



# IACP MANAGEMENT STUDY SUPPLEMENT



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## CHAPTER I: CULTURE AND LEADERSHIP

Organizational transformation and change is often viewed as a radical change process, undertaken to respond to a crisis or to take advantage of a great opportunity. For the modern police agency this transformation involves a full commitment to community policing and data driven decision making. The COPS office defines organizational transformation as:

The alignment of management, structure, personnel and information systems to support community partnerships and proactive problem solving. It is a primary element of community policing. Organizational transformation encourages the application of modern management practices to increase efficiency and effectiveness and emphasizes changes in organizational structures and a variety of processes.<sup>1</sup>

Community policing is a philosophy that promotes organizational strategies that support the systematic use of partnerships and problem-solving techniques to proactively address problems. Beyond problem solving, community policing helps establish partnerships with the community members, who in turn, see police as partners, rather than as an occupying force. This provides opportunities to work in concert with other community stakeholders to create more economically and socially stable neighborhoods.

### CHANGE MANAGEMENT

IACP studies are often catalysts for organizational change and transformation. IACP has provided an eight-step change outline below, based upon a model developed by John Kotter, a world-renowned change expert, and professor at Harvard Business School.<sup>2</sup> Kotter's steps to organizational change include the following:

1. Create Urgency
2. Form a Powerful Coalition
3. Create a Vision for Change
4. Communicate the Vision
5. Remove Obstacles
6. Create Short-term Wins
7. Build on the Change
8. Anchor the Changes in Corporate Culture

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<sup>1</sup> <http://cops.usdoj.gov>

<sup>2</sup> <http://www.kotterinc.com>



One of the principal sub-recommendations of this organizational transformation model is the development of a department strategic plan. A strategic plan is a blueprint that enables an organization to meet the challenges of the future. It is a process by which an organization's vision, goals, and objectives (means for achieving goals) are defined, implemented, evaluated, and updated on a continual basis as a means to adapt and thrive in an ever-changing environment. Before any organization can effectively plan for the future, it must first define why it exists and what functions it performs, in other words define its mission. The department's mission should describe its purpose, its reason for existence.

The development of a strategic plan is an important process that will help agencies stay focused on its priorities and carry out its mission. An agency that stays focused only on day-to-day concerns, becomes totally reactive, and tends to stifle creativity and innovation; these are the very characteristics needed by a modern police agency.

### **TRANSPARENCY & COMMUNITY ACCOUNTABILITY**

Sharing data with the public on a consistent basis is a key factor in establishing, building, and/or maintaining public trust. Moreover, the public should have the opportunity to ask questions about the data, so that they can feel confident in understanding what is being presented and in the actions and behaviors of their police department relative to performing a public safety role.

### **DISCIPLINE**

It is considered best practice to respond to employee conduct issues utilizing a system of progressive discipline combined with education-based training. In such a system it is vital to distinguish between performance issues and conduct issues. Generally, leadership should primarily respond to performance issues with a training and development approach and resort to formal discipline only when performance issues become chronic, resistant to training, and/or deliberate. Conduct that intentionally or knowingly contradicts law, policy, or department values, necessitates formal discipline. Emerging practices and research indicate such discipline is much more effective when it is predictable, progressive, consistent, equitable, and combined with an education component. Such a comprehensive system of progressive discipline that distinguishes performance from conduct and combines discipline with training is often referred to as education-based discipline (EBD). A successful EBD program can benefit greatly from a formal discipline matrix (DM). A discipline matrix codifies in policy the concepts of performance versus conduct, progressive discipline, educational and training responses, and predictable responses to misconduct, while providing structured discipline for a variety of conduct issues. One good way to demonstrate how a DM approach works, is by providing an example. In many agencies, officer-involved car crashes a frequent source of formal discipline.



A well-constructed DM might prescribe an oral counseling and remedial training for a first avoidable crash, a written reprimand plus customized driving training for a second, and a suspension for a third – all with provisions to allow leadership to move up or down a category, based on articulable circumstances, such as the severity of the contributing misconduct. A properly constructed DM acknowledges that not all conduct issues are identical, and neither are employees or their responses to discipline. An effective DM will consider the needs of leadership – and the rightful authority – to modify individual discipline, based on these factors, and to provide latitude within discipline groups for modification, based on aggravating or exculpatory factors articulated clearly and factually by leadership. A formal DM also supports the leadership need to develop and mentor supervisors and leaders by allowing them the authority and responsibility to participate more actively in the discipline process. An EBD program with a DM can include provisions that incidents involving certain categories or levels of discipline can be handled exclusively by supervisors or commanders below the executive level.

### **LEADERSHIP STYLE**

Organizational leaders tend to mirror the style of the CEO, often as a survival mechanism, but in other cases, because they are unfamiliar with a different or better model to follow. In situations where the top organizational leader is practicing ineffective leadership strategies, those actions and decisions often have a cascading effect, and they trickle down into the actions and behaviors of the supervisors, whether this occurs intentionally, or passively. Unfortunately, when leaders exhibit ineffective or undesirable behaviors, this also hinders the development of current and future leaders and causes them to be fearful to make decisions.

There is a clear difference between leadership and supervision. Supervisors and managers get the work done. They monitor the plan to get the work done, break the work down into steps and sequences, identify what is required and what resources staff needs, and take corrective action when necessary. Leaders are role models, accept responsibility, make difficult decisions, see through the eyes of others, and value people more than procedures.

### **INTERNAL COMMUNICATION & DECONFLICTION**

Often investigative efforts, such as undercover operations, create a situation in which agency personnel work near each other. In other situations, agencies or officers may interfere with each other's investigations, causing investigative efforts to be disrupted. To alleviate this problem, deconfliction systems have been developed and implemented. There are two components of a deconfliction system; event and target.

Event deconfliction is the process of determining when law enforcement personnel are conducting an event in close proximity to one another at the same time. Events include law



enforcement actions, such as undercover operations, surveillance, and executing search warrants. When certain elements (e.g., time, date, location) are matched between two or more events, a conflict can result. In these situations, immediate notification is made to the affected agencies or personnel regarding the identified conflict. Event deconfliction systems store and maintain data on planned law enforcement operations with the goal of identifying and alerting affected agencies or officers of potential conflicts between officers who are conducting law enforcement operations at the same time, and/or in close proximity.

Target deconfliction applies to subjects, gangs, locations, telephone numbers, vehicles, and other information about criminal activity. As a part of the total deconfliction process, this information should be deconflicted using appropriate local, state, tribal, regional, and/or federal target deconfliction systems to determine whether there is conflicting activity by other agencies involving the same information. If a conflict is discovered in either target or investigative activity, contact shall be made with the other agency to resolve and coordinate issues and information. Target deconfliction helps increase the ability to link investigations, helps connect suspects and cases, maintains the integrity of investigations, and strengthens information sharing.

### **MENTORING AND COACHING**

It is common knowledge that when high-potential, highly-motivated employees are presented with the chance to learn, lead, and/or advance, they will take advantage of those opportunities. With this in mind, it is critical for agencies to cultivate and guide these quality employees, or the agency runs the risk of those employees becoming disenchanted, or even seeking to leave the agency for other career opportunities.

In order to prepare those within the department for promotion to supervisory and command-level positions, the department must create an atmosphere that not only encourages personnel development, but one that specifically prepares staff for those opportunities through an intentional process. Agencies should encourage leadership training in advance of promotion, for those staff members who have an interest, and who have the potential for advancement within the organization.

### **PERFORMANCE APPRAISALS**

The primary purpose of employee performance evaluations is to inform employees as to how well they are performing their duties and responsibilities and to offer suggestions, assistance and support in aiding employees in improving job performance. Employee performance evaluations may also be used as a tool to assist management in making key decisions concerning promotions, disciplinary action, training and determination of eligibility for permanent appointment.



Evaluations are an effective resource for facilitating the professional development of personnel. Performance evaluations can be used to alter the service expectations, policing styles and responsibilities of officers. If management can enhance and improve the knowledge, skills and attitudes (KSAs) of officers, these officers will be able to provide a wider array of quality services. The challenge is to develop evaluations that accurately reflect the work officers are expected to do. The need to develop such evaluations is neither new nor unique to policing. In fact, many police agencies have needed for years to revise performance evaluations to reflect the reality of modern police roles and responsibilities, but many have not done so.

