

EFFECTIVE POLICE MANAGEMENT

EFFECTIVE POLICE MANAGEMENT

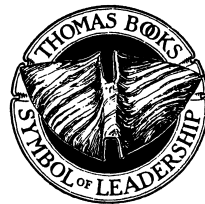
Striving for Accountability and Competence

By

HARRY W. MORE

and

TERRY L. MORE



CHARLES C THOMAS • PUBLISHER, LTD.
Springfield • Illinois • U.S.A.

Published and Distributed Throughout the World by

CHARLES C THOMAS • PUBLISHER, LTD.
2600 South First Street
Springfield, Illinois 62704

This book is protected by copyright. No part of
it may be reproduced in any manner without
written permission from the publisher.
All rights reserved.

©2012 by CHARLES C THOMAS • PUBLISHER, LTD.

ISBN 978-0-398-08823-1 (hard)
ISBN 978-0-398-08824-8 (paper)
ISBN 978-0-398-08825-5 (ebook)

Library of Congress Catalog Card Number: 2012015482

With THOMAS BOOKS careful attention is given to all details of manufacturing and design. It is the Publisher's desire to present books that are satisfactory as to their physical qualities and artistic possibilities and appropriate for their particular use. THOMAS BOOKS will be true to those laws of quality that assure a good name and good will.

*Printed in the United States of America
CR-R-3*

Library of Congress Cataloging-in-Publication Data

More, Harry W.

Effective police management : striving for accountability and competence /
by Harry W. More and Terry L. More.

p. cm.

Includes bibliographical references and index.

ISBN 978-0-398-08823-1 (hard) -- ISBN 978-0-398-08824-8 (pbk.) -- ISBN
978-0-398-08825-5 (ebook)

1. Police administration--United States. 2. Police--United States--Personnel
management. 3. Police administration--Technological innovations--United
States. 4. Police--Supervision of --United States. I. More, Terry L. II. Title.

HV8141.M648 2012
362.2'20973--dc23

2012015482

PREFACE

The future is here and inescapable even though we cannot really define the future. It is the pattern of change and its intensity that challenges law enforcement. This process is unrelenting, nonstatic, demanding and obligatory. The reality of change is such that it can be organizationally confusing, chaotic, indefinite, and in some instances very harmful. It cannot be ignored, and must be dealt with now, not tomorrow, or next year. American police agencies have become increasingly adept at working within the managerial process, developing both internal and external adaptive potential, but capability must be extended to every dimension of management of the police agency. All of this means constantly confronting and dealing with change on a continuing basis, and there must be a continuous search for means to respond to the imperatives of change. The challenge of change should be accepted, it must be viewed in a positive frame of reference and not seen as an abnormal anomaly. The paradigm for dealing with change is still open-ended. In recent years, community policing has entered the lexicon of law enforcement, and agencies have struggled to implement it with some difficulty. It is a major change and is practiced differently in various agencies across the nation, which is to be expected. It is the inevitable consequences of change, especially one that impacts internal and external stakeholders. There are numerous issues involved in creating a community policing effort ranging from training needs to measurement problems.

More recently, performance-based management has become dominant, especially with federal law enforcement agencies that have engaged in the implementation of this managerial approach. At the local level, the Seattle Police Department, Seattle, Washington, and the District of Columbia, Washington, D.C. Metropolitan Police Department (with federal funding) has instituted the program. The federal government passed a law more than 20 years ago that mandated the implementation of performance-based management, and as usual in other changes, it has proven to be an evolving process, but one that is slowly taking shape. It is anticipated that many of the issues

that community policing has worked with will confront law enforcement agencies that strive to implement performance-base management (PBM). There seems to be a truism that these changes cannot occur rapidly and the best estimate is that it might take a minimum of seven years to actually implement such programs. The same is true of other programs such as problem analysis, the program evaluation process, compstat, and logic models. These techniques have been tried with varying degrees of success in various venues. Developmental problems as well as implementation problems remain a serious challenge to many law enforcement agencies, but over time these challenges will be accepted and overcome resulting in positive results for agencies and communities.

