICTIMS

Block 13

The person reporting the crime is to sign his name and the date to indicate that the crime actually occurred. However, the officer should use his discretion in the use of this box. If the reporting person is obviously unwilling to sign, the word refused should be entered. In all cases the box should be filled in with either the signature or the word "REFUSED." An explanation for a refusal to sign the report may add insight for follow-up investigation.

13. PERSON REPORTING - SIGNATURE - DATE

II. Identification of Witnesses and Suspects

Block 14

If an arrest is made, name the arrestees in the narrative portion (Block 44), and place the number of persons arrested in Box 14 on the side of the form. If no arrests have been made, place an X in Box 14.

14. IF ARREST IS MADE, NAME ARRESTEES IN NARRATIVE. PLACE THE NUMBER OF ARRESTEES IN BOX A. IF NONE PLACE AN X IN BOX A

If and when an arrest is made, the complete data on each arrested person(s) will be entered in boxes 17 through 19, with additional information in Box 44 (narrative). Same basic data should include the actual location of apprehension.

The greater portion of a preliminary investigation is usually devoted to identifying and interviewing persons who might possibly have knowledge of the offense which will assist in identifying a suspect. IT IS IMPORTANT FOR THE OFFICER TO SEARCH THE AREA FOR WITNESSES AND TO ACCURATELY DESCRIBE WHERE THE WITNESSES MAY BE REACHED AND THE TYPE OF INFORMATION THAT EACH OF THE WITNESSES PROVIDED. Any information may be pertinent to the investigation when combined with other details uncovered in the investigation. If the officer obtains suspect and/or suspect vehicle information, he must give out that information via radio communication. If the officer identifies a witness and/or if he obtains suspect descriptions, he has uncovered solvability factors which may lead to the closing of the case. The Citizen Information Form must be left with persons the officer contacts so that they can easily call the Department if they have additional information regarding the offense.

Block 15

As the officer identifies witnesses and has obtained the necessary details regarding the offense, he records the information in Block 15. Investigating officer should list all addresses that have been checked for witnesses and list the apartment number even when unsuccessful. In the middle portion of Box 15, the names of ALL persons interviewed should be listed with a designation as to whether they are witnesses (W), reporting persons (R), or person with knowledge (PK). If citizen information Form RPD 1148 is left with any of these persons, indicate by circling their designation. The far-right portion of Block 15 provides a small amount of space for listing the information provided. The narrative portion is to be used for additional space. If the narrative is used, indicate the designation of the person, such as R1, W1. List the telephone number(s) of persons providing information and their home address if different from address checked.

15. INDICATE WITH PROPER CODE IN BOXES PROVIDED PERSONS RELATIONSHIP TO INVESTIGATION W-1 WITNESS #1, W-2 WITNESS #2, R-REPORTING PERSON, P/K PERSON WITH KNOWLEDGE INCLUDING REPORTING PERSONS NAME IF DIFFERENT FROM VICTIMS' IF CITIZEN INFORMATION FORM R.P.D. 1148 IS LEFT WITH ANY OF THESE PERSONS INDICATE BY CIRCLING PERSONS DESIGNATED.			
ADDRESS CHECKED	APT. #	PERSON INTERVIEWED	INFORMATION PROVIDED - USE NARRATIVE IF NEEDED
ADDRESS CHECKED		PERSON INTERVIEWED	
ADDRESS CHECKED		PERSON INTERVIEWED	

Block 16

This block is to designate a solvability factor and if there were no witnesses to the crime an X is marked in Box 16 on the right-hand side of the page. If there are witnesses to the crime, Box 16 is left blank.

16. WAS THERE A WITNESS TO THE CRIME?	IF NO PLACE AN X IN BOX B
---------------------------------------	---------------------------

This solvability factor cannot be eliminated from consideration until sufficient time has been expended to locate witnesses.

Block 17

This block provides space for the identity of 3 suspects. If a suspect is named, the identity of the person naming the suspect (such as W1 or R1) should be placed in the far right-hand corner of the box. If additional space is needed, the narrative portion of the report form will be used. If a suspect can be named, the Box 17 on the far right of the form will be left blank, if no suspect can be named, an X will be placed in Box 17 on the far right of the report form.

17. CAN A SUSPECT BE NAMED?			IF NO PLACE AN X IN BOX C
SUSPECT #1 (NAME INCLUDE ANY A-K-A INFO)	SUSPECT #2 (NAME INCLUDE ANY A-K-A INFO)	SUSPECT #3 (NAME INCLUDE ANY A-K-A INFO)	

Block 18

Provides space for the identity of the location of 1 through 3 suspects. If a suspect can be located, write in the address for each suspect and indicate who provided the information in the same manner as described above. If you have already named the suspect, be sure that the location information falls under the respective information for the previous block of information (i.e., the information for suspect #1 should fall under previous information on suspect #1). If no suspect can be located, place an X in Box 18 on the far right of the report form. If a suspect can be located, leave the box blank indicating a solvability factor.

<b>18. CAN A SUSPECT BE LOCATED?</b>		<b>IF NO PLACE AN X IN BOX D</b>
SUSPECT #1 MAY BE LOCATED AT	SUSPECT #2 MAY BE LOCATED AT	SUSPECT #3 MAY BE LOCATED AT

Block 19

This provides space to describe 1 through 3 suspects. If a suspect can be described, provide his/her description in the Box provided being sure to place it under the appropriate box if a name or location of a suspect has already been provided. On the first line provide the age, sex, race, height, and weight of the suspects. On the second line, provide other identifying information such as scars and clothing description. As above, indicate who from Block 15 provided the description. If no suspects can be described, place an X in Box 19 on the far side of the report form. If a suspect is described leave Box 19 on the far side of the report form blank, indicating a solvability factor. A complete description will be included in every instance, including on-scene arrests.

<b>19. CAN A SUSPECT BE DESCRIBED?</b>		<b>IF NO PLACE AN X IN BOX E</b>
SUSPECT #1 DESCRIPTION	SUSPECT #2 DESCRIPTION	SUSPECT #3 DESCRIPTION
DESCRIBE EACH SUSPECT - USING AGE, SEX, RACE, HEIGHT, WEIGHT, ANY IDENTIFYING SCARS, MARKS AND CLOTHING DESCRIPTION		

Block 20

If no one can identify the suspect, place an "X" in the box in the right hand margin. If someone can identify a suspect, indicate who can using the appropriate code (W1 = Witness #1, etc.) in the boxes provided on the right-hand side of the report form in Block 21 line. If a suspect can be identified, leave Box 20 on the right-hand side of the report form blank indicating a solvability factor.

<b>20. CAN A SUSPECT BE IDENTIFIED?</b>	<b>IF NO PLACE AN X IN BOX F</b>
USING APPROPRIATE CODE IN THE BOXES PROVIDED - INDICATE WHO CAN IDENTIFY SUSPECT	

Block 21 If you gave suspect information out over the police radio, place an "X" in the box in the left-hand margin.

<input type="checkbox"/> 21	← IF SUSPECT INFORMATION HAS BEEN GIVEN OUT VIA RADIO COMM. PLACE AN X IN BOX 21.
-----------------------------	--

Block 22 In the block to the left, reproduce the license plate. Be sure to include the state of registration as it appears on the plate. Complete the known information on the description of the vehicle. In the space for identifying characteristics, be sure to include any information which would make the vehicle stand out from others.

22. FILL IN LICENSE PLATE INFORMATION IF IT IS AVAILABLE.	(-----)	MODEL/MAKE	YEAR	TYPE	COLOR TOP, BOTTOM	IDENTIFYING CHARACTERISTICS
---	---------	------------	------	------	-------------------	-----------------------------

Block 23 If the suspect's vehicle can be identified, leave Box 23 on the right-hand side of the report form blank indicating the solvability factor. If a vehicle cannot be identified, place an "X" in Box 23.

23. CAN THE SUSPECT VEHICLE BE IDENTIFIED?	IF NO PLACE AN X IN BOX 23 →
--	------------------------------

Block 24 If the information on the vehicle was given out on the police radio, place an "X" in the box in the left-hand margin.

<input type="checkbox"/> 24	← IF SUSPECT VEHICLE INFORMATION WAS GIVEN VIA RADIO COMMUNICATION PLACE AN X IN BOX 24.
-----------------------------	--

III. Documenting other Evidentiary Information

A. Identifying Property Information

When obtaining information about stolen property, the officer must obtain a complete description of the property including serial numbers, the make, the model, and any identifying characteristics such as dents, chips, and scratches. The information on the make, model, and serial numbers can be fed into the N.C.I.C. computer file for later use and cross-identification. If the officer determines that the stolen property is traceable, he has identified a solvability factor and the information may be used in clearing the case. Information obtained regarding stolen property should be recorded in Blocks 25 through 29.



Block 25 If the stolen property that will be listed further in the report is traceable, do not place an X in Box 25 on the far right side of the report form. In the event there is no traceable property, then indicate in Box 25 with an "X".

25. IF THE STOLEN PROPERTY IS TRACEABLE INDICATE IN THE SPACE PROVIDED BELOW

IF NO PLACE AN X IN BOX H

Block 26 Describe property which was taken or damaged. If the space in the first column is not sufficient to describe a piece of property, provide a more detailed description in the Narrative (Block 44). Only list one piece of property or type of property on a line. Clearly indicate the number of each type of item.

26. DESCRIBE PROPERTY TAKEN/DAMAGED

Block 27 Indicate in these boxes where the property was taken from placing it in the appropriate line that corresponds with Box 26.

27. WHERE PROPERTY WAS REMOVED FROM

Block 28 In this line provide any identifying information on the property including any identifying mark and/or serial number. Place this information in the appropriate box that corresponds to Box 26 and 27.

28. PROPERTY IDENTIFICATION INFORMATION

Block 29 In this Box indicate a fair market value of the property. Place this value of the property on the line that corresponds with Box 26, 27, and 28. At the bottom of Box 29 place the total value of the property or approximated value.

New York State Penal Law Section 155.20 states:

1. Except as otherwise specified in this section, value means the market value of the property at the time and place of the crime, or if such

29. PROP. VAL.
TOTAL VALUE

cannot be satisfactorily ascertained, the cost of replacement of the property within a reasonable time after the crime.

- When the value of property cannot be satisfactorily ascertained pursuant to the standards set forth in subdivisions one and two of this section, its value shall be deemed to be an amount less than \$250.00.

**B. Obtaining Medical Information**

The nature of a person's injury may determine the degree of the offense committed so it is important to obtain all of the pertinent information regarding the injury as well as the names of the attending medical personnel in case they must be contacted later for further processing of the case.

Medical information is to be recorded in Blocks 30 through 34 and 37.

- Block 30 If hospitalized, name the hospital.
- Block 31 List the name of the attending physician, if available.
- Block 32 If the person was pronounced dead, give the time death was pronounced.
- Block 33 If the person was pronounced dead, give the name of the physician who pronounced the victim dead.
- Block 34 If the medical examiner was notified, give the name of person notified.

30. WHERE HOSPITALIZED	31. ATTENDING PHYSICIAN	32. DATE, TIME PRONOUNCED	33. PRONOUNCING PHYSICIAN - WHERE	34. MEDICAL EXAMINER NOTIFIED NAME
------------------------	-------------------------	---------------------------	-----------------------------------	------------------------------------

**C. Modus Operandi**

- Block 35 If a significant MO is present, or if there is significant physical evidence present, leave these blocks empty and describe in the narrative (Block 44). If sufficient space is not available in the narrative (Block 44), use a supplementary report.

35. IS THERE A SIGNIFICANT M.O. PRESENT?	IF YES DESCRIBE IN NARRATIVE	IF NO PLACE AN X IN BOX
--	------------------------------	-------------------------

Block 36 Provides space to list the property inventory number of the property described in the above-named boxes.