### Designing Performance Measures

Performance measures should be multidimensional to capture the complexity inherent in modern policing. Policing experts have proposed several considerations in developing performance indicators. An effective evaluation process requires an initial definition of specific job/position descriptions that are based upon job-specific knowledge, skills and abilities (KSAs). The next component is the establishment of key performance areas (KPAs). With these developed, the performance evaluation can then establish specific objectives to be achieved within the given time period. The performance of the employee can be assessed based on evaluating outputs and outcomes used in achieving desired objectives. This is the same concept that has been described in developing a department-wide intelligence led policing strategy; the difference is that this is done at the micro or individual employee level, as opposed to the department or community level.

Evaluations systems should be reflective of the KSAs for each employee, within each role. The evaluation process should also include the establishment of specific objectives (reflective of agency goals) that the employee strives to achieve within the coming year. Quarterly reviews should provide feedback on the progress of the employee, and the yearly evaluation should measure the success of the employee in achieving the standards and stated objectives.

Those being appraised should also have the ability to add their own feedback should they desire. This feedback can be as simple as an agreement with the appraisal, or a detailed explanation as to why they agree or do not agree, along with any supporting information or facts. When an employee does not agree with their appraisal, there should be a system in place for an independent review; this will add another layer of accountability to help ensure that appraisals are fair.



# CHAPTER II: OPERATIONS, ORGANIZATION STAFFING, AND STRUCTURE

## POLICING PHILOSOPHY AND OPERATIONS

One of the components of this study and analysis includes an assessment of the policing philosophy and the prioritized focus of the organization. This is important, because IACP staffing model accommodates for substantial discretionary and non-call for service time, which functions best in an environment that is predisposed to promoting community policing. IACP looks for alignment between organizational philosophy and the operational reality. For example, an agency might espouse the importance of community policing in words, but actions of officers on the street suggest a clear emphasis on aggressive enforcement actions over community collaboration.

## DATA-DRIVEN DECISION MAKING

Intelligence-led policing is the process of gathering and analyzing data and turning it into actionable intelligence and strategies. Key to this is information sharing. Common practices include:

- crime and data analysis
- internal crime meetings
- discussion of crime trends and response strategies at command meetings
- sharing of the information with the public and other agencies

An effective and comprehensive crime analysis program needs to have several major focuses and components, including:

- **Crime Intelligence Analysis:** Crime intelligence analysis is the analysis of data about people involved in crimes, particularly repeat offenders, repeat victims, and criminal organizations and networks.
- **Tactical Crime Analysis:** Tactical crime analysis is the analysis of police data directed towards the short-term development of patrol and investigative priorities and deployment of resources.
- **Strategic Crime Analysis:** Strategic crime analysis is the analysis of data directed towards development and evaluation of long-term strategies, policies, and prevention techniques. Its subjects include long-term statistical trends, hot spots, and problems.

It is important that the department utilizes its available technology appropriately and uses data and intelligence in decisions and deployment strategies. The department needs to develop a culture of data driven decisions and intelligence led policing at all levels. While the chief, deputy





chief, and some commanders may use data to make operational decisions, intelligence led policing calls for officers at all levels to use data to make decisions, solve community problems and solve crimes.

Achieving this may require a change in the operational culture of the organization. Instead of waiting for information and intelligence reports to be supplied by the crime analyst, officers who operate within an ILP environment, seek out the information they need to carry out their duties. Properly developed intelligence and data can be used to provide directed activities during available proactive time, a shortfall that many interviewees identified.

Data utilization can be used to positive policing action is explained through the work of Christopher Koper, PhD of George Mason University. Koper has done extensive research on policing in “hot spots” and developed the Koper Curve theory. The theory is based on research that shows that most crime incidents occur in a small percentage of areas in a particular jurisdiction. Some studies have indicated that as much as 50 percent of crime occurs in less than 5 percent of blocks or street segments. Koper’s research showed that by focusing on these “hot spots” crime rates can be reduced substantially. The Koper theory or “Koper Curve” found that instead of stationing officers in one place or telling patrol officers to patrol hot spots, Koper recommends proactive, random and intermittent patrols of these hot spots for 10-16 minutes at least every two hours. Koper found that the key is intermittent, unscheduled patrols of a meaningful duration rather than regularly scheduled drop-ins. From a resource perspective, the Koper Curve principle has other advantages. For one it makes better use of patrol officers’ time. Secondly, it builds trust and credibility within the nearby community through increased presence and visibility. However, data is crucial not just to have but to use in making decisions. Having the right data and analysis available to implement the Koper Curve method is essential. Poor record-keeping and a lack of usable data can hinder policing efforts to reduce crime incidents with this policing strategy.<sup>3</sup>

### **SUPPORT SERVICES, SPECIALTY PROGRAMS, AND ASSIGNMENTS**

#### **Property Evidence**

The Property Evidence Unit is commonly responsible for the daily processing, care, control, and integrity of all the property and evidence that comes into police custody. This involves intake, cataloging and storing items, scheduling appointments for viewing of evidence, checking items out to detectives and/or the crime lab for examination and processing, inventory control, final disposition or disposal, and maintaining the integrity of the chain of custody for any actions taken

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<sup>3</sup> 5 Things You need to Know about Hot Spot Policing and the Koper Curve; Police Foundation



on all items in their care. Staff are also responsible for strict adherence to storage and preservation of evidence to prevent damage, tampering, and theft.

It is important to point out that many departments encounter problems with property and evidence inventories, and in some cases, issues with missing items. A best practice is to conduct periodic audits of property and evidence inventories, and at a minimum, a full audit whenever supervisor custody of the property room changes.

### Police Records

The police records unit involves specialized clerical work of a complex nature, and staff within this unit are typically responsible for all department criminal justice records. Daily duties often include processing reports for compliance, and filing reports, and arrests and citations into the records management system. FOIA requests may also be housed here as there is a strong nexus between the records function, and data requests of this nature, and it is common for police agencies to assign these responsibilities to the records unit. There are many intricacies associated with FOIA requests, and oftentimes failing to properly respond to these requests, and in a timely manner, can result in serious civil issues for the agency.

### Training and Recruiting

The training function is commonly responsible for coordinating all in-service training, firearms training, and qualifications. This unit coordinates department training and also tracks all required and other training completed by department members.

The training section may also be responsible for conducting recruiting, as well as background investigations for prospective employees. The background process vet applicants beginning with screening applications, administering written tests, participating on aspects of the hiring process. They conduct background investigations on all sworn and non-sworn candidates.

There is significant work involved with the hiring of personnel, and that hiring sworn personnel involves additional steps beyond what is needed for non-sworn staff. One of the inherent issues with determining the ongoing staffing needs for this unit is that personnel separations do not occur on a set schedule, and hiring needs and work volumes can vary greatly, depending upon myriad factors.

Need for full time recruitment personnel varies by agency. Often agencies can identify and train a suitable number of supplemental resources within the department, who can assist with background investigations on a part-time basis, or on a full-time, but short-term basis.



Conducting background investigations often results in a substantial lag-time in these processes, during which the investigator is waiting for applicants or other points of contact to return information.

### Public Information Officer

The public information officer (PIO) interacts with the community in person, via social media, and through the press. The PIO is assigned to the administrative section. The PIO coordinates community outreach programs, which often involve numerous members of staff.

### Crime Scene Investigations (CSI)/Evidence Vault

The purpose of this unit is to respond to crime scenes requiring specialized processing, to ensure proper crime scene processing, examination of evidence, and ensuring that evidence and collected items are properly cared for and sent to the crime lab or booked into property evidence.

### K-9 Officers

The purpose for this unit is to cover and assist patrol personnel, track suspects, conduct article or evidence searches, and in general, to use the canine as a tool to support the patrol function.

There is significant debate in the law enforcement and K-9 community about the bark and hold method, versus find and bite procedures. Regardless of which type of philosophy and method a department ultimately supports, it is important to realize that PSDs represent low-frequency, high-risk activities, and as such, they pose significant liability exposure to a department.

The lack of a strong and clear policy is a frequent criticism of bark and hold methods, because, since the dog is expected not to bite in most instances, many departments often allow deployments on less serious offenses, even misdemeanors. In general, bark and hold dogs will bite if the suspect threatens certain behavior, and in fact, it is the dog, once released from the handler, who makes this decision, and not the human partner. Consequently, deployments should be strictly controlled by policy, training, and practice. Departments should also perform an analytical review of the results of PSD utilization to include number of requests (filled and unfulfilled) for PSDs by patrol and specialized units, number of successful apprehensions, ratio of apprehensions to deployment, total number of employee hours spent on training relative to successful apprehension, ratios of deployments to injuries, and ratio of apprehensions to injuries. A detailed review of policy, procedures, practice, and outcomes will provide meaningful feedback to leadership as they assess utilization and deployment of PSDs. This level of analysis could also serve as an impetus for expansion of the program, if additional resources are identified as an operational need.



### Crisis Intervention Training (CIT)

Crisis intervention training (CIT) provides for intervention and treatment for individuals with mental illness, and/or those who are suicidal, or who are experiencing a severe mental or emotional crisis. The primary purpose is to allow officers to use skills gained through training to identify individuals in a mental or emotional crisis, and to use those skills to manage the situation, leading ultimately to proper mental health referral/placement. CIT also fosters formal partnerships between law enforcement agencies, mental health providers, hospitals/psychiatric care providers, and family advocates.

The IACP is keenly aware of the increasing demands on law enforcement officers as the primary point of contact in dealing with persons with mental illness and those who are experiencing an emotional crisis. This burden has become significantly greater in recent years, as treatment, placement, and other evaluation options have become less available.

### Traffic Unit

Traffic enforcement is a critical aspect of the public safety mission of any police department. This unit is commonly responsible for planning, analysis, monitoring, and coordination of the traffic activities for an agency. Personnel are typically assigned to areas designated as targets for selective traffic enforcement on the basis of frequency of traffic violations and accidents, and at times that records show violators and accidents are most likely to occur. Trained Standardized Field Sobriety Test (SFST) officers and use of Data-Driven Approaches to Crime and Traffic Safety (DDACTS) are among key best practices for this unit.

### SWAT (Special Weapons and Tactics)

While one might think that missions of SWAT and negotiators are at odds, the two must actually work together to bring about successful conclusions to these incidents. The IACP finds that best practices stress the importance of joint SWAT and negotiation training. In fact, the crisis negotiation section, of the NOTA recommends that the negotiators train together, and with the tactical team.<sup>4</sup>

Adopting Federal Emergency Management Agency (FEMA) training and best practices regarding use of the incident command system (ICS) and appointing of the right person as incident commander will strengthen SWAT response. Under FEMA guidelines for the incident command system (ICS), the incident commander has overall responsibility for managing the incident by establishing objectives, planning strategies, and implementing tactics. Best practices stress the importance of the command structure operating effectively. At its most basic level, the structure

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<sup>4</sup> SWAT Standards for Law Enforcement, NOTA September 2015



is a triangle formed by an incident commander, who is ultimately responsible for the entire scene; the tactical side of the house (SWAT), for possible threat neutralization; and crisis negotiators, the first and preferred option. The incident commander makes decisions as the top decision maker and an overseer of the larger operation and does not favor one option (tactical) over another. With the SWAT leader serving as the incident commander, the focus can easily result in the tactical resolution being promoted as the first and best option.

The ability of the SWAT commander to provide tactical options in various incidents is a vital component in overall scene management. Further, the SWAT commander should provide other on-scene leaders with a range of tactical options, and be prepared to execute any of those, should this be the chosen course of action.

Best practices call for a complete threat assessment, along with an independent command-level review of the raid plan and warrant application.

The objective of the threat assessment for SWAT operations is to make an informed judgment regarding the activation of the SWAT team and should be used to assess the level of risk for any planned operation. In the assessment, points are assigned based on questions such as whether targeted suspects have a record of violence, resisting arrest, drug use, mental problems, gang ties, or a law enforcement or military background. Ideally, the assessment should be used for:

- Any search warrant for drugs or evidence of other felony crimes;
- Any arrest warrant involving a felony or other crime where the suspect has a history of violence toward, or has made credible threats of violence against, police;
- Any incident where there is credible information that the suspect is armed and that s/he may use the weapon(s) against police;
- Any situation which significantly elevates the risk to community members, officers, or suspects (e.g., fortification, multiple hostile suspects, counter-surveillance.)

A threat assessment forces officers to slow down and look at things instead of charging into a situation unprepared, and this also ensures that the SWAT team is deployed only when necessary. Completing assessments is not only a liability reduction tool, it is also meant to ensure officer safety.<sup>5</sup>

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<sup>5</sup> Importance of Completing a Threat Assessment Matrix prior to SWAT Activation  
Thomas C. Bullock, III Law Enforcement Specialist VML Insurance Programs



### **STAKEHOLDER RELATIONSHIPS**

The IACP explores the various stakeholder relationships that affect police operation, to include intra-agency (internal units and sections), inter-agency (other departments), and external stakeholders (professional partners).

### **ACCREDITATION**

Accreditation is a process through which police organizations are evaluated against a set of established criteria, which represent typical, standardized, and expected procedures, protocols, policies, and practices of law enforcement agencies. Accreditation provides law enforcement agencies with an opportunity to regularly assess themselves, to gauge their conformity with industry standards, and to receive feedback that helps prioritize needed changes and improvements for the agency.

These types of analyses help organizational leaders gain a high level of insight into various processes and agency practices that support the public safety mission, and whether any of those areas within the agency are in need of adjustment. Accreditation demonstrates that the agency is operating effectively, efficiently, and in concert with acceptable contemporary professional policing standards.



### CHAPTER III: PATROL STAFFING AND OPERATIONS

The purpose of the patrol section is to arrest criminals, reduce crime, reduce the fear of crime, and to use proactive problem-solving methods in conjunction with citizens. This is accomplished through active patrol, traffic enforcement, DUI enforcement, criminal investigations, evidence/crime scene processing, and drug enforcement. The patrol section responds to emergency and non-emergency calls for service. When not responding to these calls, officers in this section use non-obligated time to actively patrol their beats

This section of the report provides substantive details concerning the structure of the patrol section, along with data and analysis regarding workloads and personnel deployments.

It is important to point out that the IACP workload and staffing model for patrol relies primarily upon calculating the actual time available for those officers who routinely respond to calls for service (CFS) on a consistent basis.

#### PATROL CALL LOAD AND DISTRIBUTION

The IACP examines workload data, most notably those that relate to patrol/field staffing requirements and investigations demand. The IACP uses CFS as a means to calculate obligated workload within the patrol division. CFS data are also critical in analyzing timeliness of police response, geographic demands for service, and scheduling and personnel allocations.

IACP analyzes the number of CFS responses and the associated time consumed for three types: patrol, traffic, and other. The data is further separated into two categories, community- and officer-initiated activity. This is important to note, because the IACP workload model categorically separates these CFS, and relies on obligated workload that emanates primarily from community-initiated calls.

The category *other*, relates to foot patrol, directed patrols, follow-up, and some other miscellaneous categories; these are not part of what the IACP considers *obligated workload*. Although this is work activity, it is not initiated from the community, and therefore, it is not part of the obligated workload calculation.

Other units often support patrol by absorbing a certain amount of obligated workload activity. The IACP refers to this as *supplanting*.



### Methodology

A comprehensive CAD data set can be categorized in three ways: identifying each CFS as either community- or officer-initiated activity, determining the main type of activity (e.g. patrol, traffic, other), and then categorizing each incident as being either criminal, traffic, or service-oriented.

### **CALLS FOR SERVICE (CFS) ANALYSIS**

CFS response represents the core function of policing and responding to community complaints and concerns is one of the key measures of effective policing in every community. Leaders can also use data related to CFS to measure the confidence and reliance the public has on their police department. In many places around the globe, the public is reluctant to call the police when they have a problem, whether it is big or small. However, in America, despite the current challenges facing the profession of law enforcement, those in need of help will call the police (generally), regardless of how serious or simple the incident may be, and this is a fact that distinguishes American policing from many other countries.

One of the reasons for analyzing CFS volumes by month, day of the week, or hour of the day, is to look for patterns that the department can use to analyze personnel allocations and staffing, in hopes of more efficiently deploying personnel during the times when the most activity is occurring. The volume of CFS is an important component, but not the sole factor to be considered in terms of the scheduling of personnel. For example, CFS that occur at night often involve some of the most dangerous activities that the police must deal with, and most of these incidents require multiple personnel. For this reason, work schedule design and personnel deployments must include consideration of various operational aspects to ensure that the workforce staffed, at all hours of the day, is equipped to manage the workload and type of work that they will encounter.

If an officer works a 10-hour shift, they have 600 minutes (10 hours x 60 minutes) available. In the IACP model, officers should only be engaged in obligated workload 30% of that time, which leaves officers 180 minutes to respond to CFS.

There are several key analysis points when considering personnel deployments for patrol units. These include the volume of activity, type of activity, number of available personnel, geographic patrol boundaries and natural or man-made barriers, traffic patterns, and variations in CFS volumes based on month, day of the week, and time of day. One of the more common ways to evaluate personnel deployments, particularly as they relate to community-initiated CFS demands, is to examine CFS response times. Although there are no specific national standards regarding response times, common Priority 1 response times (generally life-threatening and in-progress events) typically range between 4-7 minutes. The next level of priority CFS, which





generally involve immediate response needs, but those that do not fall into priority category 1, range from roughly 8-12 minutes.

Another metric to gather is how often a patrol unit assigned to one zone, must leave that zone to take a CFS in another zone, due to staffing, or because the officer in that zone is unavailable for some reason.

Although out of beat response will likely always be an operational need at some level, another important consideration is how this contributes to staffing issues. CAD data will capture travel time from the point of dispatch, to the time the officer arrives on the scene. What it will not do (without intentionally collecting this information) is capture the amount of time that it takes officers to return to their beat after leaving it to take a call. *Return time*, which is the time it takes to get back to an assigned beat, is essentially lost time. Theoretically, if it takes an officer five minutes to respond from one beat to another, it will take another five minutes to get back.

When an officer responds to a CFS within his or her beat, the officer is able to return to their patrol duties immediately when they clear the CFS. Conversely, when an officer must respond out of beat to a CFS, three things can happen. First, when an officer leaves his or her beat to take a CFS, and another CFS occurs in the original beat, another officer must leave his or her beat to take it. This creates a cascading effect, which ultimately affects multiple officers/beats. Second, because of return time, a portion of the time for the officer who responds out of beat, is lost time; this is significant. In short, out of beat response is inefficient, and it results in a *loss* of precious staffing resources. Third, out of beat response often elongates overall response times, because officers often respond to a CFS in their assigned beat, while returning from another beat.

### **GEOGRAPHIC POLICING**

Many departments use zone boundaries for the deployment of personnel, and this strategy is one that helps ensure that staff are dispersed throughout the community to aid in rapid response to CFS.

These systems can also contribute to community policing strategies for the officers, the agency, and the community. This provides officers with an opportunity to learn the intimate details of their patrol area, including any significant issues or problems. In addition, because of their ongoing presence, officers tend to encounter the same individuals with regularity, adding to their familiarity with those in the area. This improves the officer's ability to recognize criminal activity, and it contributes to relationship building.

Geographic Policing is a proactive, decentralized approach, designed to reduce crime, disorder, and fear of crime, by intensively involving the same officer in the same area of the community



on a long-term basis, so that citizens develop trust, thereby enhancing cooperation with police officers. Geographic policing encourages the assignment of police officers to defined geographic boundaries on a permanent basis, to work directly with citizens to resolve problems. The concept involves collaboration, communication, and accountability. It is a strategy designed to make individual police officers responsible for the community's policing needs in a defined geographical area, with a service customized to each individual locality, insuring the policing needs of local areas are met. One of Sir Robert Peel's principles is that, "Police, at all times, should maintain a relationship with the public, the police are the public and the public are the police."<sup>6</sup> Geographic deployment plans fulfill this principle, enhance customer service, and facilitate more contact between police and citizens, thus establishing a strong relationship and mutual accountability. Geographic policing also implies a shift within the department that grants greater autonomy to line officers, which implies enhanced respect for their judgment as police professionals.

### **PATROL WORKLOAD VS. OFFICER AVAILABILITY**

IACP patrol staffing requirements are determined by evaluating the total workload in hours against hours of officer availability. Officers are not able to work for a variety of reasons including days off, vacation, sick leave, holiday time, and training obligations. To define staffing needs, deploy officers properly, and evaluate productivity, it is necessary to calculate the actual amount of time officers are available to work. To assist in these calculations, IACP obtains comprehensive leave and shift data from the agency.

Understanding the actual amount of work time available for officers is central to building a work schedule, and for ensuring that adequate shift coverage is attained in relation to CFS needs. It is also a critical component in calculating staffing demands, based on an examination of workload against worker capacity.

In addition to understanding how much time officers have available to them for scheduling purposes, it is also important to understand when they are not available, because peaks and valleys in the use of leave time, can complicate the process of maintaining coverage within the work schedule.

### **Shift Relief Factor**

Another mechanism for understanding the number of officers required to staff a schedule, is through determining the *shift relief factor*. The shift relief factor is the number of officers required to staff one shift position every day of the year.

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<sup>6</sup> [https://www.durham.police.uk/About-Us/Documents/Peels\\_Principles\\_Of\\_Law\\_Enforcement.pdf](https://www.durham.police.uk/About-Us/Documents/Peels_Principles_Of_Law_Enforcement.pdf)



Understanding the various issues related to staffing, including the shift relief factor, is important from a scheduling standpoint. Police agencies tend to build their work schedule based on the total number of personnel available, as opposed to the workload capacity of those personnel. The result is often an imbalance between the structure of the schedule and the number of hours officers can actually work. Schedules of this nature also typically fail to account for leave patterns, and peaks and valleys in service demands. However, these issues can be overcome through the use of a properly designed work schedule (assuming adequate staffing is available).

To determine the proper number of officers required for patrol, agencies must first consider how many positions they want to staff at any given time (this should be based on workload demands, as well as other factors). Once the department determines this number, they can calculate personnel needs.

### Workload Model and Analysis

Measurement standards make it possible to evaluate and define patrol staffing and deployment requirements and IACP uses a specific model for doing this. The primary standards employed are:

- Operational labor
- Administrative labor
- Uncommitted time

### **OPERATIONAL LABOR**

Operational labor is the aggregate amount of time consumed by patrol officers to answer calls for service generated by the public and to address in-view situations discovered and encountered by officers. It is the total of criminal, non-criminal, traffic, and back-up activity initiated by a call from the public, or an incident an officer comes upon (obligated workload). When expressed, as a percentage of the total labor in an officer's workday, operational labor of first response patrol officers should not continuously exceed 30%.

Because the IACP workload staffing model excludes data from other staff that do not represent the obligated workload for patrol, two main reductions are made in the original number of hours represented in CAD. Hours associated with the *other* category removed, as these represent non-obligated workload activities (e.g. follow-up, directed patrol, etc.). Next, all officer-initiated data was removed.

After these reductions were made, certain hours were added back into the totals, as these hours represent part of the obligated workload. These additions relate to motor vehicle crash and



criminal incidents that were managed by patrol officers. The rationale for including these hours is that they would likely have resulted in a CFS, had the officer not happened upon them.

As mentioned previously, when conducting studies of this nature the IACP typically finds a certain amount of *supplanting* that is occurring in CFS response. Supplanting can occur when supervisors or other non-primary CFS police units, take CFS, generally in an effort to assist patrol at times when they are over-burdened.

### ADMINISTRATIVE LABOR

Precise information is often not available in CAD for many administrative activities, due to variances in officer *call outs* for these activities. Administrative time generally accounts for approximately 25 – 30% of an officer's average day. This percentage can seem high to those not acquainted with the patrol function. However, a review of typical patrol activities supports this average.

- Report-writing and case follow up
- Patrol briefings
- Administrative preparation/report checkout
- Meal and personal care breaks
- Court attendance
- On duty training, not otherwise captured
- Vehicle maintenance and fueling
- Meetings with supervisors
- Special administrative assignments
- Personnel/payroll activities (health fairs, paperwork review and paperwork)
- Training: Field Training Officer (FTO) time for both trainee and trainer; on-duty training for officers
- Equipment maintenance (computer, weapons, radio)

### UNCOMMITTED TIME

The cumulative operational and administrative labor that officers must engage, should not be so significant that they are unable to respond to emergencies in a timely fashion or engage in mission-critical elective activities and problem-solving efforts. A proportion of the workday must be uncommitted to any other type of labor. Uncommitted time allows officers to do the following:



- To have and initiate public-service contacts
- To participate in elective activities selected by the agency, such as community policing and problem solving
- To make pedestrian and business contacts
- To conduct field interviews
- To engage proactive traffic stops and proactive patrol efforts.

Uncommitted time is the time left over after officers complete the work associated with both obligated/committed time and administrative time. A general principle for distribution of time for patrol is 30% across the board for administrative, operational, and uncommitted time, with a 10% flex factor. Ideally, particularly for service-driven organizations, the remaining 10% becomes uncommitted time, allowing officers more time for proactive community engagement. For jurisdictions with a stated focus on exceptional service and community policing, no less than 40% uncommitted patrol time is ideal.

If either the operational or administrative percentages are over 30%, the percentage of uncommitted time will be negatively affected.

### **SCHEDULING OPTIONS**

#### **Balanced Schedule**

In a balanced schedule, the department fully schedules all its personnel based on 40 hours per week, or 80 hours per pay period, throughout the year (this also often results in scheduling more personnel than required, which is referred to as over-scheduling); this is the most common form of police scheduling.

This type of schedule works if the department has enough people to accommodate vacancies due to leave. This over-scheduling relies on scheduling more staff than necessary for existing demands, in order to respond to requests for leave. In theory, because the department has *over-scheduled*, if someone takes leave, there is no need to backfill the opening, because the schedule still contains enough staff to cover shift minimums.

Although over-scheduling works, its effectiveness is impeded by peaks and valleys in the use of leave time by staff. Invariably, as shown above, staff within agencies take leave in larger increments during certain portions of the calendar year (e.g., during summer months or over the holidays). This often results in an imbalance between the number of leave requests and the ability of the schedule to release staff on leave, without creating a shortage in staffing, or the need to pay overtime to cover peak demands. Conversely, during periods when nobody takes leave (e.g.,



February), staffing is at its peak. This also tends to happen when service volumes are lower, which results in a certain amount of inefficiency.

There is a delicate balance between using over-scheduling as a means to accommodate leave and having too many resources available. And, despite the many reasons employees take leave or are unable to work, it is likely that there will be peaks and valleys in this type of system.

When there are peaks of resources, administrative staff can redirect personnel to specific projects or special enforcement duties. When there are valleys (shortages of staff), the department will need to use overtime as a means to cover minimum staffing levels. Staffing using a proper shift relief factor will minimize this, but there will likely be some need to pay overtime to meet minimums, assuming that leave requests follow similar industry patterns.

A balanced schedule is the most common form of police scheduling, it is also the most susceptible to inefficiency, due to the lack of flexibility in the schedule to adjust to leave and leave patterns, and having *over-scheduled* personnel, at various points in the schedule.

### On-Demand Scheduling

One alternative to using a balanced schedule is to use on-demand scheduling, or a *short-schedule*. An on-demand or short schedule is a type of schedule that follows the Fair Labor Standards Act (FLSA) 7k exemption for public safety scheduling and does not use the traditional 40-hour workweek to define the schedule, or payment of overtime. In a short schedule, the department schedules officers less hours than required during any given month. This results in a circumstance in which the agency can use the unallocated hours in a flexible manner, to cover meetings, training, special events, or predictable leave (e.g. vacation) as the scheduling needs demand. This type of the schedule is substantially more efficient than a balanced schedule, because it is possible to adjust the work schedule on an ongoing basis, and to respond to shift demands without the need for overtime, or substantial over-scheduling of personnel.

There are myriad variations of short schedules, but the theory is rather simple. In a short schedule, the department schedules officers less hours than required during any given month. This process typically involves the creation of a schedule shell in which the department ensures filling all shift minimums. In this format, there is also some over-scheduling involved, which allows for immediate backfilling of shifts vacated due to leave requests; however, the design of these schedules does not include the significant peaks that often occur within a balanced schedule. Instead, the over-scheduling of staff is smaller, which creates more efficiency in terms of personnel usage.



In contrast to a balanced schedule, when staff request leave time (for whatever purpose – other than unscheduled sick leave), and there are insufficient over-scheduled resources to accommodate the request, the agency can use unallocated time from patrol staff to fill the void. This can provide tremendous flexibility for the agency, help ensure that staff are able to take leave time when requested, even during peak demand periods, and help reduce overtime costs. Unallocated hours can also be used to cover training time or other special work details.

Despite its efficiency, there are some drawbacks to this type of schedule. Administering the schedule is time-consuming, as it requires constant monitoring to ensure FLSA compliance, and there are many logistics involved in establishing the protocols for when and how unallocated hours will be scheduled. In addition, because some shift hours are unallocated, and they are added to the schedule as the need demands, this type of schedule includes a level of inconsistency and unpredictability for officers in terms of knowing their work schedule in advance. On-demand scheduling is also new to most agencies, officers, and finance departments, and there are some bookkeeping complexities. In short, the agency pays each officer 80 hours of straight pay (a *salary* of sorts) per two-week pay period, regardless of how many hours they work. This means an officer may work 66 hours and collect 80 hours of pay, or the officer may work 95 and collect only 80 hours. In some cases, moving to an on-demand schedule requires extensive coordination with the finance department so that they can understand and buy into the dynamics.

One other significant issue is that using an on-demand schedule will likely reduce overtime greatly within the agency. From a fiscal perspective for the agency, this is a very good thing; however, some staff become reliant on a regular stream of overtime pay, and when the stream of overtime money is substantially reduced, they may face personal budget issues. The department must understand this possible side-effect and ensure that staff is aware of this change.

### **Base + (Base Plus) Schedule**

Another scheduling option for departments to consider is a Base + schedule. A base plus schedule combines some of the factors of a balanced schedule, along with an on-demand schedule. In a base plus schedule, the main framework, including the schedule rotation (in terms of the number of days on and off) and the number of hours per shift, also results in a number of unallocated hours for each officer. As with an on-demand schedule, the unallocated hours can be structured and monitored based on a pay-period, work cycle, or per month basis. Once the main shell of the schedule is built, then department can then use the unallocated hours for each officer during the prescribed cycle (usually 1-2 shifts per month), to backfill gaps or holes created in the schedule due to leave time, training, or other expected/predictable absences.



The primary difference between an on-demand schedule and a base plus schedule, is that in an on-demand schedule, the shifts are evaluated and added on an ongoing basis, usually in 30-day increments. In a base plus schedule, the unallocated shift time is added when the schedule is constructed (usually a year at a time), but after predictable leave and training needs for the schedule are identified.

Like the on-demand schedule, the base plus schedule carries with it the same operational requirements regarding schedule administration, FLSA compliance, and following established scheduling protocols. This type of schedule has less flexibility for the agency in terms of being able to adjust the schedule throughout the year, but it provides additional stability for officers, in terms of knowing their full schedule for the year, including the placement of hours that were not initially allocated.

### **ZONES AND PERSONNEL DEPLOYMENTS**

Although there are no nationally established standards for the geographic size of beats or the ratio of staff to each beat, based on size, creating an ongoing presence within a geographic area, consistent with geographic and community policing philosophies, becomes increasingly more difficult as the size of the patrol area increases. In more urban areas, geographic zones between 5-8 square miles may be best, and in more rural areas, practicalities require the beats to be more expansive.

Another consideration when determining beat sizes and staffing coverage is the availability and accessibility of back-up patrols. When operating at minimum staffing levels, a patrol area is left uncovered each time back-up is provided. If more than one back-up unit is required, then at least two areas will be uncovered.

#### **Establish Minimum Operational Patrol Staffing**

A safe and effective patrol workforce is essential to maintaining a safe community. To ensure that officers are safe and effective, and to ensure that service levels are met, the department should establish minimum shift levels that reflect the department's needs.

By setting an *operational* minimum staffing level for patrol (excluding K-9 officers and supervisors) and ensuring patrol staffing level does not fall below this number will provide both officer and community safety. Once the department establishes these minimal levels, they must become a standard. Setting this standard involves a commitment to temporary reassignment of personnel or using overtime to fill any gaps. This will ensure continuity of patrol operations, the ability of patrol officers to engage in proactive projects, and not allowing obligated workload time to jeopardize them.





### **TRAFFIC ENFORCEMENT**

The traffic unit provides support to patrol officers, and this unit has primary responsibility for traffic-related matters. The purpose of this unit is to provide quality enforcement in response to the community needs, with the goal of increasing safety and reducing accidents through enforcement, visibility, and education.

### **ALTERNATIVE REPORTING AND RESPONSE**

Department actions that can reduce the burden on patrol officers and enhance effectiveness include the creation/enhancement of a telephone reporting unit (TRU) and/or an online reporting system. By encouraging use by the public these programs could further reduce obligated demands on patrol, and the combination of these efforts would improve officer outputs.

#### **Telephone and Online Response Unit (TRU)**

Many agencies have TRUs that operate either in a full-time or a part-time capacity, and that these units can help reduce the obligated workload burden for patrol staff, by shifting low-level offense reporting to trained call-takers within the police department. Staffing for these units often comes from non-sworn personnel, such as community resource officers, records or other staff, or from volunteers.

#### **Online Reporting**

Like the TRU, online reporting can remove a portion of the work burden from the patrol division, freeing them to handle calls for service that are more pressing, and allowing officers to engage in more proactive community service efforts.

Many agencies have been using online reporting systems successfully for low-level offenses, and this has proved useful in reducing the overall obligated workload for patrol. Online reporting systems can allow for reports in categories such as:

- Vandalism
- Destruction of Property
- Theft up to \$5,000
- Theft from automobile
- Theft of auto parts and accessories
- Vehicle Tampering



- Attempted Auto Theft
- Credit/Debit Card Theft
- Identity Theft
- Lost Property
- Telephone Misuse
- Trespassing
- Noise Violations
- Loitering
- Disorderly Conduct
- Alcohol Violations

Many police reports, like the categories listed above, are conducive to online reporting. It is important to consider which reports to place in this queue carefully, keeping in mind that the police department should handle cases with witnesses and evidence, in person and/or directly.

The department should ensure that there is an error-free mechanism in place to double-check any reports that come into the agency through an online portal. This system should also involve a follow-up contact with the victim in some fashion, whether by email or phone, so that the complainant knows the police department received their report. It also adds a personal touch that demonstrates a focus on customer service.



# CHAPTER IV: COMMUNITY POLICING AND COMMUNITY ENGAGEMENT

## COMMUNITY POLICING

Although there are several definitions for community policing, the concept is in keeping with the policing philosophy of Sir Robert Peel, crafted in 1829, that still holds true today, which states,

The police at all times should maintain a relationship with the public that gives reality to the historic tradition that *the police are the public and the public are the police*; [emphasis added] the police are only the members of the public who are paid to give full-time attention to duties which are incumbent upon every citizen in the intent of the community welfare.<sup>7</sup>

## PROBLEM SOLVING

Problem solving in police work is an analytic method used by police to develop strategies that prevent and reduce crime. Under the problem-solving model, police agencies are expected to systematically analyze the problems of a community, search for effective solutions to the problems, and evaluate the impact of their efforts. Problem solving represents police-led efforts to change the underlying conditions in locations that lead to recurring crime problems. It also requires police to look past traditional strategies and consider other possible approaches for addressing crime and disorder.

Problem solving relies primarily on a diverse range of tightly focused policing strategies, some of which involve traditional law enforcement approaches and some of which involve alternative approaches. Problem solving combines the resource targeting strategies of hot spots policing with the diverse approaches of community policing. It draws on a variety of approaches to address crime and disorder issues, including partnerships between police and other organizations and community groups.

### Public Trust

Public trust is a vitally important element that must be present so that the law enforcement agency can fulfill the public safety mission. Without it, those within the community will choose not to interact with the police, or to provide relevant information concerning community issues

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<sup>7</sup> [https://www.durham.police.uk/About-Us/Documents/Peels\\_Principles\\_Of\\_Law\\_Enforcement.pdf](https://www.durham.police.uk/About-Us/Documents/Peels_Principles_Of_Law_Enforcement.pdf)



and crime, and the overall effectiveness of the agency will falter. There are numerous mechanisms that a police agency can engage to build and maintain trust with the public. Two of processes that can contribute greatly in this regard, include building strong accountability systems, and building strong relationships with the public.

Relationships are the cornerstone of the community policing philosophy. These relationships undergird every element of community policing. They are necessary to establish communication with the community, and they are critical in engaging the community in taking an active role in identifying and solving community problems.



## CHAPTER V: JUVENILES

Interactions with juveniles are an important element of policing. Positive police interactions with juveniles contribute to improved relationships and trust between the police and youth. Further, programs and projects that contribute to engaging youth in decision-making, problem solving, and collaborative efforts (such as restorative justice, youth courts, and peer interventions), lead to a sense of citizenship and contribute to reducing juvenile crime.

### POLICIES

The Final Report of the Task Force on 21<sup>st</sup> Century Policing contains numerous recommendations concerning juveniles. These include recommendations for agencies to:

- Adopt policies and programs that address the needs of children and youth most at risk for crime or violence and reduce aggressive law enforcement efforts that stigmatize youth and marginalize their participation in schools and communities.
- Work to reform policies that presently *push* youth toward the criminal justice system.
- Work with schools to keep kids in school and encourage alternatives to suspension and expulsion through restorative justice, diversion, counseling, and family interventions.
- Work with schools to develop alternate strategies that involve youth decision making, such as restorative justice, youth courts, and peer intervention.
- Work with schools to develop an approach to discipline that encourages development of new behavior skills and positive strategies to avoid conflict.
- Work with schools to develop a memorandum of understanding for SROs that minimize law enforcement's role in student discipline.
- Engage youth in decision-making and problem-solving and develop collaborations and interactions between police and youth.<sup>8</sup>

### PROGRAMS

Programs and outreach efforts that connect with youth strengthen police engagement of the community and provide additional perspective into police for the youth. These efforts could include Police Athletic Leagues (PAL), and Summer Leadership Camps, which can have a very positive impact on community relations, especially among the youth of the community.

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<sup>8</sup> The President's Task Force on 21<sup>st</sup> Century Policing  
[http://www.cops.usdoj.gov/pdf/taskforce/taskforce\\_finalreport.pdf](http://www.cops.usdoj.gov/pdf/taskforce/taskforce_finalreport.pdf)



Another successful youth outreach program used by many law enforcement agencies is a Police Explorer program. Police Explorers is a career-oriented program that gives young adults the opportunity to explore a career in law enforcement by working with local law enforcement agencies. Founded on July 12, 1963, it is one of the exploring programs from Learning for Life, a non-Scouting subsidiary of the Boy Scouts of America. The program is generally available to qualified young adults who graduated 8th grade and are ages 14 through 21.<sup>9</sup> Beyond its community outreach benefit, explorer programs can provide a police department with substantial benefit in its recruiting efforts.

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<sup>9</sup> [http://en.wikipedia.org/wiki/law\\_enforcement\\_exploring](http://en.wikipedia.org/wiki/law_enforcement_exploring)



### CHAPTER VI: EMERGENCY COMMUNICATIONS

#### ALTERNATIVE RESPONSE

Alternate police response is a management tool that extends the range of options for responding to requests for police service, intended to optimize the match between the service required and the response made. Rather than dispatching a patrol unit to every call, on an as-available basis, police agencies that practice alternate response allow for systematically assigning some types of calls that do not require a physical police presence to another method of reporting. This practice builds on research that has shown that much of the time an immediate response by patrol units does not improve the prospects for desirable outcomes: the apprehension of suspects, the prevention of injuries, the collection of evidence, or even the satisfaction of callers. Furthermore, the time saved or restructured using alternate responses allows scarce police resources to more productive uses.