The content of this text is such that the chapters are interrelated. Chapters 1, 2, 4, 6, 7, and 8 apply to the chapters that deal with Logic Models, Program Evaluation, Compstat, and the Problem Solving Process to the degree that the reader wants to make use of them, and the chapter on Accountability proscribes all of the managerial processes. Crime Mapping has utility in differing organizational evaluations and applied operations. It is a matter of a selection process depending upon the needs of the agency. If one looks at the total agency, the Performance-Based Management process would certainly be applicable. This is also true of the Logic Model to a lesser degree, but still depends upon the process being researched. Compstat would seem to be more applicable to middle management and higher at this time, while the Problem Solving Process chapter deals with differing levels of an organization with special reference to line operations and a serious consideration of external stakeholders. Program Evaluation applies to the whole organization and/or it is useful in determining the effectiveness of individual organizational components. A flexible approach is recommended, keeping in mind the necessity of modifying the approach to community and organizational needs.

H.W.M.

T.L.M.

ACKNOWLEDGMENTS

Numerous individuals and organizations contributed to the completion of this textbook by providing material or referring to other sources: The National Criminal Reference Service, Office of Community Oriented Policing Services, National Institute of Justice, Office of Justice Programs, Bureau of Justice Statistics, Center for Performance Evaluation and Performance Measurement, Office of Juvenile Justice and Delinquency Prevention, Center of Problem Oriented Policing, Center for Court Innovation, U.S. Air Force, National Science Foundation, U.S. General Accountability Office, U.S. Census Bureau, Bureau of Justice Assistance, Federal Bureau of Investigation, U.S. Office of Personnel Management, U.S. Department of Agriculture, U.S. Department of Energy, International City/County Management Association, U.S. Department of Commerce, Government Performance and Results Act, National Partnership for Reinventing Government, Police Executive Research Forum, Police Foundation, The Gilmore Commission, The Institute for Executive Development Home Office, Lean Enterprise Institute, Orion Constellation, Balanced Scorecard Institute, National Academy of Public Administration, StatPac, Inc., California Department of Justice, Oakridge Associated Universities, Abt Associates, Inc., University of Idaho, University of Missouri Systems, University of Wisconsin, and the Urban Institute.

Additional thanks are extended to the following publishers Anderson, Random House, Waveland, The Free Press, Wiley, Plume, McGraw-Hill, Charles C Thomas, Pearson Prentice Hall, Jossey-Bass, Houghton-Mifflin, *Justice Quarterly*, *American Sociological Review*, Harvard Business Press, Springer-Verlag, Quality Press, Quinto Press, Penguin Press, Kogan Page, Goal/QPC, Oxford University Press, *Herald Sun*, *New York Times*, *New York Daily News*, *FBI Law Enforcement Bulletin*, *The Police Chief*, Willan Publishing, Sage Publications, Looseleaf Law Publications, Wadsworth, Northeastern University Press, Criminal Justice Press, and Claredon Press.

Additional resources were police and sheriffs departments—Metropolitan, D.C., Philadelphia, Alexandria, Boise, Austin, Boston, Denver, Lincoln, Sacramento, Tulsa, Youngstown, Cincinnati, Las Vegas, Madison, San Francisco,

San Jose, Tucson, Los Angeles Sheriff's Department, Georgia State Department of Public Safety, New York Police Department, New Jersey Department of Law and Public Safety, and the Royal Canadian Mounted Police.

CONTENTS

	<i>Page</i>
<i>Preface</i>	v
 <i>Chapter</i>	
1. WINDS OF CHANGE: DEALING WITH THE INEVITABLE ...	3
The Politics of Policing in an Earlier Day	4
The Professional Policing Model Distanced the Police from the Public	4
The Community Policing Model Emphasized Working with Stakeholders	5
COPPS	5
A Way to Assess a Department's Level of Community Policing	6
Linking Individual Performance and Organizational Success	10
The Need for Accountability Management	11
Change Becomes a Reality of Organizational Life	14
The Nature and Types of Resistance to Change	17
The Influence of Technological Change	18
Sociocultural and Demographic Change	18
References	23
2. CRITICAL SUCCESS FACTORS FOR MANAGING PEOPLE:	
CREATING AN ENVIRONMENT OF ACHIEVEMENT	26
Human Capital Challenges in Police Departments	27
Eight Critical Success Factors	28
Components of Leadership	29
Elements of Strategic Human Capital Planning	30
Acquiring, Developing, and Retaining Talent	31
Results-Oriented Organizational Cultures	31