Block 37 Describe the nature of the injury.

Block 38 Indicate in this box where the premises was entered or where the point of crime was located, e.g., N.W. 2nd floor window, rear.

Block 39 If a weapon or instrument or force was used, indicate in this box the type.

36. PROPERTY INV. NO.	37. NATURE OF INJURY	38. POINT OF CRIME	39. TYPE OF WEAPON, INSTRUMENT OR FORCE USED
-----------------------	----------------------	--------------------	--

D. Identifying Physical Evidence

The officer must search the scene for the presence of any significant physical evidence. He should try to locate the point of entry and try to determine if a weapon or force was used and, if so, the type. By searching the area (Note: not just the immediate scene), the officer may find foot prints, stolen property that was dropped, or personal effects of the suspect. If an evidence technician arrives, the officer should tell him what he needs to have done. If the officer can determine the presence of a significant MO, and/or significant physical evidence or if the evidence technician's report is positive, additional solvability factors have been identified, and the information obtained should be recorded in Blocks 35, 38, 39, and 44.

Block 40 If there is significant physical evidence present, you will list this in the narrative Box 44 and leave Box 40 on the right-hand portion of the report form blank indicating a solvability factor. If there is no physical evidence present or detected by a technician, place an "X" in Box 40.

40. IS THERE SIGNIFICANT PHYSICAL EVIDENCE PRESENT? IF YES DESCRIBE IN NARRATIVE IF NO PLACE AN X IN BOX J

Block 41 If a technician is called to a crime scene, his name and assigned car number is entered in left-hand portion of this block. If no technician is called, or when called his report is negative at the scene, an X is placed in Box 41.

If a technician has been requested, but does not arrive by the completion of your preliminary investigation, indicate "REQUESTED" in this block (in the space provided for the technician's name), and DO NOT mark the solvability factor box.

41. TECH WORK DONE BY HAS AN EVIDENCE TECHNICIAN BEEN CALLED? IS EVIDENCE TECHNICIAN REPORT POSITIVE? IF NO PLACE AN X IN BOX K PLACE AN X IN BOX K

Technicians should communicate the results of their work to the preliminary investigator (when possible).

Block 42

The reporting officer will review his own report at this time, and will determine (as a matter of decision/opinion) whether or not this particular offense requires further investigative effort. If the decision/opinion is negative (no), place an X in Box 42.

42. IS THERE A SIGNIFICANT REASON TO BELIEVE THAT THE CRIME MAY BE SOLVED WITH A REASONABLE AMOUNT OF INVESTIGATIVE EFFORT?

IF NO PLACE AN X IN BOX L

Block 43

The reporting officer must determine at the scene if other persons may have had opportunity to commit the crime. Numerous crime scenes offer a ready-made suspect, yet officer must approach the available facts with an open mind and identify any other possible suspects.

43. WAS THERE A DEFINITE LIMITED OPPORTUNITY FOR ANYONE EXCEPT THE SUSPECT TO COMMIT THE CRIME? IF NO PLACE AN X IN BOX M

D. Narrative

Block 44

THIS PARTICULAR BLOCK SHOULD ONLY BE USED TO FURTHER EXPLAIN AND/OR ADD TO ANY PERTINENT INFORMATION ALREADY REQUIRED BY EARLIER BLOCKS.

In describing further events or adding to the required block information, the following suggestions are submitted:

1. Narrative should begin by describing a "premise" and/or location, the reporting officer should be explicit and identify exactly what the location is. Example - garage, warehouse, apartment, public street, house porch, parking lot, liquor store, etc.
2. Describe the point of entry such as:
  - a. front window
  - b. back door
  - c. side milkbox
  - d. above
  - e. below
  - f. within business
3. As was explained under premise identification, the same rule applies to property information.

All too often a report will simply label an item, yet not identify it. Example - "credit cards removed," such identification must include at least the title of each such card, and even the assigned card number when available.

4. Precipitating Circumstances: Reporting officer should keep in mind that proper identification of the circumstances that led up to the crime/incident readily identify M.O. in many cases. Example - victim hitchhiking, voluntarily accompanying suspect, allowing suspect to enter home, domestic quarrel, etc.
5. Crime context - was the reported crime in context with any other crime or attempt thereof. Once again, suspect and M.O. identification hinges on such pertinent information. Example - a reported burglary with an attempted rape.

Any vehicles assisting with investigation of original incident should be so noted in the right-hand portion of same block.

44. NARRATIVE: SUMMARIZE DETAILS OF CRIME INCLUDING A DESCRIPTION OF EVENTS; ANY ADDITIONAL INFORMATION WHICH IS AN EXTENSION OF ANY OF THE ABOVE BOXES; NAMES OF ARRESTED; NAMES OF OTHER OFFICERS OR UNITS ASSISTING.	
	ASSIST
	ASSIST
	ASSIST
	ASSIST

The narrative in the Crime Investigation Report will seldom allow sufficient space for the complete reporting of a preliminary investigation.

To facilitate the reporting of the overflow data on a supplement report, an officer shall only be required to complete the following:

1. Block 1 - check "form used as continuation sheet for original report"
2. Block 2 - CR #
3. Block 3 - check "victim" and enter name
4. Block 12- location of incident
5. Block 13- date of original report

The reviewing supervisor must complete the information requested in the upper left box.

# SUPPLEMENT REPORT

FORM 2.5 R.P.D. REV. 7/70 CR-1611

PAGE _____ OF _____	
1. <input type="checkbox"/> FORM USED AS CONTINUATION SHEET FOR CURRENT (ORIG.) REPORT 2. CR. NO. (ORIGINAL ONLY) <input type="checkbox"/> FORM USED TO REPORT FOLLOW UP INVESTIGATION.	
3. CHECK ONE <input type="checkbox"/> ARRESTEE <input type="checkbox"/> COMPLAINANT <input type="checkbox"/> DRIVER <input type="checkbox"/> VICTIM <input type="checkbox"/> WITNESS AND ENTER → NAME _____	
4. OFFENSE OR CHARGE (REVIEW OFF. CLASSIFICATION FROM ORIGINAL REPORT) _____ <div style="text-align: right;"><input type="checkbox"/> UNFOUNDED</div>	
5. CLASSIFICATION OF OFFENSE (AFTER INVESTIGATION) _____	
6. STATUS <input type="checkbox"/> CLEARED <input type="checkbox"/> UNFOUNDED <input type="checkbox"/> ADM. CLOSING FOR BOX 5 <input type="checkbox"/> NOT CLEARED	
7. ARE ALL PERSONS INVOLVED UNDER 18 YRS. OLD <input type="checkbox"/> YES <input type="checkbox"/> NO	
8. MULTIPLE CLEAR-UP <input type="checkbox"/> YES <input type="checkbox"/> NO LIST OTHER C.R. NO'S IN NARRATIVE, MAKE OUT A NEW SUPPLEMENT FORM FOR EACH CLEAR-UP.	
9. PROP. RECOVERED <input type="checkbox"/> YES <input type="checkbox"/> NO \$ _____	
10. PROP. INVENTORY <input type="checkbox"/> YES <input type="checkbox"/> NO # _____	
11. EVIDENCE TECHNICIAN REPORT <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> PHOTO <input type="checkbox"/> F. PRINT <input type="checkbox"/> I.D. KIT <input type="checkbox"/> OTHER	
12. LOCATION OF ORIGINAL INCIDENT _____	13. DATE OF ORIGINAL REPORT _____ TIME _____
14. IF PROPERTY CRIME; NAME OF ESTABLISHMENT _____	

**THIS BOX FOR OFFICE USE ONLY**

TOTAL XEROX COPIES TO BE MADE →

1 NEWS — TICKLER

2 C.I.S. — EVIDENCE ROOM BE SURE TO INCLUDE A XEROX COPY TO THE EVIDENCE ROOM ON ALL BURGLARY REPORTS

CLEARED BY  APREST  NO PROSECUTION  
 NO ARREST  WARRANT ADVISED

FOLLOW UP BY  PATROL  FILE  
 TRAFFIC  C.I.S.

REVIEWER \_\_\_\_\_ RANK \_\_\_\_\_

## IV. Investigative Decision and Command Review

Block 45 The reporting officer at this time in the report has identified and/or determined the availability/possibility of any solvability factors. If any such factors exist and will assist with any follow-up investigative effort, the "yes" block is to be checked. With no such factors present, opposite "no" (office) block is to be so checked.

Block 46 The reporting officer(s) name is to be entered and the particular patrol beat to which he is assigned at time of report.

45. IS ONE OR MORE OF THE SOLVABILITY FACTORS PRESENT IN THIS REPORT? <input type="checkbox"/> YES (FIELD FOLLOWUP) <input type="checkbox"/> NO (OFFICE REVIEW)	46. REPORTING OFFICERS _____ ASSIGNED BEAT # _____
--	--

Blocks 47 thru 50 Subject blocks for field supervisory only. Supervisor reviews report for completeness and status.

FIELD SUPERVISORS REVIEW 47. <input type="checkbox"/> COMPLETE <input type="checkbox"/> CONCUR <input type="checkbox"/> RECOMMEND C.I.D. / SECTION COMMAND REVIEW 48. <input type="checkbox"/> CONCUR / RECOMMEND _____ REVIEWER _____	49. <input type="checkbox"/> OPEN <input type="checkbox"/> ARREST <input type="checkbox"/> NO ARREST 50. STATUS FOR REVIEW CENTER <input type="checkbox"/> UNFOUNDED <input type="checkbox"/> NO PROSECUTION <input type="checkbox"/> WARRANT ADVISED
---	---

Block 51 ...Indicates the report copy number for distribution purposes and can be used by field supervisors to direct routing of report copies by the Distribution Center.

51.

**APPENDIX G**

**Sample copy of complaint report used by the  
Rochester, N.Y., Police Department.**

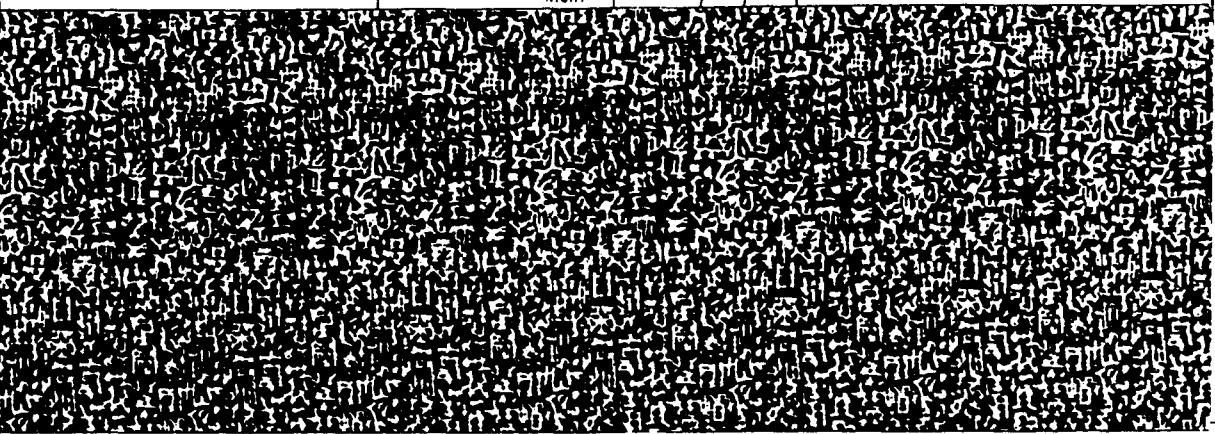
PAGE OF  
rochester police department crime investigation report