Alternate reporting options may involve callers being asked to give reports over the phone, to mail a report to the police, to come to the police station to complete a report, to complete a report over the Internet, or to schedule an appointment with an officer. Examples of these types of calls are reports of minor motor vehicle crashes or for minor crimes – typically, offenses in which the loss (for example, from theft) or damage (for example, from vandalism) is under a specified dollar threshold and in which no physical evidence or other leads are available. Research has shown that in such cases, the likelihood of apprehending offenders is very low, and in many departments, cases with such low solvability are not generally assigned to detectives for follow-up investigation.

The use of alternative reporting methods can be helpful in reducing the obligated workload for patrol. There are three primary methods that agencies can use in this regard, online reporting, telephone reporting, or reporting through a kiosk.

#### CALL ROUTING WITH DISPATCH

This section describes how the CFS are routed through the dispatch center.

##### Lag time in dispatching

One important point of analysis in examining the overall efficiency of the dispatching process is to examine the time it takes to dispatch the first unit to a CFS, once the dispatcher answers the phone call.



### Priority Dispatching

The Computer Aided Dispatch (CAD) System is configured to identify which CFS are assigned which priority level. In turn, these priority levels help to inform the dispatcher as to the urgency of the CFS.

CFS prioritization and categorization is developed locally, but should be reviewed periodically, ideally with community involvement to ensure priority levels are current and relevant.

### Unit Dispatching

Police agencies in the U.S. commonly utilize a zone system for establishing geographic patrolling sections within a community. Dispatchers attempt to assign the zone car to the CFS if they are available. If the zone unit is busy, dispatchers may notify a watch commander and/or assign another unit. Watch commanders can provide direction to dispatch whether to dispatch the CFS to another unit, or to hold it until the zone unit is available.

Another aspect of unit dispatching that is common in communication centers involves the use of an Automated Vehicle Locator (AVL) system. This process uses GPS to monitor the location of patrol units, and it provides dispatchers with an understanding of squad locations, so that the closest unit can be dispatched to the CFS. When lives are on the line and response times are critical, the use of AVL can be a very valuable mechanism to find the closest unit or units, regardless of their work assignment (patrol or otherwise) or assigned work area (zone).





### CHAPTER VII: INVESTIGATIONS AND STAFFING

Second only perhaps to patrol, the investigative function of any police organization is vitally important to operational and organizational success. The primary function of the investigations section is the follow-up and investigation of criminal cases, with the objective being the identification, apprehension, and successful prosecution of criminals, while providing high quality, professional, and compassionate service.

The section has many additional duties and responsibilities which include but are not limited to; crimes against persons/property, control of crime scenes, crime scene processing, evidence collection, forensic examination of scenes/collected evidence, and criminal intelligence gathering/sharing.

#### STAFFING

Determining appropriate staffing levels within the investigations and special operations divisions is complicated; however, this section provides the assessment of IACP of the staffing needs for the investigations function within an agency.

Understanding appropriate staffing levels for investigations units is difficult, because there are no set standards for determining such staffing levels. Each agency is different, and the myriad variables make it impossible to conduct a straight agency-to-agency analysis. For example, it is difficult to track actual hours on a case, time spent on cases is not consistent among investigators, in some cases multiple investigators work on the same case, some supervisors are more attentive and close cases that are not progressing more quickly, different types of cases take longer to investigate, and various factors contribute to differences in determining which cases should be investigated, and which should be suspended or inactivated.

#### WORK SCHEDULES

Based on a normal work schedule, investigators are scheduled to work 2,080 hours per year. However, negotiated leave and vacation time, holidays, sick and injured time off, training requirements, and compensatory time off, mean that in actuality, investigators are available to conduct work assignments for about 1,600-1,700 hours per year. As noted with regard to patrol workloads, the number of actual hours available for investigators is an important consideration in determining staffing needs.



## POLICIES AND PROCEDURES

### Case Assignment and Follow-up

Best practices in case assignments call for cases to be screened based upon solvability factors assigned by patrol, to determine whether the case will be assigned to an investigator for further investigation. The objective of case screening is to apply available manpower to those investigations that have the best chance of being successful. Written criteria should specify how such screening is to be conducted, by whom, and what criteria (solvability factors) should be used. Screening of preliminary investigative information will assist in the decision on whether a follow-up investigation will be made. Examples of criteria include the availability of manpower, the degree of seriousness, and other solvability factors, such as:

- Is a suspect identified or described in detail?
- Are there any witnesses available?
- Vehicle tag numbers/descriptions
- Other crimes with similar modus operandi (M.O.)
- Physical evidence available
- Informant information.

In all cases where sufficient solvability factors exist to support a strong potential for successful clearance, the case should be investigated. The decision about the extent of follow-up investigation should be made at the management level, with input from operational personnel. Continuation of follow-up investigation should include a review of periodic status reports of investigators on the progress of assigned cases.

A strong case management policy and practice is critical for successful investigations. Best practices involve supervisory follow up on case status at specific time periods such as ten-day, thirty days, six months, and one year. The department RMS system should have the capability to track case status follow-up at specific time periods. Absent this functionality within the RMS, there are many other inexpensive programs that can providing this type of tracking.

## WORKLOAD AND CASELOADS

There are no set standards for clearance rates for investigations or for case assignments.

### Other Workload Data

Based on experience, and observations and interviews with detectives and supervisory personnel and considerations provided for other work time not dedicated to assigned cases, one can quantify investigative and non-investigative work efforts.



The fact that certain officers work in the investigations unit does not mean they cannot or should not engage in community policing efforts. Those assigned to investigations tend to include some of the most tenured and capable officers in the department. Accordingly, they have much to contribute from a community policing perspective. Police agencies in general, benefit from engaging detectives in the community policing process. However, doing so will reduce further the available hours detectives have available for investigative work, so integrating detectives into the community policing process should be done with an understanding of how this shifts the work burden, and the need for additional personnel in the investigations bureau.

### **ADDITIONAL CRIMINAL INVESTIGATIONS DISCUSSION**

The changing nature of crime has dramatically reshaped criminal investigations. In the past, detectives responding to a crime scene could focus almost exclusively on securing and collecting physical evidence and interviewing witnesses. Now, in addition to those activities, investigators must also attempt to secure and access smartphones, review social media accounts of victims, suspects, their friends, relatives, and others, and review nearby video cameras and any other devices that may be associated with the victim or suspects.

Technology is changing the environment every day, and most police agencies are far behind the curve. The old *silos*, such as special units for organized crime, gangs, and narcotics, are becoming less relevant as technology becomes a part of all these traditional categories. Technology has opened up crimes such as drug trafficking, to a wide range of new criminals, many of whom have little experience and are unaffiliated with gangs or other criminal organizations. Technology is also impacting how some street gangs operate; they are becoming more sophisticated and tech-savvy, even as they remain engaged in violence. Police agencies are facing a number of operational challenges when it comes to investigating new types of crime and new types of criminals.

To keep pace with changes in crime, especially computer enabled crime, some police agencies are rethinking their organizational and operational structures. This includes creating or strengthening computer crime units and working to build up digital investigation skills that all personnel can benefit from throughout the department. Training is another critical component that police agencies must address as they improve their investigative capabilities and tackle new types of crime.



## CHAPTER VIII: POLICY REVIEW

A regular review of the agency's policy manual is critical for keeping policies up-to-date. This process involves a general review of the department manual with the following objectives in mind:

- Ensure the manual is well-organized
- Ensure it contains appropriate and typical guiding policies
- Determine if there are any redundant policies
- Determine if there are any conflicting policies
- Identify policies related to external review boards
- Identify policies related to internal review committees
- Determine if the manual has policies related to 15 specific categories listed below in the critical policies areas section, and whether those policies are consistent with industry best practices.

### CRITICAL POLICIES

There are 15 categories listed below, which are described as critical policy areas. This list emanates from Gallagher and Westfall's work on the twelve policy areas that result in the highest number of liability areas for police agencies<sup>10</sup> and includes three additional areas. Although this list is not all-inclusive, the presence of these policies is suggestive of contemporary best practices in policing and policy development.

#### Critical Policy Areas

- A. Off-Duty Conduct
- B. Sexual Harassment-Discrimination
- C. Selection/Hiring
- D. Internal Affairs
- E. Special Operations
- F. Responding to the Mentally Ill
- G. Use of Force
- H. Pursuit/EVOC
- I. Search/Seizure-Arrest

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<sup>10</sup> <http://www.theiacp.org/portals/0/pdfs/LBL2011-05-25ReducingAgencyLiability.pdf>



- J. Care, Custody, Control/Restraint of Prisoners
- K. Domestic Violence
- L. Property-Evidence
- M. Officer Wellness
- N. Impartial Policing (Unbiased Policing)
- O. LGBTQ Policies



### CHAPTER IX: UNBIASED POLICING

“Biased policing and the perceptions of it threaten the relationship between police agencies and the diverse communities that they serve.”<sup>11</sup>

Issues regarding fair and unbiased treatment of all individuals have been a concern for law enforcement agencies across the U.S. for many years. However, these issues have been heightened in America recently in the wake of the shooting of Michael Brown in Ferguson, Missouri in 2014, and several subsequent high-profile incidents that have followed. Accordingly, police practices have come under great scrutiny. Community trust is imperative, and that effective policing relies upon this base principle. Actions by the police that are biased, or those that the public perceives as biased or unfair, work against this concept, and serve to undermine the ability of the police department to effectively carry out its mission. Therefore, it is incumbent upon every police agency and leader to ensure that all people are equally protected and treated fairly and properly in their encounters with the police.

#### DATA COLLECTION AND AGENCY PRACTICES

Collecting race and gender data on police contacts is important and departments should consider tracking this consistently in all contacts with those in the community. Agencies should also consider tracking what occurs as a result of contacts with persons in the community. This means, for example, tracking whether a contact resulted in a warning, citation, arrest, pat-down or other personal search, a search of the person’s vehicle or other property, or whether the person was detained and/or handcuffed. It also requires collection of police deployment strategies and tracking the outcomes of those involvements. Collection of data in this regard will allow police leaders to monitor policing practices to ensure their efforts and those of their officers, are not discriminatory.

Many police agencies endeavor to deploy resources into areas and neighborhoods where they believe crime is or will be occurring, ideally using formal data-driven policing strategies to deploy police resources. These types of personnel deployments are indeed *disparate*, but that does not necessarily mean that they are *discriminatory*. Deploying personnel where the crimes or criminals are, or where analytic data suggests they will be, is an important aspect of resource management and crime suppression. What is more important than *where* the personnel are deployed, is *how personnel conduct themselves* and how they treat each community contact or encounter. Data-driven policing practices are appropriate, but law enforcement agencies must make sure that the personnel deployed do not engage in biased policing.

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<sup>11</sup> [https://cops.usdoj.gov/html/dispatch/February\\_2009/biased\\_policing.htm](https://cops.usdoj.gov/html/dispatch/February_2009/biased_policing.htm)



### PROCEDURAL JUSTICE

Procedural Justice is an interdepartmental process that operates on the premise of four pillars, Impartiality (in decision making), Transparency (in actions), Voice (opportunities for voice) and Fairness (In the process). The elements of procedural justice are typically conveyed as follows:

- Treating people with dignity and respect
- Giving individuals voice during encounters
- Being neutral and transparent in decision-making
- Conveying trustworthy motives

Procedural justice is a philosophy that relates to both internal and external dynamics and encounters. Embracing the aforementioned pillars has been shown internally to increase adherence to internal rules and processes, increase morale, and to decrease grievances by officers over new rules, procedures, and promotions. It has also been shown to contribute to the generation of new ideas and innovation, as it allows all stakeholders affected by departmental decisions to give insight, opinion, and perspective. From an external perspective, procedural justice improves relationships with the public, and contributes to community trust in the police department.



### CHAPTER X: DATA, TECHNOLOGY, AND EQUIPMENT

As technology has permeated the law enforcement profession, more and more agencies have leveraged the use of technology to improve efficiency, and the effective delivery of police services. The development and implementation of various technologies can significantly improve overall functionality of the department, particularly the patrol units.

#### CRIME ANALYSIS

Data driven strategies to policing and personnel deployments have become a standard throughout the policing profession and these processes have proved to contribute to the effective and efficient use of organizational resources. The use of data in the deployment of police resources and personnel is referred to as intelligence-led policing (ILP). ILP is a department-wide policing strategy considered to be a *best practice* in modern law enforcement. ILP broadly consists of gathering information or data, converting that information/data into usable intelligence via analysis by trained professionals, and then using that intelligence to guide decision-making by executives and commanders to positively influence public safety objectives that support the mission of the department and the needs of the community.





### CHAPTER XI: TRAINING AND EDUCATION

Leadership training is vital for 21<sup>st</sup> century policing. When high-potential, highly-motivated employees are presented with the chance to learn, lead, and/or advance, they will take advantage of those opportunities. It is critical for agencies to cultivate and guide these quality employees, or the agency runs the risk of those employees becoming disenchanted, or even seeking to leave the agency for other career opportunities. Creating a formal system to identify these employees, and a training program to cultivate them once identified helps develop and engage them further in the agency.

Promotion to supervisory and command-level positions requires an atmosphere that not only encourages personnel development, but also one that prepares staff for opportunities through an intentional process. Establishing a program that identifies and develops potential leaders is a critical element of building new leaders.

#### TRAINING RECORDS

Proper recording of training through the use of training records software would help eliminate redundancy, reduce liability, create a place to more accurately track records and documents, ensure compliance with training requirements, and make it easier to find information when needed.

Ongoing training of officers is of critical importance. However, as important as training is to maintaining excellence, efficiency, reducing liability, developing personnel, and increasing morale, it is also important to ensure that it provides balance with the primary job functions. Developing a strategic training plan can aid in guiding the department and individual officers in identifying appropriate, timely and strategically necessary training (in addition to required training).

#### USE OF FORCE TRAINING

Regular use of force training should be required training and should include scenarios requiring officers to make critical judgements. Perhaps the most critical element to include in this training involves de-escalation tactics and training. Police agencies that have emphasized de-escalation over assertive policing have seen a substantial decrease in officer uses of force, including lethal force, without seeing an increase in officer injuries or fatalities. More comprehensive tactical training also helps prevent unnecessary uses of force. Instead of rushing in to confront someone, officers need to understand that it is often preferable to take an approach that protects them as they gather information, develop plans and make contact from a safe distance.



### CHAPTER XII: INTERNAL AFFAIRS

The purpose of the internal affairs (IA) function is to ensure that the department's integrity is maintained through a system that provides an objective and fair investigation and review of complaints against department employees.

#### COMPLAINT PROCESSING AND ROUTING

Complaints against department personnel can originate either internally or externally. Citizens wishing to file a complaint must typically come to the police department to obtain a complaint packet; however, depending upon the circumstances, citizens can also file the complaint over the phone. If a staff member wishes to file an internal complaint, the typical method would be to make the report to their direct supervisor. However, staff can also make a complaint directly to the commander of Professional Standards.

In many instances, minor cases are managed at the supervisor level. This causes less stress for the officer and allows an officer to have more trust with the process. However, the lack of centralized documentation of these cases makes it difficult for a department to track complaints have been filed against the department, or even against any individual officer. This process also has the potential to have different standards applied by different supervisors, which can lead to unequal or unfair practices, or at least the perception of this by officers.

#### OVERSIGHT

The routing of IA complaints that involve several steps and multiple layers of internal review by supervisors, while time consuming, helps ensure that multiple perspectives have been considered, and that the final disposition is consistent with policy, departmental philosophies, and legal standards.

#### TRACKING AND EARLY WARNING SYSTEMS

Early warning systems (EWS) are important tools in the police disciplinary process. There are software packages available that can easily track internal investigations, field investigations/complaints against officers, departmental accidents, injured officers, and uses of force, among other areas. These systems can also be structured to provide triggers or flags, which can alert supervisory personnel when employees have data entered, which may be an indication of a problem, such as such as absenteeism, work and ethical issues, workplace safety injury and insurance claims, and grievances.



Accurately tracking early warning system information, and all complaint data that does not rise to the level of an IA investigation is important for identifying possible trends within the agency or with a particular individual and for quantifying complaints and outcomes overall.