Striving to Create a Results-Oriented Culture	32
Key Practices of a Performance Management System (PMS)	32
A System for Follow-up Action	34
Cultural Transformation in Law Enforcement	38
References	39
 3. CREATING A HIGH PERFORMANCE AGENCY:	
IMPLMENTATION AND MAINTENANCE	41
Definition of Performance-Based Management (PBM)	42
Phases of Performance-Based Management (PBM)	43
Responsibilities of Internal Stakeholders	46
Advantages of Performance-Based Management	48
Phase One: Identify the Vision, Values and Mission of the Agency and Related Strategic Performance Objectives	50
The Planning Document	52
A Strategic Plan for the Seattle Police Department	58
A Mission Statement Must Be Clear, Concise. And Credible	60
Vision Statements	64
Value Statements	66
Vision Goals and Objectives	67
Strategic Goals and Objectives	68
References	72
 4. A SYSTEM FRAMEWORK FOR IMPLEMENTATION	73
Phase Two: Ascertain the Components of an Integrated Performance Measurement System	74
Utilizing a Framework Clarifying the Extent and Nature of a Problem	76
Three Types of Measures	80
Uniqueness of High-Quality Performance Measures	81
Getting Organized in Order to Create a Measurement System	82
Principles of Law Enforcement	83
Developing Performance Metrics	85
The Smart Test	85
Commonly Used Measures in Law Enforcement	88
Metropolitan Police Department, Washington, DC	90
References	95

5. ACCOUNTABILITY FOR PERFORMANCE: HOLDING PEOPLE AND PROGRAMS RESPONSIBLE	97
Phase Three: Establish Accountability for Performance	98
Definition of Accountability for Performance-Based Management ..	98
Key Aspects of Accountability	99
Five Levels of Accountability	100
An Accountability Environment and Framework	101
Some Implementation Impediments	103
Accountability for Performance Goals and Measures for The	
Position of Chief of Police	104
Varying Rating Terminology	105
Performance Evaluation for the Inspector of a Regional Field	
Operation—Support	109
Performance Evaluation of a Commander of Investigative Field	
Operations	110
References	111
6. ACQUIRING DATA TO ASSESS PERFORMANCE:	
AN ESSENTIAL INGREDIENT	113
Phase Four: Develop a System for Collecting Performance Data ...	114
Determining Data Requirements	115
Components of a Data Collection Plan	117
An Extensive Range of Information Sources	117
Process, Frequency and Costs	119
Level of Quality Data	119
Data Collection Considerations	120
Three Primary Sampling Methods	121
Designing and Conducting a Survey	122
References	123
7. ESTABLISH A PROCESS FOR DATA EVALUATION:	
RATIONALE AND DEVELOPMENTAL	125
Phase Five: Establish a Process for Analyzing, Reviewing, and	
Reporting Performance Data	126
Principles for the Collection of Data	126
Model for Generating Knowledge	127
Task Force/Team Performance	129
Use of Statistics When Measuring Performance	131
Elements as Part of Performance Appraisal	133

Writing Measurable Standards	135
Evaluation of the Individual Level	136
Evaluation of the Team Level	138
Generating Useful Information	139
Data Presentation of Evaluation Data	140
References	140
 8. USING PERFORMANCE INFORMATION TO DRIVE A SYSTEM: CREATING A VIABLE SYSTEM	142
Comparative Metrics	143
Phase Six: Create a System for the Utilization of Performance Information to Drive Improvement	144
A Changing Operating Environment	144
The Significance of Benchmarking	146
Striving for Continuous Improvement	147
The Shewhart Cycle as an Input-Output Model	148
Research Instruments for Measuring Performance	149
Phases of Process Improvements	153
References	154
 9. EVALUATING A PROGRAM: SEARCHING FOR OPERATIONAL AND ORGANIZATIONAL EFFECTIVENESS	156
Questions That Can Be Used For an Evaluation Assessment	158
Three-Time Intervals for Evaluations	158
Seven Evaluation Steps	159
Step One: Problem Definition	160
Step Two: Identifying Objectives and Goals	163
Step Three: Research Design	164
Step Four: Identify Measures	165
Step Five: Collect and Analyze Data	167
Step Six: Detail Findings	167
Step Seven: Reassess Program	170
References	171
 10. MODELS FOR DESCRIBING PROGRAM EFFECTIVENESS: KEY AREAS FOR EVALUATION	172
Advantages of a Logic Model	173
A Situation Declaration Justifies Importance and Relevancy	176