1. OFFENSE OR CHARGE (INCLUDE DEGREE)				2. CLASSIFICATION OF OFFENSE (SUPERVISORY REVIEW)				3. C.R. NO. (ORIGINAL ONLY)			
4. TIME OF OCCURRENCE		M. . . . . D. . . . . Y. . . . . T. . . . .		5. WHEN AND WHERE REPORTED		M. . . . . D. . . . . Y. . . . . T. . . . .		6. LOCATION OF OFFENSE (HOUSE NO. STREET NAME)			
7. VICTIMS NAME (LAST, FIRST, MIDDLE) OR FIRM NAME IF BUSINESS						8. VICTIMS ADDRESS (HOUSE NUMBER, STREET NAME)				9. RESIDENCE PHONE	
DAY		NIGHT									
10. VICTIMS PLACE OF EMPLOY. OR SCHOOL NAME				11. BUSINESS PHONE		12. SEX / RACE / AGE		13. PERSON REPORTING - SIGNATURE - DATE			
				DAY		NIGHT					
14. IF ARREST IS MADE; NAME ARRESTEES IN NARRATIVE. PLACE THE NUMBER OF ARRESTEES IN BOX A. IF NONE PLACE AN X IN BOX A											
15. INDICATE WITH PROPER CODE IN BOXES PROVIDED PERSONS RELATIONSHIP TO INVESTIGATION W-1 WITNESS #1, W-2 WITNESS #2, R-REPORTING PERSON, P- PERSON WITH KNOW-EDGE INCLUDING REPORTING PERSONS NAME IF DIFFERENT FROM VICTIMS' IF CITIZEN INFORMATION FORM R.P.D. 1148 IS LEFT WITH ANY OF THESE PERSONS INDICATE BY CIRCILING PERSONS DESIGNATED.											
ADDRESS CHECKED		APT. #		PERSON INTERVIEWED				INFORMATION PROVIDED - USE NARRATIVE IF NEEDED			
ADDRESS CHECKED				PERSON INTERVIEWED							
ADDRESS CHECKED				PERSON INTERVIEWED							
ADDRESS CHECKED				PERSON INTERVIEWED							
ADDRESS CHECKED				PERSON INTERVIEWED							
ADDRESS CHECKED				PERSON INTERVIEWED							
16. WAS THERE A WITNESS TO THE CRIME?								IF NO PLACE AN X IN BOX B			
17. CAN A SUSPECT BE NAMED?								IF NO PLACE AN X IN BOX C			
SUSPECT #1 (NAME INCLUDE ANY A-K-A INFO)				SUSPECT #2 (NAME INCLUDE ANY A-K-A INFO)				SUSPECT #3 (NAME INCLUDE ANY A-K-A INFO)			
18. CAN A SUSPECT BE LOCATED?								IF NO PLACE AN X IN BOX D			
SUSPECT #1 MAY BE LOCATED AT				SUSPECT #2 MAY BE LOCATED AT				SUSPECT #3 MAY BE LOCATED AT			
19. CAN A SUSPECT BE DESCRIBED?								IF NO PLACE AN X IN BOX E			
SUSPECT #1 DESCRIPTION				SUSPECT #2 DESCRIPTION				SUSPECT #3 DESCRIPTION			
DESCRIBE EACH SUSPECT - USING AGE SEX RACE HEIGHT WEIGHT ANY IDENTIFYING SCARS, MARKS AND CLOTHING DESCRIPTION											
20. CAN A SUSPECT BE IDENTIFIED?								IF NO PLACE AN X IN BOX F			
IF SUSPECT INFORMATION HAS BEEN GIVEN OUT VIA RADIO COMM. PLACE AN X IN BOX 21				USING APPROPRIATE CODE IN THE BOXES PROVIDED - INDICATE WHO CAN IDENTIFY SUSPECT							
21. <input type="checkbox"/>											
22. FILL IN LICENSE PLATE INFORMATION IF IT IS AVAILABLE.		MODEL MAKE		YEAR		TYPE		COLOR TOP BOTTOM		IDENTIFYING CHARACTERISTICS	
23. CAN THE SUSPECT VEHICLE BE IDENTIFIED?								IF NO PLACE AN X IN BOX G			
24. IF SUSPECT VEHICLE INFORMATION WAS GIVEN VIA RADIO COMMUNICATION PLACE AN X IN BOX 24								IF NO PLACE AN X IN BOX H			
25. IF THE STOLEN PROPERTY IS TRACEABLE INDICATE IN THE SPACE PROVIDED BELOW								IF NO PLACE AN X IN BOX H			
26. DESCRIBE PROPERTY TAKEN/DAMAGED				27. WHERE PROPERTY WAS REMOVED FROM				28. PROPERTY IDENTIFICATION INFORMATION		29. PROP. VAL.	
30. WHERE HOSPITALIZED		31. ATTENDING PHYSICIAN		32. DATE TIME PRONOUNCED		33. PRONOUNCING PHYSICIAN - WHERE		34. MEDICAL EXAMINER NOTIFIED		TOTAL VALUE	
35. IS THERE A SIGNIFICANT M.O. PRESENT? IF YES DESCRIBE IN NARRATIVE								IF NO PLACE AN X IN BOX I			
36. PROPERTY INV. NO.		37. NATURE OF INJURY		38. POINT OF CRIME		39. TYPE OF WEAPON, INSTRUMENT OR FORCE USED					
40. IS THERE SIGNIFICANT PHYSICAL EVIDENCE PRESENT? IF YES DESCRIBE IN NARRATIVE								IF NO PLACE AN X IN BOX J			
41. TECH WORK DONE BY				HAS AN EVIDENCE TECHNICIAN BEEN CALLED?				IF NO PLACE AN X IN BOX K			
				IS EVIDENCE TECHNICIAN REPORT POSITIVE?				PLACE AN X IN BOX K			
42. IS THERE A SIGNIFICANT REASON TO BELIEVE THAT THE CRIME MAY BE SOLVED WITH A REASONABLE AMOUNT OF INVESTIGATIVE EFFORT?								IF NO PLACE AN X IN BOX L			
43. WAS THERE A DEFINITE LIMITED OPPORTUNITY FOR ANYONE EXCEPT THE SUSPECT TO COMMIT THE CRIME? IF NO PLACE AN X IN BOX M								IF NO PLACE AN X IN BOX M			
44. NARRATIVE - SUMMARIZE DETAILS OF CRIME INCLUDING A DESCRIPTION OF EVENTS, ANY ADDITIONAL INFORMATION WHICH IS AN EXTENSION OF ANY OF THE ABOVE BOXES, NAMES OF ARRESTED, NAMES OF OTHER OFFICERS OR UNITS ASSISTING.											
ASSIST											
ASSIST											
ASSIST											
ASSIST											
ASSIST											
ASSIST											
45. IS ONE OR MORE OF THE SOLVABILITY FACTORS PRESENT IN THIS REPORT?				46. REPORTING OFFICERS				ASSIGNED BEAT #		51.	
<input type="checkbox"/> YES (FIELD FOLLOWUP) <input type="checkbox"/> NO (OFFICE REVIEW)											
FIELD SUPERVISORS REVIEW				49. <input type="checkbox"/> OPEN <input type="checkbox"/> ARREST <input type="checkbox"/> NO ARREST				50. STATUS FOR REVIEW CENTER			
47. <input type="checkbox"/> COMPLETE <input type="checkbox"/> CONCUR <input type="checkbox"/> RECOMMEND								<input type="checkbox"/> UNFOUNDED <input type="checkbox"/> NO PROSECUTION <input type="checkbox"/> WARRANT ADVISED			
C.I.D. SECTION COMMAND REVIEW				48. <input type="checkbox"/> CONCUR <input type="checkbox"/> RECOMMEND				REVIEWER			



rochester police department crime investigation report

1. OFFENSE OR CHARGE (INCLUDE DEGREE)				2. CLASSIFICATION OF OFFENSE (SUPERVISORY REVIEW)				3. C. R. NO. (ORIGINAL ONLY)											
4. TIME OF OCCURRENCE		M. . . . .	D. . . . .	Y. . . . .	T. . . . .	5. WHEN AND WHERE REPORTED		M. . . . .		D. . . . .		Y. . . . .		T. . . . .		6. LOCATION OF OFFENSE (HOUSE NO. STREET NAME)			
7. VICTIMS NAME (LAST, FIRST, MIDDLE) OR FIRM NAME IF BUSINESS								8. VICTIMS ADDRESS (HOUSE NUMBER, STREET NAME)											
10. VICTIMS PLACE OF EMPLOY. OR SCHOOL NAME				11. BUSINESS PHONE				DAY		NIGHT		12. SEX / RACE / AGE		13. PERSON REPORTING - SIGNATURE - DATE					



19. CAN A SUSPECT BE DESCRIBED? IF NO PLACE AN X IN BOX E		
SUSPECT #1 DESCRIPTION	SUSPECT #2 DESCRIPTION	SUSPECT #3 DESCRIPTION
DESCRIBE EACH SUSPECT - USING AGE, SEX, RACE, HEIGHT, WEIGHT, ANY IDENTIFYING SCARS, MARKS AND CLOTHING DESCRIPTION		

20. CAN A SUSPECT BE IDENTIFIED? IF NO PLACE AN X IN BOX F		
<input type="checkbox"/> 21. IF SUSPECT INFORMATION HAS BEEN GIVEN OUT VIA RADIO COMM. PLACE AN X IN BOX 21.	USING APPROPRIATE CODE IN THE BOXES PROVIDED - INDICATE WHO CAN IDENTIFY SUSPECT	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

22. FILL IN LICENSE PLATE INFORMATION IF IT IS AVAILABLE.		MODEL/MAKE	YEAR	TYPE	COLOR TOP/BOTTOM	IDENTIFYING CHARACTERISTICS
---	--	------------	------	------	------------------	-----------------------------

23. CAN THE SUSPECT VEHICLE BE IDENTIFIED? IF NO PLACE AN X IN BOX G	
24. IF SUSPECT VEHICLE INFORMATION WAS GIVEN VIA RADIO COMMUNICATION PLACE AN X IN BOX 24	

25. IF THE STOLEN PROPERTY IS TRACEABLE INDICATE IN THE SPACE PROVIDED BELOW IF NO PLACE AN X IN BOX H			
26. DESCRIBE PROPERTY TAKEN/DAMAGED	27. WHERE PROPERTY WAS REMOVED FROM	28. PROPERTY IDENTIFICATION INFORMATION	29. PROP. VAL.

30. WHERE HOSPITALIZED	31. ATTENDING PHYSICIAN	32. DATE/TIME PRONOUNCED	33. PRONOUNCING PHYSICIAN - WHERE	34. MEDICAL EXAMINER NOTIFIED NAME	TOTAL VALUE
------------------------	-------------------------	--------------------------	-----------------------------------	------------------------------------	-------------

35. IS THERE A SIGNIFICANT M. O. PRESENT? IF YES DESCRIBE IN NARRATIVE IF NO PLACE AN X IN BOX I	
36. PROPERTY INV. NO.	37. NATURE OF INJURY
38. POINT OF CRIME	39. TYPE OF WEAPON, INSTRUMENT OR FORCE USED

40. IS THERE SIGNIFICANT PHYSICAL EVIDENCE PRESENT? IF YES DESCRIBE IN NARRATIVE IF NO PLACE AN X IN BOX J	
41. TECH WORK DONE BY	HAS AN EVIDENCE TECHNICIAN BEEN CALLED? IF NO PLACE AN X IN BOX K
	IS EVIDENCE TECHNICIAN REPORT POSITIVE? PLACE AN X IN BOX K

42. IS THERE A SIGNIFICANT REASON TO BELIEVE THAT THE CRIME MAY BE SOLVED WITH A REASONABLE AMOUNT OF INVESTIGATIVE EFFORT? IF NO PLACE AN X IN BOX L	
---	--

43. WAS THERE A DEFINITE LIMITED OPPORTUNITY FOR ANYONE EXCEPT THE SUSPECT TO COMMIT THE CRIME? IF NO PLACE AN X IN BOX M	
---	--

44. NARRATIVE: SUMMARIZE DETAILS OF CRIME INCLUDING A DESCRIPTION OF EVENTS; ANY ADDITIONAL INFORMATION WHICH IS AN EXTENSION OF ANY OF THE ABOVE BOXES. NAMES OF ARRESTED; NAMES OF OTHER OFFICERS OR UNITS ASSISTING.	
---	--

	ASSIST
	ASSIST
	ASSIST
	ASSIST
	ASSIST

46. REPORTING OFFICERS		ASSIGNED BEAT #	51.
49. <input type="checkbox"/> OPEN <input type="checkbox"/> ARREST <input type="checkbox"/> NO ARREST		50. STATUS FOR REVIEW CENTER <input type="checkbox"/> UNFOUNDED <input type="checkbox"/> NO PROSECUTION <input type="checkbox"/> WARRANT ADVISED	

APPENDIX H

Crime Analysis  
From  
Managing Partol Operations Manual

## CRIME ANALYSIS

By maximizing the amount of noncommitted patrol time, the police administrator has the opportunity to decide how to use the total patrol time in the most effective and economical way. Increasingly, police managers are realizing that to make decisions that are responsive to actual needs, it is critical for the agency to develop a "crime analysis" capability.

In the scope of this chapter, it will not be possible to present a detailed description of how a "crime analysis" is conducted. Rather, we will look at the history of the activity and the general view about what it is. We will also examine briefly some of the key components of a crime analysis system, from the manager's perspective. We will look at the outcomes and benefits rather than the process.

Clearly, the way in which a crime analysis unit is staffed, where it is placed in the organization, what it is charged to do, and how its performance is measured are elements that must be tailored to the needs of the individual agency as well as the managerial desires and style of the local administration. The agency's decision concerning the scope and depth of the crime analysis capability will determine the output as well as the range of skills required by the unit.

In some agencies, the starting point for crime analysis will be the identification of crime patterns and trends. In others, crime analysis is viewed as a broad managerial tool embracing tactical, administrative, productivity, and organizational analyses. Obviously, the second type of crime analysis would require personnel with higher levels of skills to be successful. A description of the more sophisticated approach is contained in Appendix A of this chapter.

### I. CRIME ANALYSIS: HISTORICAL PERSPECTIVE

A brief chronology of the origin and evolution of the "crime analysis" concept may prove useful.

The origin of the concept of crime analysis has been traced back to the early 1900's when August Vollmer first introduced into this country the English technique of systematic classification of known offender modus operandi (MO). In addition to introducing a systematic approach to MO analysis, Vollmer has also been cited as the originator of the modern police records system, beat analysis based upon the examination of recorded calls for service, and the concept of pin or spot mapping to visually identify areas where crime and service calls are concentrated. In his essay, "The Police Beat,"

Vollmer offered the following statement regarding the use of crime analysis to support police operations: "On the assumption of regularity of crime and similar occurrences, it is possible to tabulate these occurrences by areas within a city and thus determine the points which have the greatest danger of such crimes and what points have the least danger."<sup>1</sup>

In 1967, the President's Commission on Law Enforcement and the Administration of Justice described crime analysis as a "planning function regardless of the organizational unit in which it is placed." The Commission added:

The primary purpose of crime analysis is to study "daily reports of serious crimes in order to determine the location, time, special characteristics, similarities to other criminal actions, and various significant facts that may help to identify either a criminal or the existence of a pattern of criminal activity." (Quoted from O. W. Wilson, Police Administration, 1963.)<sup>2</sup>

The authors of the report drew a distinction between *modus operandi* analysis and crime analysis. They indicated that the former activity was primarily concerned with persons and the latter with events.<sup>3</sup> This distinction seems to be more a matter of the level and degree of sophistication rather than a clearcut division of labor.

In 1973, the National Advisory Commission on Criminal Justice Standards and Goals urged that:

Every police department should improve its crime analysis capability by utilizing information provided by its information system within the department. Crime analysis may include the utilization of the following:

1. Method of operation of individual criminals;
2. Pattern recognition;
3. Field interrogation and arrest data;
4. Crime report data;
5. Incident report information;
6. Dispatch information; and
7. Traffic reports, both accidents and citations.

---

<sup>1</sup>Grassie, Richard P., et al., Integrated Criminal Apprehension Program--Crime Analysis Executive Manual (preliminary draft), Westinghouse Corp., 1977, p. 1-9.

<sup>2</sup>President's Commission on Law Enforcement and the Administration of Justice, Task Force Report: The Police, 1967, p. 77.

<sup>3</sup>Ibid., p. 78.

These elements must be carefully screened for information that should be routinely recorded for crime analysis.<sup>4</sup>

In recent years, most police agencies have recognized the need to develop a "crime analysis" capability. There have been two powerful forces at work to bring about this shift. One is that the fiscal crunch in most municipalities has literally mandated a better use of available resources. The other has been the Law Enforcement Assistance Administration insistence that applicants for federal funding must have the capability of systematically analyzing its problems. Both of these forces have been real stimulators for change--and the adoption of crime analysis as a means through which greater productivity can be achieved.

## II. CRIME ANALYSIS: A DESCRIPTION

What is "crime analysis?" What are its objectives? What are the advantages to be realized from formalizing the process of crime analysis (as opposed to using the informal approach)?

Crime analysis has been described as follows:

- Crime analysis is a set of systematic analytical processes directed towards predicting criminal trends (in both individual and aggregate situations) for the purpose of reducing crime in a cost-effective manner.<sup>5</sup>
- Crime analysis is the process of systematically examining recent crime incidents and criminal behavior in an effort to identify crime patterns and characteristics so as to permit the effective deployment of personnel and resources and the adoption of appropriate strategies and tactics.<sup>6</sup>

Both of the definitions above describe the systematic analysis of reported crime and criminal behavior aimed at identifying or predicting crime trends or patterns. The outcomes of such analyses should lead to more productive and cost-effective use of resources.

Some of the objectives that crime analysis might be expected to achieve are to:

- Increase the number of cases cleared by arrest;

---

<sup>4</sup> National Advisory Commission on Criminal Justice Standards and Goals, Criminal Justice System, 1973, p. 56.

<sup>5</sup> California Crime Technological Research Foundation, Training Workbook: The Crime Analysis Process, Law Enforcement Assistance Administration, 1975, p. 1.

<sup>6</sup> Improving Patrol Productivity, Vol. II, p. 61.

- Provide investigative leads to detectives;
- Improve operational data for patrol;
- Furnish support data to public awareness and involvement programs;
- Supply law enforcement related data to urban planning, building permits and codes, transportation systems, construction, etc.;
- Identify evolving or existent crime patterns;
- Yield substantive data for effectiveness measures of specific programs and/or agency policies and procedures;
- Provide supporting data for recommended crime control programs;
- Furnish trend data for law enforcement planning, targeting, budgeting, and resource allocation.<sup>7</sup>

Several reasons advanced for formalizing the crime analysis process are that such an approach:

- Increases the objectivity of the analysis;
- Enables better coordination between operational units;
- Centralizes the analytic function and (therefore) assigns responsibility;
- Facilitates inter and intra-agency communication;
- Reduces time required to determine patterns;
- Improves capability to identify trends.<sup>8</sup>

It does seem reasonable to assume that a formalized crime analysis process will lead to a better and more reliable collection of relevant and timely information. This capability lends itself to the institution of a "scientific" approach to problems as opposed to reliance on intuition that is all too often the basis of the informal process.

---

<sup>7</sup> California Crime Technological Research Foundation, op. cit., p. 3.

<sup>8</sup> Ibid., p. 4.

### III. DEVELOPING CRIME ANALYSIS CAPABILITY

The decision concerning the desired level and degree of crime analysis capability rests with the police administrator as well as the requirements of the individual agency. Some departments may find that a relatively simple manual or hand-tally operation is adequate, while larger agencies may require on-line computer support to develop a broader and more meaningful crime analysis program.

Once a decision is made to develop a crime analysis capability in an agency, questions of organization placement, staffing, and equipment arise. As noted earlier, the answers to these questions are best arrived at by studying the individual department's existing organizational structure, personnel capabilities, and availability of equipment.

There are a number of different approaches to organization placement. Some departments place this responsibility at the chief's level to emphasize its importance and they assign the total responsibility for "crime analysis" to this centralized unit. Other departments assign the unit specifically to the "chief of operations" level, assuming that the unit's primary responsibility is to feed relevant and timely information to the two principal operational arms of the agency (i.e., patrol and investigative components). Still others (primarily the large departments) go beyond a centralized crime analysis unit and develop a unit with decentralized capability that reports directly to field commanders. There is no "best way" to place this responsibility in an organization.

There are as many approaches to staffing as there are to organizational placement. In some departments, the person in charge of this activity is an experienced police official who has some analytical skills and who employs sworn officers with the same abilities. In other departments, the person in charge is an experienced police official who has a staff of sworn and civilian personnel who have analytical skills. In still other departments, the person who heads this effort is a civilian analyst and manager who employs both sworn officers and other civilian analysts. The approach an agency takes depends upon the competency of persons available as well as the preference of the police administrator.

As mentioned previously, it is not our intention to provide a comprehensive description of how the crime analysis function is performed. There are many publications that provide this type of information in detail.

Since crime analysis is essentially a process, it is possible to identify the critical components that should be incorporated, regardless of the sophistication of the system. In the rest of this chapter we will look briefly at five basic components of the crime analysis process:

- Data collection (input) and collation;
- Data analysis;
- Data output (reports);

- Accountability;
- Evaluation.

A. Data Collection and Inputs

Most police agencies routinely collect data on a broad range of events which they record on specially designed forms. Most of these reports provide information concerning crime and the modus operandi of the criminal. Clearly, the amount and quality of data collected by police officers will affect directly the agency's analytical capability. Therefore, existing departmental forms should be reviewed to make certain that all of the data required for the analysis function is being acquired. For, meaningful crime analysis is dependent upon the collection of relevant and timely data.

The data collected must be complete and of high quality. Exact and descriptive modus operandi information (e.g., that a small caliber handgun is used and not just a weapon) must be recorded if a precise basis for comparison is to be developed. Also, what was not done or not taken by a suspect may be as significant for analysis as what was done or taken. For example, a burglar may take only cash and expensive jewelry and leave costume jewelry and other easily fenced property behind.

The information available for each crime category must be systematically and uniformly collected so that meaningful comparisons and analyses can be conducted. Careful design of the content and format of the collection forms, coupled with training that explains what is required in completing the form, will ensure consistency in the collection of needed data.

Information input to the crime analyst must also be provided on a timely basis. This permits a rapid analysis and dissemination of findings to the field commanders so that timely and responsive patrol strategies and tactics can be developed.

Data collection should not be limited to reports of crime received by the police agency. Investigative, arrest, intelligence, and stolen vehicle reports often contain important information to supplement existing crime pattern and suspect files.

Additionally, extra-agency input from other police departments, parole and probation departments, private security agencies, and state and federal police agencies are potential sources of valuable information that may help in computing a crime pattern for identifying a criminal suspect.

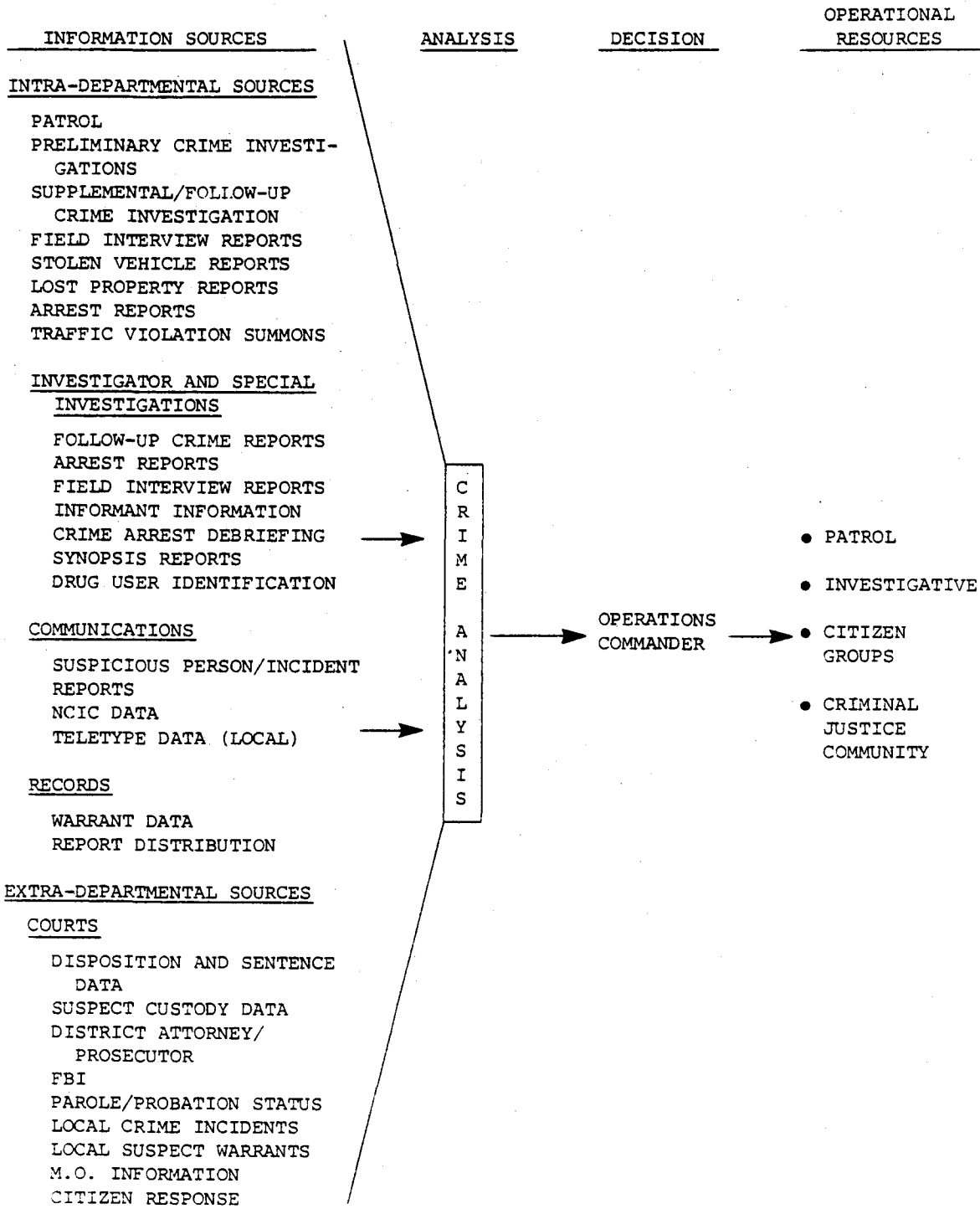
Existing state, federal, and local computer files (Department of Motor Vehicles, N.C.I.C., court system, etc.) could also be used to make data from other information banks accessible.

Use of a well publicized "Crime Analysis Hotline" for citizen callers who may leave anonymous tips is still another source of valuable crime data.

A chart, outlining these basic sources of information and how they are processed, is depicted in Figure 4-1.



Figure 4-1. Crime Analysis Flow Chart



## B. Data Analysis

Many suggestions are offered in documents written on the crime analysis function about which crimes the process best analyzes. Caution suggests that a department not lock itself into an "approved" list of target crimes. However, at the initial stage of developing the analysis capability, it may be practical to focus on selected categories of crime and then evaluate the efforts before expanding the scope of coverage.

In many agencies, for example, the first efforts tend to analyze burglary, robbery, auto larcenies, and sex crimes (particularly rape). The analysis of other crimes is added as the system is perfected and the capacity increased.

The mechanics of crime analysis tend to be straight forward but can be made more sophisticated as the capability is increased. The police administrator usually determines the priorities by identifying the general goals and scope of the crime analysis activity.

## C. Data Output and Reporting

The crime analysis process, at the very least, must provide the police manager with information about where and when crime is occurring. Generally, this analytical activity is linked to Part I offenses, and in many cases, only selected categories within that class.

The identification of emerging crime patterns, on a geographical or temporal basis, or both, is a basic responsibility of a crime analysis unit. This type of information is needed for the intelligent planning of patrol programs by the field commander. For example, if the crime pattern is localized geographically and occurs regularly, a quick response and a saturation or specialized patrol strategy will best address (and may stop) the problem early.

Another responsibility of crime analysis is to identify crime "category" problems. In these cases, where the geographic and temporal distribution of the problem is widespread, the operational response is much more difficult and comprehensive.

An excellent study of a crime category, residential burglaries, was conducted by the Columbus, Georgia, Police Department. In their analysis of this problem, they considered all facets of crime under study, including a summary description of the character of the crime, the modus operandi of those who committed the crime by generic category (e.g., juvenile, drug user), and the method by which the property was being disposed of. Then, they established objectives they wanted to achieve through the operational program they would develop. A synthesis of this entire program has been included in Appendix B of this chapter.

A crime analysis process can and should provide other analytical services and reports, such as, modus operandi analysis, known offender information, "wanted" person information, daily crime listings, crime overviews, and so forth. In short, the scope and depth of outputs are limited only by the practical need for the information.

The methods and frequency of reporting the information should be determined by the police administrator. Again, it should be made clear that the ability to generate meaningful information is directly dependent upon relevant data collection and input. The quality of crime analysis reports are directly dependent on the accuracy, amount, quality, and timeliness of the information received. (Figure 4-2 depicts a simple input-throughput-output process.)

Information collected should also be shared with extra-departmental sources, especially other local law enforcement agencies. Citizen interest groups (Neighborhood Watch, Blockwatchers, and other such community groups) interested in an increased involvement with policing can be issued newsletters or bulletins on crime trends or modus operandi and be encouraged to notify police if they observe a specifically described occurrence.

The amount of information provided by the crime analyst is another critical issue. A patrol division "glutted" with bulletins tends to overlook them as being too time consuming to read. Regular and routine issuances of data to the operational level can actually be counterproductive. A "special bulletin," "priority alert," or "hot tip" approach to issuing information may attract more attention and, therefore, tend to produce more results.

#### D. Accountability

Analyzing data and getting it disseminated does not complete the responsibility of crime analysis. The crime analysis unit(s) should be required to recommend strategies and tactics concerning the effective resolution of identified problems. And, a response to the recommendations, including a plan of action based on the analysis provided, should be required of the operational commander.

#### E. Evaluation

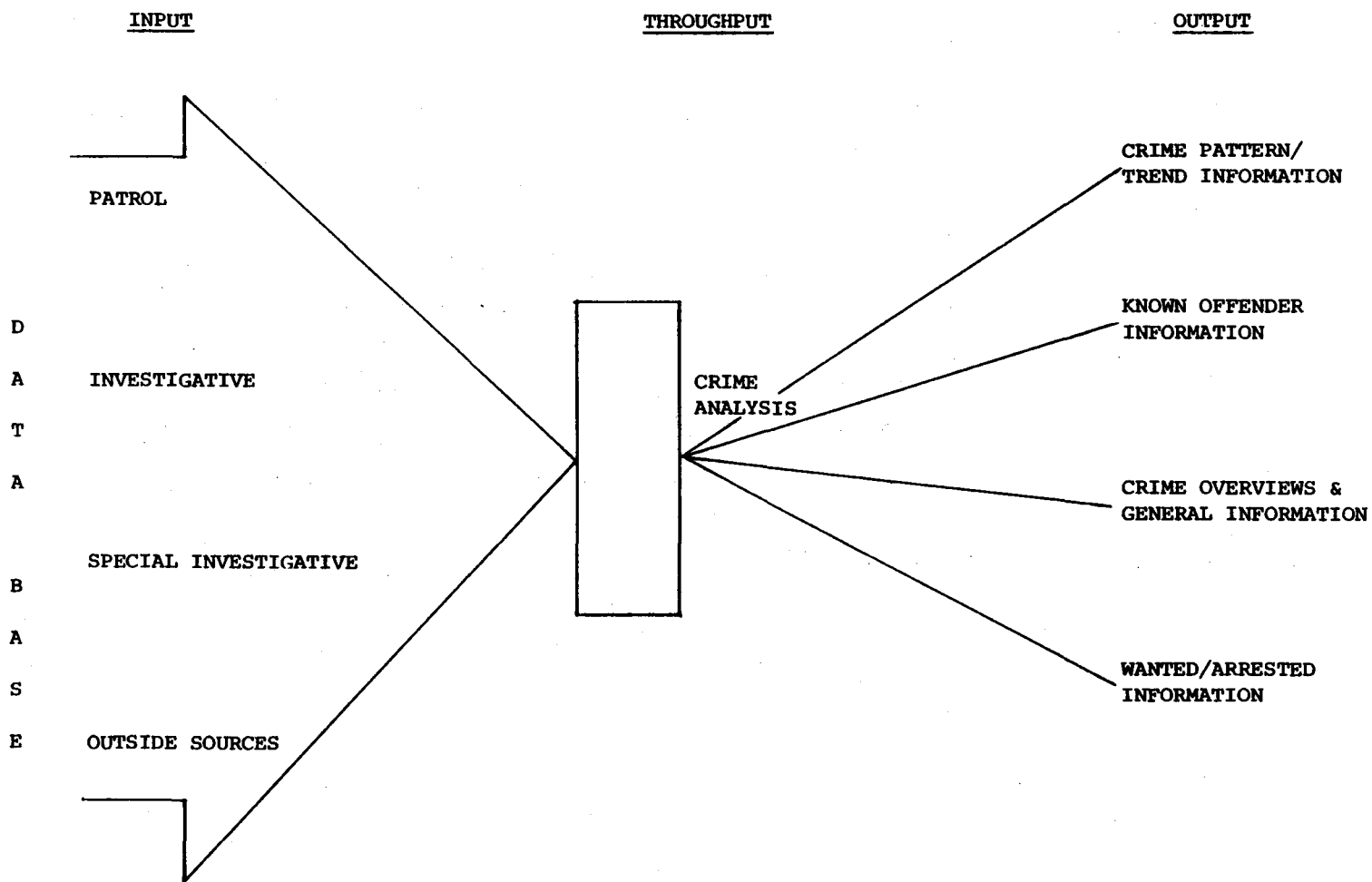
The improvements in performance achieved by the agency that are traceable to "crime analysis" outputs should be measured continually. The evaluation should consider carefully the value of the disseminated information to the achievement of identified departmental goals. A second measure might look at whether the needs of the users of the system are being met.

The evaluation design should also identify the following:

- Cost-effectiveness of operations;
- Need for modification of present approaches;
- Budget justifications (e.g., that a move toward computerized operations would be more economical).

It should be made clear that the establishment of a competent crime analysis capability requires total administrative support. Furthermore, if the potential users participate in the organization of such a unit and identification of the responsibilities to be assigned to it, the potential for substantial contribution to better operational performance will be greatly enhanced.

Figure 4-2. Crime Analysis Process



There is, of course, a need to provide for supervision and evaluation of the crime analysis process to make certain that it is delivering the type and scope of analysis required for active, as well as reactive, decisionmaking by field commanders.

In recent years, the scope of "crime analysis" activity has been broadened to include "problem identification." This extension of responsibility has been defined in the following way:

Although, we refer to it as crime analysis, a better name might be problem identification, for it pertains to crime patterns as well as to the order maintenance, community relations, and traffic problems with which every police department must deal. Only when an agency has begun to detect, classify, and describe and analyze patterns of activity can patrol tactics be designed to address these problems. When incidents are not analyzed and classified, patrol managers are frequently left with the impression that all events are isolated, and that there are no temporal or geographic patterns of crime.<sup>9</sup>

Nonetheless, whether the mandate of the function is that of "crime analysis" or the larger approach suggested in a "problem identification" responsibility, the purpose of this activity is to provide the police manager with information that permits him to exercise options which are responsive to identified operational needs.

The authors of the Prescriptive Package, Improving Patrol Productivity, following a study of more than 300 police agencies, identified the need to develop a crime analysis capability as being a key to effective and efficient patrol utilization. They recommended that:

- The analysis of crime patterns be routinely and periodically supplied to patrol managers;
- The information be used to design crime specific prevention, deterrence, and apprehension tactics;
- These tactics be implemented, reviewed, and modified on a daily basis; and
- A procedure be implemented to ensure tactical coordination across shifts.

They also pointed out that "it should be the responsibility of patrol commanders or team leaders to insure that first-line supervisors are using crime information in developing specific patrol tactics."<sup>10</sup>

---

<sup>9</sup> Improving Patrol Productivity, Vol. I, pp. 92-93.

<sup>10</sup> Ibid., pp. 94-95.

In conclusion, the purpose of this chapter has been to point up the critical need to develop a capability that provides the police manager with information on crime occurrence and problem identification so that intelligent and responsive decisions can be made as to how patrol (and other) resources can be used more effectively. Haphazard and reactive approaches to policing must be replaced by a planned and competent crime analysis capability.

## APPENDIX I

The paper in this Appendix is an analysis of the crime of residential burglary. The analysis was done by the Columbus, Georgia, Police Department Crime Analysis Unit. It is reprinted by permission of the Department and is representative of a comprehensive report on a specific analysis of one type of crime.

\* \* COLUMBUS, GEORGIA \* \*

Title: Equipment Solutions to the Problem of the Control of Residential Burglary

This study of residential burglary has as its objectives: first, the establishment of the significance and nature of residential burglary in Columbus; and second, the identification of the problems of controlling this crime. The overall goal is the provision of input for the eventual reduction of burglaries through the identification and reduction of problem areas most amenable to procedural and/or equipment solutions.

Methodology:

The study is based on available department statistics on residential burglary, data gathered specifically for this study, discussions with department personnel, and direct observation of departmental actions. Additional information was obtained from the prosecutor's office in a like manner.

Facts and Facets of the Crime of Burglary:

Residential burglaries generally take place during the week.

A residential burglary will generally take place during the day. Data indicates that 45.5% of the burglaries occur during the day, 33.3% occur during the night, and 21.2% have an unknown hour of occurrence. A daytime burglary is generally felt to have taken place between 9:00 a.m. and 12:00 noon--a time when the occupants have left the house and neighbors are busy indoors with housework and the like.

Burglarized units are usually entered via a door or window. For 1971, the breakdown is as follows: 57.7% doors; 40.8% windows; 1.5% unknown. For 1972, 58.2% doors; 37.5% windows; 4.5% unknown, with slide windows and doors being favored. (Slide windows used 32.4% of the time in 1971 and 28.8% of the time in 1972.)

Entry is frequently made through an unlocked door or window indicating the degree of carelessness on the part of the occupants. A sample of 110 burglaries indicated that entry was made through an unlocked door or window in 26% of the cases.

The use of brute force is the most common method of gaining entry with windows being broken 31% of the time; windows forced 5.5% of the time; a door forced or kicked open in 8.2% of the cases; and glass broken in the door in 12.8% of the cases.



The value of property reported taken during house burglaries in 1972 was \$350,415 or approximately 25% of all property taken during the commission of Part I crimes. (In 1971 residential burglary accounted for 18% or \$266,450.)

The average residential burglary in 1972 was \$352 as compared to \$203 for the non-residential burglary. In 1971 the average was \$312 and \$195, respectively, indicating the greater availability of goods and cash in residential burglaries.

Easily moveable and easily sold and/or fenced items and money itself are the most likely objects of attack. Specifically, based on 1972 statistics, these items are portable televisions 31% of the time, cash 19.8% of the time, stereos 19% of the time, handguns 12% of the time, and jewelry 9.5% of the time.

The time span within which a burglary may take place, i.e., the time which the occupant is away from his home, indicates that the occupant need not be away for very long with 11% of the burglaries occurring when the occupant was gone one-half hour or less; 31% within two hours or less, and 55% within four hours or less.

The time required to "pull off" the actual robbery is estimated at five to ten minutes where some home entertainment equipment, small appliances, and cash are the objects of attack.

The majority of burglars arrested are males between 12 and 24 years of age.

Clearance rates for residential burglary were 25.3% and 20.2% for 1971 and 1972, respectively, indicating the relatively low risk for the burglar.

The average sentence for the "first" offender is approximately one year and for the repeater five to fifteen years.

#### Summary Description of the Character of Residential Burglary in Columbus:

The department feels that its primary residential burglary problem consists of a group of males between the ages of 17 and 29, who through either choice or need (need being defined as need for drugs) have chosen residential burglary as the means of supplementing their incomes in order to support themselves, and their family and/or their habit. Only a few members of this group are believed to rely exclusively on burglary as a source of income. Characteristic of this group is their mobility (use of vehicles); the theft of easily fenced articles (primarily portable television and stereo equipment and money); forced entry by brute force through the breaking of glass or the forcing of doors and windows; the time required for commission of between five-ten minutes; and the disposal of the item through a fence or pawn shop. The time of day of commission is fairly equally distributed between the day and night time hours and is more likely to occur during the week than on weekends. In addition, it is felt that little planning is used in the selection of targets although the statistics and the length of time away from home--31% of all burglaries occurred while the occupant was away for two hours or less--indicates some knowledge on the part of the burglar as to the habits of the occupant. When caught, a low bond is typically assessed which puts the burglar back on the street in a very short time committing

more burglaries to pay the bondsman and to support himself. When convicted, the juvenile and "first" offender are often given short sentences which places them back in circulation in six to nine months. The effective apprehension on the total amount of active burglars in a community--which is slight in the first place--is yet reduced by these court practices thereby directing attention to the effectiveness of philosophy of apprehension as a means of reducing the incidence of residential burglary.

#### Perpetrators of Residential Burglary and Their Modus Operandi:

##### Juveniles

This group, which is comprised of all youths under the age of 17, constitutes 39% of all persons arrested for burglary in 1972 and accounts for approximately 50 or 25% of the residential burglaries cleared for that year. (However, departmental opinion is that this group is responsible for only 10% of all residential burglaries committed and that the above figure of 25% is attributable to the fact that the juvenile is more likely to be caught.) On the average, the department estimates that two to four burglaries can be attributed to each juvenile and/or juvenile gang before their first arrest. This figure is also estimated for the number of burglaries between arrests.

The burglary carried out by this category is characterized by a small group of boys, usually three to four, who seeing an opportunity within their neighborhood to commit a burglary, do so; who gain entry by breaking a window or door glass; and take small items such as radios, food, and cash. Objects are generally used by the subjects or given by him (them) to a friend to enhance his (their) prestige and his (their) peer group.

##### Semi-Professional/Drug User

This group is defined by the department as consisting of: (1) those who regularly supplement their incomes through residential burglaries and in a few extreme cases support themselves entirely by this means; and (2) those who turn to burglary as a means of supporting a drug habit. These sub-groups are not mutually exclusive and data to support this conjecture exists only in relation to the drug user and is itself not systematically documented.

However, based on what information is available, the drug user accounts for approximately 55 of the 143 persons arrested for residential burglary in 1972 and for approximately 115 or 56% of the burglaries cleared. (Departmental estimates based on opinion hold, however, this group responsible for approximately 75% of all residential burglaries committed.) On the average, the department estimates that 7 to 12 burglaries per year can be attributed per user and that the upper bound of the individual burglar (user or non-user) can range as high as 50 to 60 offenses per year.

Taken as a whole, this group of burglars is not thought of as lazy with its members believed to be actively engaged in "hustling a buck" through a variety of legal and illegal means. By way of illustration, a typical member of this group is believed to be legitimately employed in a low skill job from which he is absent a significant amount of time. During his absence and after working

hours, he is believed to be engaged in such activities as gambling, pimping, "pushing," and the like, resorting to residential burglary only to get himself through a rough spot.

The characteristics of burglaries committed by this group are:

1. The use of a car or van which is usually parked a block away or a street over, although some will park right in the driveway;
2. Two participants--one to drive and watch, and one to carry out the burglary;
3. Entry made by force; and,
4. Theft of cash, portable televisions, stereos, and other easily fenced items.

Little planning is thought to be used by this group, who will drive through an area looking for signs of unoccupied residences such as full mail boxes, numerous newspapers, no cars in the driveway (indicating both parties at work or at least at the store), etc.

Upon locating a probable target, the burglar, prepared with a story, will knock at the door and/or check the yard to see if the house is in fact unoccupied. (For instance, a favorite story of blacks in a white neighborhood is to carry a rake and inquire as to yard work to be done, and a favorite ploy of whites is to "discover" that he is at the right address but the wrong street. Finding the house unoccupied, the burglar will commonly enter then and there. The living room and bedrooms will typically be the only rooms touched with the burglar taking televisions and stereos from the living room and searching the top drawers of dressers and night stands and in and behind the headboard of the bed for cash, jewelry, and handguns.

Nighttime residential burglaries are characterized by the burglar sitting in his car observing the actions of the neighborhood and choosing a target which is obviously unoccupied. Another characteristic of a nighttime residential burglary is that the perpetrator lives in the same neighborhood as the victim and knows the victim's habits and the value of property in his house. Nighttime burglaries are thought to be large in that there is a somewhat greater amount of planning (knowledge of what is in the house) and a greater amount of cover due to darkness.

Property taken by this class of burglar is generally taken to a pawn shop or to a small fence such as a gas station. Rarely will he attempt to sell it on the street. In pawning and/or fencing, he will receive 5% to 8% of the market value of the item. In rare cases, the burglar will work directly for a major fence thus developing a steady and reliable income.

#### Disposal of Stolen Items:

The burglar rarely keeps the stolen items more than 24 hours before disposing of them through a street sale, a pawn shop, or a fence. (During this time these items will be stored in his car, in his home, or in the home of a

friend or acquaintance.) Of the three, the fence is the most likely outlet. Monetarily, they receive 5% to 8% of the market value of the goods from these sources. For the purposes of discussion, the fence may be loosely grouped into the major fence, the minor fence, and the casual fence. In addition, the pawn shop may be thought of as a specialized form of legalized fencing.

#### Major (Professional) Fence

There are 12 known fences in Columbus, i.e., those fences with organized distribution systems outside of the city; who deal in volume; who specialize--placing orders for items as needed--and who act as distribution points for stolen goods shipped into the area. The twelve known major fences are all local businessmen who use their businesses which range from a new car dealership to an appliance store, as fronts for their illegal activities. Organizationally, the fence has direct dealings on the local level, with: (a) several selected burglars with whom he will place specific orders and occasionally go to the extent of setting up the job; (b) minor fences who act as screens. Contacts for moving goods out of or into town are made on a face-to-face basis with transactions in cash or in-kind exchanges, i.e., televisions for televisions, televisions for drugs, tires for furniture, etc. Transportation of these goods is made by rented truck and can be to any point in the country.

#### Minor Fence

There are approximately 160 service station, 15 small grocery stores, 3 gun shops, and an unknown number of television repair shops, appliance stores, etc., who act as minor fences. For example, receive stolen items on a regular basis for sale through their own business or to major fences. If these items are sold to a major fence, approximately 10 to 15% of their market value will be received--the minor fence having bought them at 5% to 8% of the market value. The department feels that in a significant number of cases the fencing activity is motivated by the need to supplement and support a marginal business which would otherwise fail.

#### Casual Fence

The casual fence is just that--a businessman who seeing a good buy and feeling that it cannot be traced--will occasionally purchase an item. Numerically this type of fence is unknown, but is thought to exist in such numbers as to provide a significant outlet for stolen goods.

#### Pawn Shops

There are now seven pawn shops operating in the city of Columbus who willingly or unwillingly provide an outlet for stolen goods. These shops are licensed by the city and are regulated by city codes which instruct the operators to keep records of the items pawned and the persons doing the pawning. However, the detail of these descriptions is left up to the operator. As a result the items are typically described in a manner not useful to the investigator who scans these reports. This legal loophole also leads to the practice of "under-the-counter" sales of such items as televisions, stereos, tape players, and typewriters. Additionally, the code does not require the operator to make a concerted effort to obtain and record serial numbers in instances where the number is

concealed by cabinets or cases or is otherwise placed as to require the opening and/or partial dismantling of the item. As a consequence television sets, tape decks and stereos--items which typically have the serial numbers imprinted inside the case and which are the items most frequently taken in residential burglaries--are allowed to re-enter the marketplace without serial numbers being recorded for use in the identification of stolen goods and the operators are provided an "out" when stolen goods are found on their premises.

Objectives:

In an effort to establish an effective program of control, approaches have and are being sought which achieve one or a combination of the following objectives:

- An increase in the ability to detect a burglary in-progress;
- An increase in the availability of evidence--both physical and witnesses;
- A decrease in the ability to dispose of stolen items;
- An increase in the ability to detect and predict patterns of burglary and to identify modus operandi;
- An increase in the ability to detect and apprehend a suspect at or near the scene;
- An increase in the efficiency, effectiveness, and availability of manpower.

As of this writing, the department and the authors believe that these objectives may be met and an effective program of control established through an integrated approach which includes, but is not restricted to, the following:

- A. The education of the public and the continuation and expansion of the police-sponsored property identification and registration program. More than any other program, the combination of the education identification programs is believed to possess the potential of contributing to substantial reductions in residential burglary. These reductions will be achieved through: (1) alert neighbors and the subsequent increase in eyewitness descriptions; (2) reductions in opportunities with special emphasis on the reduction of non-forced entries, i.e., unlocked doors or windows, which now comprise approximately 26% of the entries made; and (3) the "hardening" of the residences as appropriate.
- B. Increased emphasis on the prosecution of fences as opposed to the individual burglar. Next to the re-establishment of the individual's responsibility in protecting his own property this re-deployment of manpower is believed to be the most effective in reducing not only residential burglary but all classes of crime in which property must be exchanged for cash.

- C. Police involvement with the community in the development of building codes and neighborhood designs which contribute to the control of residential burglary.
- D. The development of means of increasing the availability of evidence through the use of equipment systems.
- E. The development of community-based and/or police-sponsored alarm systems to increase the ability to detect a burglary in-progress.
- F. The improvement of departmental operations through such means as: (1) use of the computer in developing patterns of burglary and modus operandi of the offenders; and (2) the use of the automated equipment to "free up" manpower for work directly involved in controlling the offense.
- G. Stimulation of governmental involvement in the establishment of standards for the placement and attachment of serial numbers and other identifying means on home entertainment equipment and other frequently stolen items.
- H. The program of education to overcome the general lack of concern which the police officer and the public has for residential burglary.
- I. Increased interaction with the prosecutor's office and the courts to identify problems in police, prosecutorial, and judicial processes which defeat the criminal justice system's ability to control residential burglary.

**APPENDIX J**

**Selection Use Of Various Tactics**





## SELECTION AND CHOICES OF TACTICAL RESPONSES

The selection of a tactical response by management should be the product of a management analysis of crime problems and available resources. Some specific questions to answer when conducting such an analysis for decisionmaking are:

- Are there temporal and geographic constraints that define a pattern?
- Can the crime be observed by police or monitored by electronic devices?
- Are there method of operations patterns that may lead to a development of suspect identity?
- Is there a victim typology that lends itself to prediction of occurrence or lends itself to decoy or possible target observation?
- Can current informant information be used or does it have to be cultivated?
- Is the identity of a suspect known or is there information that may lead to suspect recognition by police?
- What tactics in neighborhoods with similar demographics have worked in the past?
- Is needed manpower and equipment available?
- Will assistance be required from citizens or private firms?
- Will cooperation be required from other departmental units or other law enforcement agencies?
- How will this operation affect other specialized patrol unit agencies?
- Is the objective to move or suppress the problem; to investigate it; or to apprehend a suspect while a crime is in progress?

THE ATTACHED MATERIAL WAS EXCERPTED FROM A  
REPORT PREPARED BY THE CHARLOTTE, N.C. POLICE DEPARTMENT



CRIME/TACTIC CAPSULE

TARGET CRIME

TACTICAL ALTERNATIVES

Street Robbery

Uniformed Tactical Patrol;  
Area Surveillance;  
Suspect Surveillance;  
Decoy Operations;  
Crime Prevention.

Commercial Robbery

Uniformed Tactical Patrol;  
Area Surveillance;  
Suspect Surveillance;  
Physical Stake-outs;  
Electronic Stake-outs;  
Crime Prevention.

Residential Burglary

Uniformed Tactical Patrol;  
Area Surveillance;  
Suspect Surveillance;  
Electronic Stake-outs;  
Crime Prevention.

Commercial Burglary

Uniformed Tactical Patrol;  
Area Surveillance;  
Suspect Surveillance;  
Physical Stake-outs;  
Electronic Stake-outs;  
Crime Prevention.

Auto Theft

Uniformed Tactical Patrol;  
Area Surveillance;  
Suspect Surveillance;  
Decoy Operations;  
Crime Prevention.

Larceny From Auto

Uniformed Tactical Patrol;  
Area Surveillance;  
Decoy Operations;  
Physical Stake-outs;  
Crime Prevention.

## UNIFORM TACTICAL PATROL

Uniformed tactical patrol is the most traditional and one of the most widely used forms of directed patrol. It involves constant visible movement to generate a sense of police presence in an area, careful observation of street activity including both vehicle and pedestrian stops, and citizen contacts.

Uniformed tactical patrol is often used to saturate an area that has been identified as experiencing a serious crime problem. It can be used to control any type of suppressible crime, including both street and commercial robbery, residential and business burglary, and vehicle theft. A variety of techniques exist which tend to both increase police visibility and enhance the citizens' perception of a police presence.

### SATURATION PATROL:

Deployment of many marked police units in the target area with instructions to maintain a steady movement within the area.

### FOOT PATROL:

Deployment of foot patrol officers in a significantly smaller area enables officers to more thoroughly check the area for criminal activity.

### UNMARKED PATROL UNITS:

Deployment of uniformed officers in unmarked patrol units strikes a balance between covert and overt police patrol with a goal of realizing the advantages of both. While unmarked vehicles are generally less visible than marked vehicles, they are indeed readily recognizable to large segments of the community as police officers.

### TANDEM PATROL:

Deployment of two marked police units travelling in tandem. Usually by having one vehicle following the other at an interval of one block or more or by travelling side by side on parallel streets.

### FOOT AND VEHICLE PATROL:

Deployment of uniformed officers in marked police vehicles. This tactic involves officers parking their vehicles in conspicuous locations and patrolling on foot in either the immediate area or one nearby.

### FIELD INTERROGATION:

Deployment of uniformed officers in marked police units and on foot conducting both vehicle and pedestrian stops. These stops generate information about possible suspects and enhance the awareness of police activity within the target area.

The primary purpose of uniformed tactical patrol is crime deterrence. The use of this tactic is based upon the assumption that a visible, active patrol will deter potential offenders, particularly if it employs aggressive tactics including frequent vehicle and pedestrian stops. While uniformed tactical patrol can have a positive impact on the level of suppressible crime, it may simply lead to displacement from one area to another or from one time period to another.

#### COVERT SURVEILLANCE

Covert surveillance can be used against all types of suppressible crimes. There are two basic types of such surveillance. Suspect surveillance concentrates on criminal suspects and area surveillance concentrates on high-crime areas. The objectives of both types are to make on-scene arrests for crimes and to develop information to aid in later apprehensions.

#### SUSPECT SURVEILLANCE:

This tactic should be undertaken only when there exists sufficient probability for believing that a particular suspect is an active criminal who commits offenses with a frequency that a close monitoring of this activities would lead to a probable apprehension. This is an appropriate tactic to use when the identity of the offender(s) is known but the target and its location do not form a predictable pattern.

Suspect surveillance is not an easy tactic to use. Studies have shown that it takes a special kind of officer to use this tactic effectively. They also reveal that a known offender who qualifies for this type of surveillance, namely robbery and burglary suspects, was extremely "tail conscious."

However, there are several steps that can be taken to minimize the difficulties involved in the use of this tactic. First, a profile of the suspect should be developed. It should include both his home and business addresses, his criminal history, his method of operation, vehicles used, known associates, places frequented, and his picture. Second, adequate resources should be devoted to any such surveillance effort. Personnel, vehicles, and equipment are among those resources.

The difficulty and expense involved in maintaining a suspect surveillance deems that it should be attempted only when there exists sufficient reasons for believing it will be productive.

#### AREA SURVEILLANCE:

This tactic merely involves the covert patrol of a target area and the observation of suspicious activities. Covert patrol and surveillance of target areas can be used to make apprehensions for crimes when no particular suspects exist, known suspects are too numerous to permit personal surveillance, decoys are inappropriate, and the targets are too numerous to conduct either physical or electronic stake-outs. Examples of such targets will be residential burglary, vehicle thefts, and larceny from auto. A variety of techniques could be employed in the use of this tactic. Among them are:

- A. Mingling with citizens at a crime scene with the possibility of obtaining suspect information.
- B. Roof-top surveillance of a shopping center parking lot to locate larcenies from vehicles. This tactic can also be used at night in an area where there are numerous business burglaries.
- C. Surveillance of a housing project or apartment complex by posing as a maintenance man or yard worker.
- D. Use of a vacant apartment to observe other apartments where numerous burglaries have taken place.
- E. Use of a male/female officer team in plainclothes to survey either a housing project or apartment complex for burglaries.
- F. Use of a male/female officer team in plainclothes and an unmarked vehicle to survey shopping centers and observe potential crime victims.

Care should be taken when employing this tactic to insure that the surveillance is truly covert. Vehicles used should not have permanent tags, or identifiable tags, and they should blend in with the area to be surveyed. Officers assigned to such tactics should also dress to blend in with the area. In addition, they should have legitimate non-police reasons for being in the area if confronted. It should be emphasized that specific techniques of covert patrol should be tailored to the specific crime problem and to the area involved.

Studies have shown that suspect surveillance may be the most practical approach in attempting to apprehend offenders who do not necessarily specialize in a particular type of crime. Similarly, area surveillance has been shown to be helpful in dealing with crime problems where it is difficult to identify either the targets or the suspects.

#### DECOY OPERATIONS

Decoy operations can be used effectively against crimes for which police officers can convincingly pose as likely "victims." Decoys are frequently used to combat street robberies, purse-snatching, rapes, and thefts from vehicles. The primary purpose of decoy operations is to make apprehensions for targeted crimes. However, by publicizing the use of decoys, there can be derived a deterrent effect.

The fundamental idea behind the use of decoys is to attract an offender to a prepared "victim." To conduct such an operation, one simply disguises an officer to resemble a likely victim of a target crime and places the officer in a location where the crime is likely to occur. The decoy is then watched closely by back-up officers and when a "hit" occurs the officers move in to arrest the suspect. It should be remembered that although the basic concept of this tactic is simple, serious complications involving citizen and/or officer safety can arise if the tactic is not employed in a safe, legal, and effective manner.

The type of decoy to be used should be determined by an analysis of the characteristics of previous victims in the targeted area. The size, race, age, dress, sex, and demeanor of a decoy should closely resemble that of previous victims. In selecting a decoy, it is important to consider an officer's ability as an actor. Considerable skill at role-playing is required. In general, a decoy should try to act like a potential victim and present an attractive target without being too obvious. For example, overacting can arouse the suspicions of potential offenders. In addition, the display of large amounts of cash, expensive jewelry, or camera equipment, or the decoy who appears to be "falling down drunk" could provide arrested suspects with the opportunity to use the defense of entrapment.

Back-up officers should also be either disguised or concealed so that they can stay close to the decoy without being recognized. They should develop techniques for watching the decoy without giving the appearance of doing so. Many criminals are particularly adept at identifying police officers as decoys or back-ups. For the most part, communications between back-up officers and the decoy are visual, with great reliance placed upon pre-arranged signals to indicate when a "hit" has taken place.

After identifying areas in which decoy operations might be effectively used based upon proper analysis, a decoy team should look for places which appear advantageous from a potential offender's viewpoint while at the same time provide the officers with an opportunity to observe the decoy and to control any "hit" situation. In all cases when this tactic is employed, the officers regularly assigned this area should be informed that decoy operations are being undertaken in their area.

The use of this tactic can be highly effective in making quality arrests for the target crime. However, the time and effort involved in the use of the tactic could bring the cost effectiveness of it into question.

#### STAKE-OUTS

Stake-outs are used primarily to make apprehensions. Their purpose is to have officers at the scene of a crime when it happens, or soon enough afterwards to enhance apprehension capabilities. This tactic can also provide a significant deterrent effect if the general public is informed that it is being used. Both media exposure or posting stake-out notices in the target area can accomplish this.

There are two basic types of stake-outs, physical and electronic. Physical stake-outs require the placement of officers in positions where they can observe a specific location previously identified as a likely target. An electronic stake-out most often involves the use of alarms, such as the PARBAS unit, and occasionally cameras similar to those used in banks. While both types of this tactic could be used in any type of suppressible offenses, they are most often used to cope with robbery and burglary.

#### PHYSICAL STAKE-OUTS

This tactic involves the covert placement of officers either inside or in the immediate vicinity of the target. The use of two officers is desirable at a stake-out site to insure both their's and the citizens' safety. Most often,



other units are positioned outside the stake-out target and when a "hit" is made they are notified by a pre-arranged signal. A desirable advantage of this type of deployment is that it allows for the arrest to be made in the street. This method is considered safer than confronting an armed suspect inside a crowded store and reduces the opportunity for hostages to be taken.

It is most important that physical stake-outs be truly covert if they are to result in apprehensions. Officers should be instructed to remain in place until either the target crime or an equally serious offense takes place. They should not "blow their cover" attempting arrests for minor offenses. Employees should be briefed on the proper procedures to follow should a "hit" occur. These instructions should include an admonition not to take any actions which might tip the officers' presence, to cooperate during a robbery, and under no circumstances to attempt to assist the officers make an arrest.

#### ELECTRONIC STAKE-OUTS:

This tactic generally provides officers with an early warning of a crime to enable them to respond quickly enough to effect an on-scene arrest. Such stake-outs are labor-saving devices and very cost effective compared to the physical stake-out.

Alarm systems are most effectively used when a number of targets are in close proximity to one another and have been identified as likely targets. This is particularly true when a dedicated (directed patrol) unit is responsible for monitoring the alarms.

The effective use of electronic stake-outs require the fullest cooperation of the owners and employees of target businesses. This cooperation is essential if we are to maintain the covert nature of electronic stake-outs. Similarly, it is important to develop a covert procedure for installing such devices. Installation should be made when officers are least likely to be observed. Posing as cash register repairmen or electricians is a suggested method.

#### CRIME PREVENTION

The primary objective of any Crime Prevention Program is to bring the resources of both the police and the public to bear in coping with and solving crime problems. Promoting and coordinating security measures that will provide residents, business owners, and individuals with information that will be held in the safe-guarding of their premises or persons should increase community safety and reduce and/or displace crime over a period of time.

Following is a series of Crime Prevention tactics directed toward specific crime targets. Implementation of these tactics before and/or after the fact of the crime will be noted when applicable.

#### RAPE:

- A. Conducting rape prevention programs, utilizing the "Female Security Handbook," related films and brochures, to female groups. (before the fact)
- B. Conducting female security programs (on street, in car, at home) utilizing the "Female Security Handbook," related films, and brochures to female groups. (before the fact)

ROBBERY:

- A. Installing PARBAS unit with bill trip at retail establishment, either in high crime area (before the fact) or after repeated offenses. (after the fact)
- B. Conducting robbery prevention seminars for retail clerks and shopowners, utilizing related films and brochures. (before or after the fact)
- C. Conducting business security evaluations on retail establishments, concentrating on visibility of cashier, merchandise location, transportation/storage of monies, etc., utilizing films and brochures. (before or after the fact)
- D. Distributing robbery prevention printed material to area businesses on an individual basis. (before or after the fact)

ADW & ASSAULT:

- A. Conducting personal security programs (on street, in car, at home) to interested groups, utilizing related films and brochures. (before the fact)

STOREBREAKING & LARCENY:

- A. Installing PARBAS unit with window/door trip at business either located in a high crime area (before the fact) or after repeated offenses. (after the fact)
- B. Exposing and explaining burglar alarm displays to business owners (using either portable displays or Crime Prevention vans' displays. (before or after the fact)
- C. Distributing prevention printed materials to area commercial establishments on an individual basis. (before or after the fact)
- D. Conducting business security inspections of business site, utilizing CPD Forms A-1 or T-3. (before or after the fact)
- E. Completing CPD Form A-44 (Business Burglary Evaluation Report) after break-in has occurred to be used as security weakness assessment aid. (after the fact)
- F. Distributing "Operation Owner Identification Program" electric engravers for use on office machines and equipment accompanied by related brochures and decals. (before the fact)
- G. Updating old and issuing new emergency CPD Numbers on an on-going basis. (before or after the fact)
- H. Utilizing CPD Form A-2, unsecure premises form, on 2nd & 3rd Shifts. (before the fact)

- I. Enforcing city ordinance 10-14 (vacant lot clearance) when next to a business site. (before the fact)
- J. Utilizing business security films at programs directed towards business owners/managers. (before and after the fact)
- K. Police involvement in environmental design-building planning/preconstruction phase. (before the fact)
- L. Police input and involvement in city governmental processes concerning the drawing of ordinances affecting the security of business establishments. (before the fact)

HOUSEBREAKING & LARCENY:

- A. Setting up and conducting "Neighborhood Watch Programs" in interested neighborhoods, utilizing related films and brochures. (before and after the fact)
- B. Distributing "Operation Identification Program" electric engravers to individuals or groups, accompanied by related brochures and decals. (before or after the fact)
- C. Distributing prevention printed materials to residents on an individual or group basis. (before or after the fact)
- D. Exposing and explaining burglar alarm displays to home owners/apartment dwellers, either on an individual or group basis, utilizing either portable displays or C.P. Van displays. (before or after the fact)
- E. Utilizing residential security films at programs directed toward home owners/apartment dwellers. (before or after the fact)
- F. Conducting residential security inspection (CPD Form D-4) of private residences. (before or after the fact)
- G. Encouraging participation in "zone check" service to temporarily vacant houses. (before the fact)
- H. Enforcing city ordinance 10-14 (vacant lot clearance) when lot in next to a residential site. (before the fact)
- I. Police input and involvement in city government processes concerning the drawing of city ordinances affecting the security of private residences. (before the fact)

LARCENY FROM AUTO:

- A. Conducting personal security programs (in the car) utilizing related films and brochures. (before the fact)
- B. Distributing flyers directed to out of town visitors regarding vehicle security - for use by hotels, motels, airport, Coliseum, etc. (before the fact)

- C. Police involvement in environmental design concerning street and parking lot lighting, landscaping, shrub placement, etc. (before the fact)
- D. Supplemental use of Police Reserves in patrolling public parking lots. (before or after the fact)
- E. Police involvement in decisionmaking process surrounding placement of "reminder signs," i.e., lock your car, secure you valuables, etc., on both public and private parking areas. (before the fact)
- F. Distributing "Operation Identification Program" electric engravers to groups or individuals, accompanied by related brochures and decals. (before or after the fact)
- G. Soliciting coverage by the printed and electronic media on vehicle security at Christmas time (PSA's). (before the fact)

LARCENY OF BICYCLE:

- A. Enforcing bike registration ordinance. (before the fact)
- B. Conducting school and residential security programs about engraving DL number on bikes, and on bike security in general, utilizing related films and brochures. (before or after the fact)
- C. Distributing related printed materials to school children and parents on an individual basis. (before or after the fact)

LARCENY:

- A. Conducting "Operation Identification Program" with electric engravers. (before the fact)
- B. Conducting "zone checks" of construction sites after hours. (before the fact)
- C. Conducting security inspections of construction sites during working hours. (before the fact)

AUTO THEFT:

- A. Enforcing the "key in ignition" ordinance and distributing related flyers. (before the fact)
- B. Conducting security evaluations of key control systems at both new and used car lots. (before the fact)
- C. Supplemental use of Police Reserves to patrol public parking lots. (before or after the fact)

## ELECTRONIC SURVEILLANCE EQUIPMENT

### PARBAS:

The Department presently has thirty-two (32) PARBAS (Portable Automatic Robbery/Burglary Alarm System) units which are operable. These units are used by the Department to facilitate electronic stake-outs. These units are small self-contained electronic alarm systems that can be installed in either businesses or residences. The unit is activated by remote control (panic button), a bill trip, a floor mat switch, or by a magnetic window/door trip. Any combination of these triggering devices may be used to arm and activate these units. Once activated, the unit transmits a pre-recorded message giving the location of the unit and the type of crime in progress.

### RADAR:

Radar units are utilized by patrol officers to electronically monitor the speed of vehicles. These units are designed to detect the speed of vehicles from a fixed location on selected highways or near intersections. The Department presently has nineteen (19) such units in operation.

### BODY TRANSMITTER:

This small radio transmitter is designed to be strapped to the body and can be utilized for two purposes.

- A. To record conversations which may be used as evidence.
- B. To monitor conversations between an undercover officer and a suspect in order to determine if the officer is in any danger or needs assistance.

This equipment is presently being held in storage and cannot be released or used without the permission of the Police Attorney.

### BOOM MICROPHONE:

Commonly referred to as a "shotgun mike," this equipment is a long-range directional, condenser microphone which is capable of collecting sound from a distance. This equipment is presently being held in storage and cannot be used or released without permission of the Police Attorney.

## OTHER SURVEILLANCE EQUIPMENT

### HELICOPTER:

The Department's Bell Jet Ranger II helicopter is a very versatile piece of equipment that can be utilized as a surveillance tool. This aircraft is capable of travelling at speeds up to 150 MPH, and is an excellent tool for viewing streets, parking lots, and roof tops for possible criminal activity.

NIGHT VISION SCOPE:


The Department owns one Zeniscope Model NVC-100, which is a viewing device that enables one to see clearly in the dark. This unit amplifys existing light several thousand times. As a result, an area that is completely dark to the naked eye would be visible when viewed through this scope, a battery-powered instrument. This equipment weighs less than three pounds and is approximately ten inches long. It can be used to view subjects in alleyways, unlighted store interiors, forests, wooded areas, and warehouses. It is presently stored in the equipment room of the Special Investigations Bureau.

HV 7935 .C38

04983

Cawley, Donald F.

— Improving police management —

**SCRTD LIBRARY**

425 SOUTH MAIN  
LOS ANGELES, CA. 90013

MTA DOROTHY GRAY LIBRARY & ARCHIVE  
Improving police management : particip  
HV7935 .C38



100000056760

**S.C.R.T.D. LIBRARY**