Transpose the Thought Flow	177
Employ Two Logic Models by Reversing the Process	177
Inputs Can Be Invested in a Program	177
Activities That Are Engaged In to Accomplish Program Results ...	178
Outputs That Law Enforcement Uses	178
The Importance of Program Outcomes	178
Chain of Results and the Logic Model	179
References	180
 11. THE GOAL-ORIENTED STRATEGIC MANAGEMENT PROCESS: STRATAGEM AND ANSWERABILITY	 181
 Four Principles of Compstat	 182
Accurate and Timely Intelligence	183
Effective Tactics Created By Management For Dealing With Problems	184
Rapid Deployment of Personnel and Resources	187
Relentless Follow-up and Assessment	188
The Compstat Model	189
Rapid Disbursement of Data	190
The Compstat Statistics (CompStat) Book	190
The Compstat Model and Community Policing	192
References	194
 12. PROACTIVE PROBLEM SOLVING: A PROGRAM OF POSITIVE ACTION	 196
Proactive Problem Solving	198
SARA – Scanning, Analysis, Response, Assessment	199
Problem-Oriented Policing (POP)	200
Scanning To Determine the Nature of a Problem	200
CHEERS – Community, Harmful, Expectations, Events, Recurring, Similarity	200
Basic Questions for the Scanning Process	201
Objectives of the Scanning Process	203
Methods That Can Be Used To Define a Problem	204
Stakeholders and the Problem-Solving Process	205
The Environmental Survey	206
The Use of Analysis to Arrive At a Solution	206
Utilization of the Checklist in Problem Solving	207

Sequence of Analysis – Where to Begin	209
Crime Triangle – Victims, Offenders, Place	210
Response – Analysis of Casual Factors and Related Conditions . . .	212
Assessment – Measuring How Well Things Worked	214
References	216
 13. MAPPING CRIME: FROM GENERAL USEAGE TO HOT	
SPOTS	218
Ensuring That a Map Is Really Useful	220
Incidents of Crime	221
Types of Map Information	223
SMART Mapping–Socioeconomic Mapping and Resource	
Topography	226
Designing Maps for Specific Audiences	227
Defining Hot Spots	232
Place Theory Clarifies The Reason for Crime at a Specific	
Location	233
Street Theory – Definition And Measurements	234
Neighborhood Theory – A Higher Level of Analysis	235
Repeat Victimization Theory	235
References	236
 <i>Index</i>	239

EFFECTIVE POLICE MANAGEMENT

Chapter 1

WINDS OF CHANGE: DEALING WITH THE INEVITABLE

Key Terms:

Accountability Management
Change
Community Policing
COPPS
Decentralization
Economic Change
Misconduct
Organizational Success
Partnerships
Politics
Problem-Solving
Professionalization
Resistance
Self-assessment Tool (CP-SAT)
Sociocultural Change
Technological
Transformation

Historical analysis of policing in America suggests that the earlier functions of the police revolved around crime control, order maintenance, and the provision of services. During this period, the police were part and parcel of the political era of law enforcement that began in the nineteenth century. The story is told that a new mayor in a major city saw his brother-

in-law in a soup kitchen line, called him over, and appointed him to the position of chief of police.

THE POLITICS OF POLICING IN AN EARLIER DAY

For years, local politicians and political parties dominated law enforcement, and numerous chiefs of police were appointed to their position as the result of belonging to the incumbent's political party. Heads of police agencies supported their benefactors and usually became unemployed when an opposing political power took over the reins. Politicians and those with clout were given special favors, and the police performed many social functions, such as running soup kitchens and finding lodging for the needy. Additionally, some departments collected taxes and performed census duties. The police were the dumping ground for duties that were not specifically assigned to other governmental agencies. The byword was "let the police handle it!" Political interference with the police was rampant, and corruption was widespread. For the most part, policing was ineffective and nonexistent in some communities and the politicians were viewed as controllers of the police. In many instances, the police proscribed industrial riots and took the side of management as opposed to unions, and this was accomplished through the use of force. This was especially true in copper and coal mining communities.

Shocked by what was occurring in the police service, there was a call for reform during the first part of the twentieth century, and over time the insidious aspects of politics was removed from the enforcement equation. Police departments reached a high level of autonomy, and crime control soon became the principal function of police agencies.

THE PROFESSIONAL POLICING MODEL DISTANCED THE POLICE FROM THE PUBLIC

The professionalism movement was governed by the quasi-military model and top-down management. Leadership stressed oversight and control with the ultimate goal of maintaining the status quo. The automobile, telephone and radio gave the police the ability to expediently respond to calls for service. Policy, procedures, and regulations were part and parcel of this movement. The guiding theme seemed to be don't ask, just follow departmental policy and whatever you do, don't rock the boat. Several things occurred

during this era. First, the police distanced themselves from the public. Direct contact with citizens lessened throughout efforts to professionalize policing (Fisher-Stewart, 2007). Second, managerial control became a management imperative, and lastly, professionalism governed every thought and action (Wadman, 2009). Isolationism dominated the police relationship with the public, and the foundation for the existence of the police was the law. Consequently, law enforcement agencies became harbingers of the status quo dominated by one theme—professionalism.

THE COMMUNITY POLICING MODEL EMPHASIZED WORKING WITH STAKEHOLDERS

The era of law enforcement that came into existence after the professional period is described as the community policing era starting in the 1980s (Kelling & Moore, 1988). This was a major shift in the approach to law enforcement as reflected in the fact that the authority for this strategy emanates from a combination of community support, law, and professionalism. This process calls for emphasis on the control and the prevention of crime. It was unique to law enforcement because it called for decentralization of the organization, collaboration with stakeholders, and the use of teams (Finney, 2008). It called for working with and in the community in a consultative partnership (Diamond & Weiss, 2009).

COPPS

Part of a dual strategy is the adoption of community-oriented policing and problem solving (COPPS) as a means of dealing with crime. Community policing, when and if fully implemented, represents a significant shift of power from the top echelons of management to the operational level, and overall the organization becomes more of an open system (Peak & Glensor, 2002).

Embraced and cast off, it still remains as a much talked-about effort on part of the police to confront and deal with the vagrancies of crime, delinquency, disorder, and the fear of crime. For over three decades, police leadership has committed to the notion of dealing differently with the policing needs in an increasingly diverse, complex, and sometimes disparate society. Some segments of our society are estranged when it comes to dealing with law enforcement, and they feel isolated from the main stream. Community

policing has the potentiality for seriously confronting this problem because its philosophical base is predicated upon developing and maintaining trust between an agency and residents, which results in a true partnership (Diamond & Weiss, 2009). A large task, but one that is conceivable and in part it is a reality, but there is still much that needs to be done. It is a challenge that is being increasingly accepted.

Community policing has had its problems, in spite of its national support for many years and remains somewhat of an enigma in many communities. In some communities, the entire police department follows this operational mode, but in many other instances it is a sub-unit within the agency, and the bureaucratic model of policing remains fully entrenched (Zhao, et al., 2003). Community policing is a major philosophical shift that emphasizes improving the quality of life in America's communities (More, 2008).

Definition

In reality, it is essential to keep in mind that even the definition of community policing is in flux, but currently it can be defined as:

Community policing focuses on crime and social disorder through the delivery of police services that includes aspects of traditional law enforcement, as well as prevention, problem solving, community engagement and partnerships. The community policing model balances reactive responses to calls for service with proactive problem solving centered on the causes of crime and disorder. Community policing requires police and citizens to join together as partners in the course of both identifying and effectively addressing these issues. (Fisher-Stewart, 2007)

It is interesting that after three decades the definition of community policing continues to evolve because it means different things to many stakeholders. Its application varies considerably as efforts are being made to implement and tailor community-oriented policing to the actual needs of a community.

A WAY TO ASSESS A DEPARTMENT'S LEVEL OF COMMUNITY POLICING

The uniqueness of community policing is that it has its own set of challenges (Community Oriented Policing Services, 2009). It is generally accepted that community policing calls for people to recognize several fundamental concepts and core elements that are involved in any community policing effort: