

NATHAN F. IANNONE • MARVIN D. IANNONE • JEFF BERNSTEIN

Ninth Edition

Supervision of Police Personnel



SUPERVISION OF POLICE PERSONNEL

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SUPERVISION OF POLICE PERSONNEL

NINTH EDITION

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Foreword

It is both an honor and privilege to write the foreword for this book authored by Dr. Jeff Bernstein, a personal friend, and colleague who I have known for over 30 years. Over that time, I have served as a police chief with two police agencies and served as the president for both the Florida Police Chief Association and the International Association of Chiefs of Police. I have conducted numerous police promotional processes for the ranks of sergeant to police chief, and as a lawyer I have been used as a subject matter expert in promotional processes on police practices. Currently, I serve as a presidentially appointed U.S. Marshal in the State of Florida.

Dr. Jeff Bernstein, the coauthor of this book, and I have worked closely together in preparing police officers for promotional exams. He is without question the No. 1 authority on police promotional exam preparation in the country. As one of the nation's top experts in police supervision, Nathan Iannone asked Dr. Bernstein numerous times to revise his original book and update his book to be contemporary with the times. Prentice Hall also asked Dr. Bernstein to write the first official study guide for the book.

The textbook you are about to read is a long-time best seller. It has been on more law enforcement promotional exam reading lists than any other book. It's considered by many to be the "Bible of Police Supervision." If you have this in your hands right now, you're probably studying for a promotional exam or taking a police supervision college class.

This book is the authority in the field and addresses everything a police supervisor should know. Making a successful transition from officer to supervisor is reviewed in the book. Basic supervisory responsibilities such as training, coaching, and counseling are discussed in the book. Dealing with citizen complaints, problem employees, and tactical deployment of field forces in critical situations are all covered in the book. After reviewing and studying these areas, you will have a much better understanding of how to handle these types of situations as a supervisor or manager. A new feature to this edition is that the key points in the book have already been identified by Dr. Bernstein for you. They will help you to do better on the exam you have to take as well as be a better supervisor or manager.

Every day in every police department across the country supervisors deal with employees, citizens, peers, bosses, and unique situations they encounter on the street. You will find this book to be an excellent guide in regard to dealing with these individuals and situations. The kinds of things that every supervisor or manager should know are in this book!

Finally, as you're reading this book, always keep your ultimate goal in mind. Whether it's to get the promotion you want or to be a better supervisor or manager, never lose sight of it. If you're ready to become a leader, study hard and stay focused. If you're tired of doing what you're doing and want to move up the ladder, study hard and stay focused. If you study hard, stay focused, and internalize the teachings of this book, you will be that much closer to achieving your ultimate goal.

I wish you all the best.

William "Bill" Berger



Preface

It is with great pride that I have prepared the ninth edition of *Supervision of Police Personnel*. The text addresses the essential knowledge, skills, abilities, and personal characteristics that every professional law enforcement supervisor and manager should have. It has been read by thousands of college students, promotional exam candidates, and police supervisors.

It was truly an honor to be asked by Nathan and Marvin Iannone to update *Supervision of Police Personnel*. In my law enforcement career, I have worked as a police officer, detective, sergeant, and police psychologist. Most of my time in law enforcement was as a street cop. When the Iannones asked me to update the “Bible of Police Supervision,” I readily accepted it as the greatest challenge of my law enforcement career. As a test preparation specialist, I have trained over 100,000 men and women to become law enforcement officers, sergeants, lieutenants, captains, and chiefs. My area of expertise is in law enforcement promotional exams and exam preparation. In updating this book, I have tried to ensure that the most important things that law enforcement supervisors and managers need to know are included in it. I have also added two new chapters to the ninth edition: Chapter 14, which is “Legal Knowledge Every Supervisor and Manager Should Have,” and Chapter 15, which is “Other Important Supervisory and Management Topics.” Prior to updating the book, I reviewed many of the current challenges and contemporary issues facing law enforcement supervisors and managers today. I have added a number of these important topics to the book. Some of these include ensuring officer safety, coaching officers on street survival, and responding to individuals with behavioral health issues. These are areas every supervisor should be keenly aware of.

It has been my experience that the very best supervisors and managers show concern for their subordinates, the department, and the public. Also, the most successful law enforcement agencies seem to have the best supervisors and managers. It’s one of the key factors that separates those agencies who succeed in their mission from those who don’t. In day-to-day police work, officers are involved in a wide variety of situations. They make mistakes from time to time and when they do, someone needs to discipline them. They respond to critical incidents that can be overwhelming; when they do, someone needs to guide them. When officers do good work, someone needs to praise them. That someone is the police supervisor and manager!

Since most of you are reading this textbook for your promotional exam, I have prepared the following as guidance for you.

► Promotional Exams: How to Get Started with Your Preparation

Preparing for promotion is an important career decision. This is particularly true today as the competition for supervisory and command positions in law enforcement agencies is fierce. The challenge for those who are serious about promotion is that they must be more prepared today than ever before. The road to promotion is one of hard work and personal commitment. The key to success will be determined by how well you prepare.



When a promotional exam is announced, just starting your preparation is one of the hardest things to do. We firmly believe the early bird does get the worm. Here are five things you can do to begin your preparation:

1. DEVELOP A PLAN

Start thinking about exactly what you're going to do. Make the commitment: When am I going to study? Where am I going to study? Who am I going to study with? And so on.

Speak with successful supervisors and managers in the workplace. Ask them about their study techniques. Put your study plan together prior to beginning your studies. If 30 percent of the exam questions come from the textbook, put at least that amount of time into your studies. Same thing with the law book, as well as the policy and procedure manuals.

Before you begin studying, make an appointment to have your eyes checked, especially if eye fatigue is occurring more frequently than normal.

2. GATHER UP ALL THE MATERIALS

Keep your study materials updated—for example, law books, guidelines, textbooks, test prep guides. Once you obtain all the materials, put them away. Then, just take out one item at a time to study. This way you won't feel overwhelmed.

3. ESTABLISH THE PROPER MIND-SET

If you're taking a test to become a boss, you have to start thinking like one. This is especially true while you're working. When you hear calls on the radio for a supervisor, think about what you would do with respect to proper supervisorial principles. Critical incidents, complaints, performance issues—how would you handle them?

4. BE POSITIVE!

How much time do we spend complaining every day at work? A lot, right? Well, when it's exam time, avoid the whiners and complainers. Complaining is a time waster that distracts you from studying. Stay with the positive people who are focused on studying.

5. BEGIN YOUR STUDY

If you sign up for a study group, it should be in addition to your individual study. Think of the total study time in small increments. If your promotional exam is 3–6 months away, 1 hour of study per day 5 days a week is fine. However, you should progressively increase your study time as the exam gets closer (less than 3 months). Study at least 2 to 3 hours per day, 5 days a week. Choose a quiet place and select a time when your energy level is highest. A good way to study this book is to engage in the practice of “overlearning” each chapter. After you read Chapter 1, immediately go back and reread it. You will pick up things you missed on the first read. After your second read, test yourself with the study guide multiple choice questions. You will find out where you are strong, and what topics you are weak in. Whichever area you are weak in, put in more study time.

Log your study time and chart your readings on a calendar. Set goals and deadlines and follow them. Make adjustments as needed.

Periodically reward yourself and your family for your hard work.

Don't take on major responsibilities or projects while you're studying for the exam.



For more information on preparation for promotional exams, go to www.bernsteintestprep.com. It's up to you to get your plan into motion. If you don't put the time and effort in, somebody else will. Best of luck in the promotional exam process.

► New to the Ninth Edition

Preface

Valuable Tips for Promotional Exam Preparation

Chapter 3

Magnifying Community Policing Through Social Media
Leadership Redefined by U.S. Navy Seals
Updates on Supervising the Multigenerational Workforce

Chapter 4

Andragogy
Roll Call Training
Online Training
Virtual Training Simulators

Chapter 13

New Bomb Threat Stand-Off Guidelines
Revised and Updated Hostage Negotiation Strategies

Chapter 14

Legal Knowledge Every Supervisor and Manager Should Have
Police Citizen Contacts, Investigative Detentions, Terry Stop and Frisk, Motor Vehicle Stops, Totality of the Circumstances, Vehicular Pursuits, Identification of Suspects, Canine Sniffs, Search Incident to Arrest, Automobile Searches, Interrogation of Suspects or Arrestees, Miranda Warnings, Exceptions to Miranda, Public Safety Exception, Juvenile Issues, Hot Pursuit, Consent, Law Enforcement Agencies' Obligations to Persons with Disabilities, DNA, School Search Policy, Searches of Parolees, Liability, The Law Enforcement Officers Safety Act (LEOSA), Family and Medical Leave Act, Police Activity and the First Amendment

Chapter 15

Other Important Supervisory and Management Topics
Ensuring Officer Safety, Coaching Officers on Street Survival, Responding to Individuals with Behavioral Health Issues, Officer Involved Domestic Violence, The Ferguson Effect, Conflict Resolution and Management, Dealing with the Media, Making Meetings More Productive, Effective Time Management, Managing Change.

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It's been said that to be successful, you have to surround yourself with good people. Well, I'm very thankful that I have done just that!

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► Dedication

The ninth edition of *Supervision of Police Personnel* is dedicated to my father, Lieutenant Bert Bernstein, and my mother, Bea Bernstein. For 30 years, my father worked for the Miami Beach Police Department. Those who worked with him considered him a "Cop's cop." My mother Bea also worked for the Miami Beach Police Department. Growing up in a police family is why many of us entered into law enforcement.



1 The Supervisor's Role

CHAPTER OBJECTIVES

This chapter will enable you:

- To become acquainted with the supervisor's role
- To gain an understanding of the basic responsibilities of the supervisor
- To become familiar with the supervisor's objectives

In modern administrative terminology, **management** denotes the process of directing and controlling people and things so that organizational objectives can be accomplished. **Supervision**, as part of the management process, refers to the act of overseeing people. It is an activity that takes place at all levels in an organization except at the work level, although many of the tenets of good supervision apply to nonsupervisory officers in their daily dealings with the public.

Nowhere is the application of management and supervisory principles more important than at the first level where the productive capacity of an enterprise is directly controlled. Workers' performance and morale are more strongly influenced by their immediate superior than by any other factor in their environment. This is true not only because the supervisor and employee have a close relationship but also because the superior exercises such a strong influence on the subordinate's physical and social environment. It is for these reasons that the first-level supervisor's job is a key position in any organization. The precepts presented in this text, with few exceptions, are especially directed to these supervisors. These precepts have been tested and proven highly effective not only in the law enforcement community and closely allied agencies but also at all levels of the hierarchy in any organization where supervisory relationships exist.

In the law enforcement agency, first-level supervisors are of special importance because of the great need for teamwork. On them rests most of the responsibility for providing the cohesive force that welds the workforce into a well-functioning, smoothly operating unit.

Leadership expert John C. Maxwell has said, "If you lead people well and help members of your team to become effective leaders, a successful career path is almost guaranteed."¹

► Supervisory Position

People are responsible for production. Supervisors are responsible for people. They accomplish the objectives of the organization by getting things done through their subordinates. Supervisors must be experts in handling employees to be successful leaders. To this end, they must develop the art of influencing others, coordinating subordinates' efforts, and directing people to proper goals in such a way as to obtain subordinates' obedience, confidence, respect, and loyal cooperation.

Management denotes the process of directing and controlling people and things so that organizational objectives can be accomplished.

Supervision refers to the act of overseeing people.

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People like to be led by those whom they respect and in whom they have confidence. The first step in gaining this confidence and respect is taken when supervisors exemplify by their personal conduct that which they demand from their subordinates. If supervisors provide subordinates proper leadership, they will respond with the highest performance, with a minimum of conflict and a maximum of satisfaction.

Supervisory officers must be adept at applying the principles of wholesome human relations with common sense so that they can best integrate the needs of employees with the goals of management. They should allow them to participate in decisions that affect employees but must avoid crippling the supervisory role by carrying democratic leadership so far that subordinates will expect supervisors to “take a vote” before making every decision. Undoubtedly, when those affected by a nonemergent decision are consulted before it is made, the process will take longer but implementation will be much swifter.

To many supervisors, advancement into a position of authority involves a considerable change in lifestyle from being a follower to becoming a leader and requires a radical change in philosophy and thought processes, especially in the area of human relations. As supervisors gain experience, they increasingly appreciate how their actions affect the economic security, advancement, and emotions of subordinates. They appreciate the effects of their activities on subordinates’ general welfare and morale. Supervisors will not become lulled into believing that because their morale is high, the morale of their subordinates is also high; they will recognize symptoms of low morale and take corrective action promptly whenever the situation permits. The supervisor will realize, as David Lieberman explains, that morale cannot be achieved through incentive or policy.² They can influence it, however, if understood that people are interested in themselves and in the things that affect them. The supervisor should provide subordinates with performance feedback that will give them a sense of their worth within the organization.³ One of their basic needs is a feeling of stability and security in their work. This should be provided to them insofar as possible because people do not perform well when they are exposed to conditions that cause tension and anxiety.

Leaders must accept the fact that their subordinates are all different. They will react in different ways at different times. They will often resist efforts to do what they know has to be done to make the organization a better place to work. Now and then, some will become incensed at what they consider a trivial criticism if it is not given with the utmost tact and diplomacy. They will sometimes resist changes in their duties or assignments, and some will quit if they see greener pastures elsewhere. Supervisors can expect disloyalty from some and intense loyalty from others in the complex job of managing people.

Supervisors must be able to help subordinates establish and achieve reasonable goals. They must be able to provide solutions to many job-related problems of their subordinates and provide them wise counsel and assurance in their personal and professional lives when the need arises, recognizing that they will not all react the same when help is given. At times, subordinates will misinterpret supervisors’ motives and accuse them of meddling in their affairs, yet their affairs are the concern of supervisors when their performance is affected.

Supervisors are selected by management and derive official authority from that source, but real authority stems from the spirit of cooperation, respect, and confidence that they are able to gain from subordinates. Supervisors are expected to represent management’s interests to the workers and workers’ interests to the management. They are a buffer between workers and higher authority, absorbing heat from above without passing it along to their subordinates. To the subordinates, the supervisor is the department whose virtues personify those of the department. If supervisors are fair in their dealings with them, considerate of their welfare, and stimulating, subordinates attribute these characteristics to the organization. Any unjust, inconsistent, and unfriendly behavior on the part of the supervisor will be interpreted by the subordinates as a reflection of the attitude of the organization.



In the long run, the interests of the management and the worker are identical. The small differences between the two can ordinarily be resolved by effective supervisors if they avoid prejudice, develop a judicial attitude by basing decisions only on the facts, know the rules under which subordinates must work and appreciate the intent of such rules, study their subordinates to gain an understanding of them, lead them in a joint effort instead of driving them, and practice loyalty to the organization and to those with whom they work.

Supervisors are responsible for keeping their superiors informed through oral and written reports and to this end must keep themselves informed through records, research, and inspection. Supervisors are obliged to keep their subordinates apprised about matters affecting them. In doing so, they must communicate clearly by learning to avoid the barriers that hinder effective communication. Supervisors convey official policy downward and try to sell it to subordinates, even though they sometimes do not agree with it and know it will be resisted.

Supervisors should avoid filtering information to subordinates or superiors on the presumption that it will make them happy or unhappy. It is vital to always keep superiors informed so that their decisions may be based on complete information, not on partial data that have been taken out of context. When in doubt as to how much detail should be passed on to them, it should be resolved in favor of conveying too much rather than too little. In doing so, however, impeccable discretion is a must lest supervisors' motives be misconstrued. Supervisors should be aware of the fact that communication may breed rumors.

Supervisors often find it difficult to reconcile the goals of management with the goals of the employees and the sentiments of their social group. They are often torn between the loyalties owed to both employees and management, but it is necessary to realize that the best interests of the organization must prevail.

► Technical and Supervisory Competence

Supervisors need not become highly skilled in every technical aspect of the job they supervise to be effective—to do so would impose an impossible burden on them—but they should have a good working knowledge of the principal aspects of the job for which they are responsible. They must have a basic understanding of other scientific disciplines that have contributed to the science of leadership. The psychologist has contributed to an understanding of human behavior. The sociologist has attempted to explain ethnic cultures and group relationships. The anthropologist has tried to explain the developmental aspects of society. The physical scientist has given law enforcement a vast source of technical data that have contributed to the advancement of scientific criminal investigation, just as have many other disciplines.

Every supervisor should keep abreast of fundamental changes in practices, techniques, and procedures in order to be equipped to convey to their subordinates the information they need to perform their jobs properly. Supervisors should prepare for this position by gaining a good working knowledge of the principles of organization, administration, and management; they should know and understand the principles of performance evaluation and become experts in directing the efforts of their subordinates into the most productive channels. Supervisors should know how to make assignments, through the process of delegation, of many tasks that subordinates are capable of performing and also better than they themselves can. In delegating routine tasks to subordinates, expert supervisors will give subordinates sufficient authority to match the responsibility they have imposed on their subordinates and will then hold them accountable for the outcome, but the *final* responsibility for the job lies with supervisors, because responsibility for a task cannot be shed merely by delegating it to someone else. If supervisors delegate well, they will conserve time for carrying out the primary duty of supervising rather than performing routine operational activities.

In delegating routine tasks to subordinates, expert supervisors will give subordinates sufficient authority to match the responsibility they have imposed on their subordinates.



► Organizational Knowledge

Supervisors should prepare for leadership positions by gaining knowledge and understanding of the policies, rules, procedures, practices, functions, and objectives of the organization. They should be thoroughly versed in the functions and operations of their local subdivision of government and should have an understanding of its relationships with other units of government. They should be fully acquainted with those agencies that work in conjunction with their own. Their facilities for providing rescue work, ambulance services, welfare activities, or other services should be well known to them. They should be thoroughly familiar with the local political atmosphere, although political entanglements and alliances that might hinder the performance of official duties should be scrupulously avoided.

Successful supervisors will understand the legal ramifications of the office; obligations, liabilities, and responsibilities for the acts of their subordinates under the law; and the restrictions under which they operate. They will keep themselves informed of the functions, jurisdiction, and authority of persons occupying the diverse positions in the organization and related agencies, so that coordinating activities can be carried out. At the same time, supervisors must understand the importance of the informal organization within the police department. The Volcker Commission emphasized the importance of understanding informal organizations in “The Report of the National Commission on the Public Service.”⁴ Within most police departments, there are groups that operate without official authorization. An effective supervisor should be familiar with these groups as well as their leaders because these groups have influence in the department. A successful supervisor is able to deal effectively with both the formal and the informal organization.

In order that supervisors may provide appropriate guidance and counsel to subordinates, they must be familiar with the personnel rules, policies, and practices governing such aspects of the job as selection of personnel, promotional systems, assignment policies, termination procedures, sickness benefits, retirement plans, disciplinary procedures, merit ratings, leaves of absence, contractual agreements between employees and management, and vacation policies.

► Basic Supervisory Responsibilities

The common elements of supervision can be grouped under those activities that relate to the direction of people and all it implies (their control and development) and to the multitude of interpersonal relationships between them and their supervisors. In day-to-day relationships with people, the supervisor is expected to function in the following ways.

Planner

Supervisors must be experts in planning operational activities and using different methods. They must be capable of inspecting work systems, conducting studies, analyzing data, and developing mature recommendations for constructive changes in the organization and operations when necessary. To best perform their duties, they must be able to forecast future needs of the organization as part of planning activities, anticipate problems, and make decisions ahead of time to solve them. The supervisor should be familiar with work simplification practices to bring about greater efficiency in the organization through the streamlining of procedures, reduction of paperwork, and effective use of personnel resources.



Personnel Officer

Supervisory officers should strive to assign subordinates as scientifically as possible to the positions for which they are best suited and to the places and at the times where and when they are most needed. They will place “round plugs in round holes” wherever possible because happy workers are usually productive ones.

Studies have shown that there is direct relationship between productivity of an individual, job satisfaction, and the type of supervision received. Employee-centered supervisors obtain better results than production-centered ones.⁵

Trainer

The best supervisors develop their abilities to train employees to be efficient, effective producers who gain satisfaction from their work. If the capacity for the role of teacher is not developed, supervisors deprive themselves of a means of upgrading the service and ensuring that the standards of performance in the organization are maintained through the training process.

Supervisors must carry out the training function in all types of settings. To be effective teachers, they must gain knowledge and understanding of the learning process, the effects of individual differences on learning, and the psychological factors involved in teaching. They will become proficient in the use of a variety of techniques that will make training activities most meaningful. Supervisors will be able to conduct some training at the scene of a crime or while making a routine contact with a subordinate much as they do in a formal classroom setting.



B Christopher/Alamy Stock Photo

Crime scene investigation.



Coach

Coaching refers to the practice of confronting an employee with his or her job performance record with the objective of finding ways to overcome deficiencies and improve job performance.

Coaching is an integral part of supervisors' responsibilities. Supervisors share their knowledge and expertise, and let employees know how they can improve performance. The skill of coaching refers to the practice of confronting an employee with his or her job performance record with the objective of finding ways to overcome deficiencies and improve job performance. Properly used, it can be an excellent motivational tool that stimulates employees to achieve peak job performance.⁶ Through the coaching process, knowledge, skills, and abilities are enhanced. It's a process of providing guidance and direction to officers in a way that allows learning and development to happen. When this happens, performance is improved.

More and Miller state that "supervisors who work with employees as coaches create a working environment that increases employee competence, provides for greater fulfillment, allows for a greater contribution to the organization, and exposes officers to what can really be meaningful work." Officers who are coached accept responsibility more readily, are clear about performance expectations, and are committed to the organization. They become oriented to the mission and goals of the department, follow the vision of the organization, and have an opportunity to attain individual goals.⁷

While in the field, supervisors are in a great position to observe skill deficiencies in their employees. One important area in the field is "street survival tactics." Supervisors should be aware that coaching opportunities present themselves every day. A good coach will take advantage of such situations to help develop the skill of the employees.

Counseling relates to the supervisory practice of actively listening and responding to employees' complaints, grievances, and problems.

Counselor

Supervisory counseling typically involves a meeting between the supervisor and the employee. Counseling relates to the supervisory practice of actively listening and responding to employees' complaints, grievances, and problems. Employees can use these communication practices to express matters of concern to their superiors. The purpose



Jeff Bernstein

Lieutenant Herb Williams coaching Sergeant Sharonda Morris.



of the counseling session could be any number of things. For counseling to be effective, supervisors should have a good working relationship with their subordinates. The focus of the meeting may be to help an employee with a work-related concern or an employee's personal problem. It can take place in the office or out in the field. If the supervisor gets to know employees as individuals and demonstrates concern for their welfare, the counseling process will be enhanced. A supervisor is required to address work-related performance deficiencies. The counseling goal here is to improve performance.

Another instance where counseling is appropriate is when the employee requests the supervisor's help with a personal problem. Everyone experiences personal problems in their life. The employee may have just experienced a death in the family. The supervisor can help the subordinate just by listening or providing some assistance. Thus, counseling is an important skill that all supervisors must develop.

Controller

Every supervisor worthy of the name must learn how to control subordinates properly. Supervisors must make proper follow-ups to determine that rules and regulations have been followed and orders properly executed. When necessary, they must take disciplinary actions either positively through the process of training or negatively through punitive actions. Supervisors must never obstruct corrective actions when it is justified merely because of personal motives but must do everything proper, honorable, and legal to protect their subordinates from unjust punishment. At the time of recruitment, when facts are in conflict, doubts should be resolved in favor of the organization because questionable persons cannot justifiably be recruited into the police service. However, in disciplinary matters involving an employee, the organization is bound by a policy of fairness and cannot honorably punish the employee on the basis of unfounded or unproved charges, slander, gossip, or malicious innuendos. An employee must never be punished merely because of an outcry raised by the news media or vocal special-interest groups or individuals.

Supervisors must expect some mistakes from even the most able of their subordinates. Errors are bound to occur, especially with inexperienced employees. When they do, they should be treated as constructively as possible. When mistakes "of the head" are made, often the training value exceeds the harm done, and when mistakes are "of the heart," negative corrective action may be indicated to prevent a recurrence. When punishment is necessary, it should be administered promptly without hostility or anger and never in a spirit of retribution or revenge.

Perfection should not be expected of workers, since demanding this degree of excellence in performance will usually result in wasted time, frayed nerves, and frustration. Seldom will employees be equipped with the physical or mental resources to render the level of performance that even approximates the perfectionist's expectations. This type of person is a wearisome individual who is seldom satisfied with the performance received from others and only causes them anxiety and frustration.

Decision Maker and Communicator

One of the primary functions of the supervisor is decision making, which often helps shape policy for the organization. If a decision is indicated, supervisors must not vacillate. A bad decision is sometimes better than none at all. When it affects others, it should be communicated to them clearly and simply to prevent misunderstandings and resistance. When change results from decisions, those affected will often resist because the change is interpreted as a threat to their security and they are forced to make adjustments. The resistance will usually be reduced if the need for the change is explained. However, supervisors



need not justify all changes and should not apologize for them. Doing so might be interpreted as a mark of weakness in carrying out management objectives. Worse still, they are likely to be accused of being disloyal or of trying to escape responsibility for an unpopular change by blaming someone else for it.

Timing of a communication that affects employees and selection of the location where it takes place are important if the change is to have the greatest acceptance. Sometimes sowing the seed that a change is about to take place will allow the idea to take root in the minds of employees, with a resultant lessening of their resistance to the change. The manner in which superior officers communicate with subordinates has a vital bearing on their interpersonal relations. Subordinates often resent a supervisor's bad manner in giving an order more than the bad order itself.

Leader

A major responsibility of every supervisor is to provide leadership for their subordinates. To become good leaders, supervisors must possess the traits of honorableness, courageousness, and vitality. They must be reasonably intelligent, must have good common sense, and must be persuasive and flexible. Leadership ability can be developed by adopting the desirable traits observed in good leaders or, at least, by trying to adapt those traits to the supervisor's own style.

Supervisors have an inherent responsibility to motivate their subordinates by giving them positive incentives that will encourage them to achieve and maintain a high level of efficiency. They must provide them opportunities for personal and professional growth. They need to feel that they are progressing toward achievable goals. Supervisors can help them by providing enlightened leadership and will strive to overcome the inertia and dogma that impede the professionalization of law enforcement. If firmly committed to the tenets of the profession then a full measure of effort and careful attention to duties can be given by supervisors whether they like or dislike the employees and whether their efforts are appreciated or not. They must stand by personal convictions in spite of adversity and must adhere to those high moral standards of the profession regardless of a departure from them by others. Supervisors should adopt new principles when the need for higher or better ones becomes evident.

► Transition from Officer to Supervisor

Making the transition from line officer to supervisor is a challenging time. As a supervisor, you are now part of the management team. Instead of going from call to call or conducting investigations, you are now the overseer. You are responsible for the actions of those who work for you.

You are expected to counsel, train, and discipline subordinates. You are considered a key player in ensuring the goals of the agency are accomplished. It's a unique position. You represent management's position to your employees, and take employee issues and concerns to management. You need to support your employees when they're right and discipline them when they're wrong. That may include an officer with whom you recently worked. It could be someone from the same squad, shift, or division. But now the officer works for you.

Investigating citizen complaints is another of your supervisory responsibilities. When you get that complaint on one of the officers you used to work with, it must be investigated. Your mind-set is very important. You're not on the squad as an officer anymore. Let's say you're the supervisor, and the complaint from the citizen involved verbal discourtesy on a traffic stop. You sustain the complaint after talking with the citizen,





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Officer dealing with an upset citizen during a routine traffic stop.

talking with the officer, and viewing the in-car video. Now it's time for discipline. It's the second offense. You decide to write a formal letter of counseling. You present it to the officer during the counseling session. The officer looks at you with surprise and says, "WTF, you know this lady, you know this is bullshit." Okay, I did say it would be challenging! Personal adjustments need to be made. Again, you are the supervisor now. Establish the right mind-set.

The most effective supervisors show concern for the public, their employees, and their organizations. Supervisors should be available to assist when employees ask for help and when performance is substandard. They should try to balance both employee and organizational needs. However, when these needs conflict, organizational needs must come first.

Guidelines for Successfully Making the Transition from Officer to Supervisor

1. **Educate yourself for your new position**—Take a look at the job description. Find out what your boss expects, and what performance evaluation factors you're being evaluated on. Learn the skills to be an effective supervisor.
2. **Look, listen, and learn about your new work environment**—Review the personnel files of all employees assigned to you. Take a look at productivity, morale, and your team. Get to know your fellow supervisors.
3. **Show a genuine interest in and concern for your employees**—Meet with them and get to know them. Let them know what you expect. Listen to their grievances, and do your best to resolve them. Get their inputs and involve them in problem solving.
4. **Communicate regularly with your employees**—Keep them informed and updated on the issues that affect them. Meet with your employees individually at least twice a month. Review positive and negative performance issues.
5. **Lead by example**—Be a positive role model. Employees will judge you on what you do, not what you say. Take charge when necessary.



6. **Support management's policies and decisions**—You are part of the management team and must support it. Blaming higher management for new or unpopular policies is inappropriate. You can still take employee suggestions for improvement to higher-level management.
7. **Ask for guidance and direction when you need it**—As a new supervisor you're not expected to know everything. Ask your boss or fellow supervisors for help when necessary.
8. **Treat people fairly and with respect**—This is how you would like to be treated. Don't abuse your authority. Use it as necessary.
9. **Do the right thing**—Be honest, ethical, and moral in your dealings with others. Don't play favorites or be overly familiar with your employees. Don't oversupervise, and let your employees do their jobs. Demand excellence and praise frequently.
10. **Enjoy the benefits the position brings**—Enjoy the challenge, the prestige, different assignments, and the monetary rewards. Have fun. Take pride in what you have accomplished. Develop and mentor others.

The objectives and responsibilities of the supervisor are outlined in the chapters that follow. Let's examine the principles, practices, and techniques that can be used in achieving these objectives and fulfilling these responsibilities.



Camden County Police Captain Richard Verticelli (left) is sworn in as a new Deputy Chief by Police Chief John Scott Thomson.

Jeff Bernstein



Summary

First-line supervisors occupy a key position in any organization because of their direct influence on the conduct and performance of those who do the work. Coordination of people and units within the organization is a vital function of the supervisory position so that the organization operates effectively. If supervisors fulfill the responsibilities improperly, coordination is likely to be poor.

Advancement to a position of authority requires a considerable change in philosophy and lifestyle of the supervisor because it involves leading rather than following others. In the leadership role, the supervisor will find that each of the subordinates is different. He or she can expect different reactions from them when trying to help them in establishing and achieving their goals.

Although the long-term interests of the organization are identical to those of the workers, the position of supervisors places on them the obligation of resolving the

minor differences that sometimes arise. Supervisors are responsible to provide representation between workers and management. They must keep both sides accurately informed in matters affecting their mutual interests.

Although supervisors need not be highly skilled in all the technical aspects of the jobs they supervise, they should have good working knowledge of the principal aspects of their jobs. They must acquire an understanding of the basic principles of leadership and the tenets of organization and management if they are to perform their complex tasks efficiently and effectively.

The difficulty of making the transition from officer to supervisor is reduced when you fully understand your new role. The information in this book will help you to effectively deal with the challenges a new supervisor will face. If you make the commitment to be an effective supervisor and work hard to be the best you can be, you will be successful.

Review Questions

1. Define the term *management*.
2. Distinguish between management and supervision.
3. Discuss the types of institutional knowledge a supervisor must possess.
4. What are the basic supervisory responsibilities? Discuss how they affect supervisors in obtaining the best performance from their subordinates.

Exercises

1. Discuss the basic responsibilities of supervisors, and describe two or three practical ways they can carry out each of those.
2. Give examples of how supervisors you have known have failed to carry out their responsibilities. What could they have done better?

Endnotes

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6. Jeff Bernstein, *Situational Management for Chicago Police Sergeants* (Davie, Fla.: Bernstein & Associates, 2013).
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2 The Supervisor's Function in Organization, Administration, and Management

CHAPTER OBJECTIVES

This chapter will enable you:

- *To gain an understanding of the types of organizational structures and how they can be used to aid in the management process*
- *To become familiar with the supervisor's administrative functions*
- *To become acquainted with the fundamental principles of organization, administration, and management*
- *To gain an appreciation of how the tenets of administration and management affect the supervisor*

An organization is a structure through which people work as a group. Whenever two or more persons are associated in doing something, there is some sort of organization. It presupposes an orderly arrangement between individuals and groups, but a mechanical structure alone will not ensure the effective accomplishment of organizational objectives. Direction and control must be provided so that the necessary coordination of human effort can be achieved. Paul Hersey and Kenneth Blanchard state that “the focus of [an organization's] administrative subsystem is on authority, structure, and responsibility within the organization: who does what for whom and who tells whom to do what, how, when and why.”¹ Such direction is the essence of the supervisory function.

The major portion of the supervisor's job may be categorized into three broad areas: leading, directing, and controlling individuals and groups that are formally or informally arranged. The formally structured and recognized relationships within the organization will have superimposed on them the informal groups, with their own leader or leaders, unrecognized on the organizational charts. Through these natural leaders, often without bars or stripes, the wise supervisor will accomplish many of his objectives.

Although their job deals primarily with the directing of subordinates, supervisors also must concern themselves with the internal conditions of the organization involving both concrete matters, such as environmental working conditions and the provision of equipment, and more abstract factors, such as morale and esprit de corps. These factors cannot be separated from their typical administrative functions.

► Administrative Functions

The major duties of supervisory personnel in an establishment differ only in degree from those of the chief executive, as described in Gulick's POSDCORB. The acronym POSDCORB represents a concept that is designed to call attention to the various functional elements of the work of the chief executive, developed because words like *administration* and *management* have been overused to the point that they have lost all specific content. The acronym is a good starting point to help analyze and understand management functions in a structured way.

POSDCORB is made up of the initials and stands for the following activities:²

Planning, that is working out in broad outline the things that need to be done and the methods for doing them to accomplish the purpose set for the enterprise;

Organizing, that is the establishment of the formal structure of authority through which work subdivisions are arranged, defined, and coordinated for the defined objective;

Staffing, that is the whole personnel function of bringing in and training the staff and maintaining favorable conditions for work;

Directing, that is the continuous task of taking decisions and embodying them in specific and general orders and instructions and serving as the leader of the enterprise;

Coordinating, that is the all-important duty of interrelating the various parts of the work;

Reporting, keeping those who the executive is responsible for informed as to what is going on, which includes keeping themselves and the subordinates informed through records, research, and inspection;

Budgeting, all that goes in the form of fiscal planning, accounting, and control.

Many of these executive functions are passed on to subordinates at all levels of the hierarchy through the process of delegation.

Planning

In the planning function, supervisors must forecast needs and problems and prepare plans to meet them. Those plans that are guides to the daily performance of operating personnel at the lower level of the hierarchy must be more detailed and meticulous than those for personnel at or near the top of the organization.

Sound organization directly relates work to be done to objectives to be achieved. Good planning is at the heart of efficiency, since it provides the framework for organization by specifying what should be done to meet objectives, who should do the work, and how their efforts can be coordinated. It is essential in the delegation process because when work responsibility is defined, the supervisor is able to delegate at least part of the work to others. Communicating what the organization's goals are and defining the means for achieving them are also means of motivating employees.³

Plans enable the supervisor to make decisions in advance, but they are useless if they are not effectively communicated to personnel who are expected to follow them. Whether they are communicated by a manual, written orders, or verbal commands, they should be explicit and clear. It is a fundamental fact of life that if such communications can be misinterpreted, they will be. Accordingly, standing orders and those that are complicated should be written to reduce confusion and misinterpretation.⁴ Policies, orders, and plans should be concise and clear while being flexible enough to allow adjustment as conditions dictate. "The police role is much too ambiguous to become totally standardized, but it is also much too serious and important to be left completely to the total discretion of the officer."⁵



Plans may be classified into several types according to the purposes they serve. Procedural plans relating to standard operating procedures (SOPs) are useful as guides to personnel in such activities as serving and processing arrest warrants, recording and processing crime or incident reports, and processing traffic citations. Each supervisor should constantly review these day-to-day procedures and make recommendations for changes as needs arise to increase operational efficiency.

Tactical plans are those that are prepared to meet exigencies encountered by police, such as widespread civil disorders, unusual crime problems, civil defense needs, or major disasters. These plans are usually developed considerably in advance of expected incidents and are largely based on field intelligence supplied by supervisory personnel and the expertise they are able to provide in assessing future needs. The plans are designed to guide personnel in controlling unusual happenings and restoring order as quickly and as efficiently as possible. The methods of control are substantially the same as in ordinary police operations but must be expanded to meet the requirements of each occurrence. Therefore, it is necessary that such plans be basic, flexible in nature, and adaptable to modification as the need arises.⁶

Sometimes the basic framework for tactical plans is incorporated into a tactical manual. Such principles are guideposts to tactical operations of all kinds.

Operational plans are those designed to give guidance and direction to personnel in the performance of normal police activities. These are the plans that are guides to personnel in activities such as the deployment and distribution of personnel or the search for suspects or lost persons.

Auxiliary services plans are those that implement normal operations, such as in the recruitment of personnel or public and community relations activities.

Fiscal plans relate to such matters as budget preparation and the use and control of funds allotted for personnel, equipment, and supplies. The supervisor should adopt the practice of recording justifications for these items as the need arises. Many find a perpetual budget file useful for such a purpose. They record specific data throughout the year



Jeff Bernstein

Chief Robert Dowd conducting a tactical planning operation with Deputy Chief Peter Fasilis and Captain Robert Farley.

concerning budgetary needs. When the budget period arrives, a cumulative file is available to aid them in their fiscal planning.

Policies are plans consisting of a set of broad principles that guide personnel in the accomplishment of general organizational objectives. These are generally established by top management, although supervisors and unit commanders often establish policies for the operation of their particular units.

Policies should be written whenever practicable, but often they are not. They evolve from the experiences of the organization, from the established, traditional customs and standards essential to its welfare, and from legal and social constraints imposed on its activities.

A policy manual is worthwhile as a guide for personnel to apply to all facets of police operations. For example, the New Jersey Attorney General's Office mandates that all police agencies in the state implement a policy management system to help officers be aware of the many policies, rules, orders, and plans that is their responsibility to follow. "Employees must understand what management wants to accomplish and what behavior is expected. Each category of documents in the policy management system should be issued in a distinctive, readily identifiable format."⁷ Indeed, as the movement toward professional accreditation grows, the need for a ready reference of regulations is more important than ever; the Commission on Accreditation for Law Enforcement Agencies (CALEA) now requires its members to adopt 38 chapters comprising 480 individual standards.⁸ Such manuals are being developed more frequently in recent years than in the past as a means of communicating to employees organizational objectives.

Policies—such as those mandating that personnel cooperate with the news media, prescribing that personnel enforce the law fairly and justly, or requiring that personnel be prepared to take appropriate action at all times when the need arises—are stable and change slowly because they are based on broad organizational objectives that change little.

Supervisors should be alert for confusion in the interpretation of policy by subordinates—especially at times when policy is changed or when subordinates join the unit from another where it is interpreted differently. When such confusion is revealed through feedback, supervisors should promptly take whatever steps may be required to clarify conflicts and ensure uniformity in application.

Rules and regulations are plans providing specific guides to conduct and performance. They are parameters for acceptable conduct provided by management. As principles of action and conduct, they are a means by which deviations from policy may be prevented. In content, they control explicit behavior; therefore, they are subject to more rapid change than are policies.

In order for plans to be effective, rules and regulations must be current, reasonable, and clear. Above all, they must not be arbitrary, reflecting only the views of management. Rules may be made at any supervisory level of the organization to implement policy. Whether they are made by the first-line supervisor to aid in carrying out the functions of the unit or by a higher authority, the supervisor should constantly be alert to the need for modifications so that appropriate, timely changes or recommendations may be carried out.

Policies are plans consisting of a set of broad principles that guide personnel in the accomplishment of general organizational objectives.

Rules and regulations are plans providing specific guides to conduct and performance.

Organizing

As with planning, organizing is a perpetual task. Supervisors must continuously analyze the organizational structure within their sphere of operations to facilitate communication between the elements of the hierarchy and provide clear-cut downward lines of authority and responsibility and upward lines of accountability. Even minor organizational changes in the unit might bring about substantial improvements in operations.

However, there are times where organizational change may create problems of coordination and cooperative effort. It is the supervisor's responsibility to ameliorate these problems when they arise.



Staffing

Recruitment, training, and placement are proper and necessary staffing functions of each supervisor. Recruitment, while generally thought of as primarily a responsibility of top management, is a vital function of personnel at all levels. In reality, informal recruitment by members through personal contacts is often the best means of staffing departments. Members can persuade recruits that the department is a good place to work, and this is generally the most effective and consistently productive method available to meet staffing needs. Indeed, it should be encouraged at every opportunity by all supervisors.

The supervisor's training function, as previously discussed, is closely allied to the responsibility for proper placement of subordinates. Although every employee cannot be assigned to precisely the task that they prefer, every effort should be made to place each one in the niche for which that employee is best suited. The net result to the organization is improved performance, since an employee who likes to work at a particular task is likely to be more productive than one who is discontented or bored with it. Far more effective results will be realized by placing a subordinate in a position that is challenging than in one that requires something less than total effort. Boredom and monotony are most destructive of initiative and industry in an employee. The wisdom of placing round pegs in round holes has been amply demonstrated.

Directing

The function of providing direction to subordinates and control their activities is one that consumes much of the supervisors' time. The position embodies the decision-making process in which they are constantly engaged. Supervisors not only must collect the necessary information and evaluate it before deciding issues but also must communicate these decisions to subordinates through orders, instructions, and all other means available. They must serve as leaders in the enterprise—not to drive but to lead, direct, and control personnel. This is accomplished by securing effective action through the judicious use of authority and by the application of common sense and practical psychology. Whenever possible, they use positive methods by creating realistic inducements for proper performance rather than the negative method of penalizing for improper performance.

Supervisors must let subordinates know what is expected of them. They will soon learn what they can expect from supervisors in return. If supervisors' expectations are high, employee productivity is likely to be high as well, and if their expectations are low, employee performance will probably be poor.

The directing function involves not only putting a prepared plan into operation but also following through with observation and inspection to determine that the work ordered was actually and properly done. A follow-up or control system⁹ is a must for organizations and leaders. Without it, authority is weakened, delegation is impaired, and the whole process of direction becomes more difficult. Supervisors who give orders or make assignments and then fail to follow up to see that it is carried out as directed will soon abrogate their supervisory authority.

Perhaps no function of management is more important than that of coordination of human effort to ensure unity of action not only between individuals but also between organizational units.

Coordinating

Perhaps no function of management is more important than that of coordination of human effort to ensure unity of action not only between individuals but also between organizational units. This activity must occur at all levels to prevent disharmony. As organizations



increase in size and complexity, the need for coordination becomes greater. The degree of specialization, the area covered, the distance between elements that must work together, the skill of persons doing the work, and the dissimilarity of functions involved in the enterprise determine the need for coordination. Channels of communication and lines of authority become more indistinct as the nature of the organization increases in complexity, and often its prime mission becomes clouded in the minds of individuals who comprise it. Organizational objectives may give way to personal objectives, which will soon permeate the group and destroy its esprit de corps.

The essential activity of coordination can best be accomplished through direct communication. It can seldom be accomplished by mandate. Coordination of effort is difficult, even almost impossible in any effective degree, if the common objectives of the organization are not accepted by those who are expected to act in unison.

The wise supervisor will develop a friendly rapport with supervisors of related units allied in common purposes within and outside the organization. This may be accomplished through informal meetings, formal associations, and maintenance of friendly relations. The interchange of personnel on a training basis for short periods of time, perhaps a month or two, will increase employees' understanding of each other's jobs and will tend to foster coordination. The first-line patrol supervisor assigned to the investigation division for a short training period, for example, will invariably return to the regularly assigned patrol post with an improved (or at least a broader) insight into the problems of the investigator's job, thus contributing materially to improved relationships between two units that have traditionally experienced friction. This increased understanding of each other's

Marmaduke St. John/Alamy Stock Photo



Police officers receive assignments at the beginning of their shift in Brooklyn, New York.



responsibilities is a paramount factor in the process of bringing about better relationships between two such units where friction occurs primarily because the people in one do not appreciate the problems of the other. Such a program, properly administered for training, has proved to bring about a healthy cross-fertilization of understanding between participants and should well become a matter of departmental policy.

Supervisors' attitudes can establish a climate in which the spirit of cooperation will thrive among the subordinates. Hostile, suspicious, or unfriendly relations between supervisors of allied units will invariably be reflected by misunderstandings, rivalries, and ill will between their respective subordinates. This is because supervisors' attitudes will often quickly permeate their whole units. Smooth operations will be hampered by these barriers to effective cooperation.

The degree of coordination achieved in any organization will directly approximate the level of willing cooperation between individuals in the various units that must work in harmony to accomplish the mission of the enterprise. If the organizational structure clearly provides for a system of authority so that those in charge can interrelate the various elements of the establishment and create a unity of purpose in the minds of the employees, coordination will follow.

► Basic Organizational Structures

An organizational structure is a mechanical means of depicting, by an arrangement of symbols, the relationships that exist among individuals, groups, and functions within an organization. Lines of authority and responsibility and functional relationships between groups and individuals are presented graphically. Even the most innovative of modern organizational structures are but modifications or conglomerates of one or more of the basic types of organizations.

Line Organization

The straight-line organization, often called the individual, military, or departmental type, is the simplest and perhaps oldest form and is seldom encountered in any but the smallest of organizations. The channels of authority and responsibility extend in a direct line from top to bottom within the structure. Authority is definite and absolute (see Figure 2-1■).

While the line-type organization has many advantages, it also has some inherent weaknesses, which sometimes make its use impractical. Perhaps its greatest advantage is that it is utterly simple. It involves a division of the work into units with a person in charge who has complete control and who can be held directly accountable for results, or lack of them.

Quick decisions can be made in the line organization because of the direct lines of authority, and members in the chain of command know to whom they are accountable and who is accountable to them. Because responsibility is clearly fixed, discipline is easily administered, responsibility for making decisions is well identified, and singleness of purpose is fostered. Coordination of effort is relatively easy to achieve because functional overlapping between units, a prime cause of friction in any organization, can be minimized.

One disadvantage inherent in the line-type organization is that supervisory personnel are too often required to perform the duties of specialists because little use is made of the latter for giving advice and counsel to line units. It is also often difficult to establish functional definition at the outset, but once it has been achieved, duplication of effort can



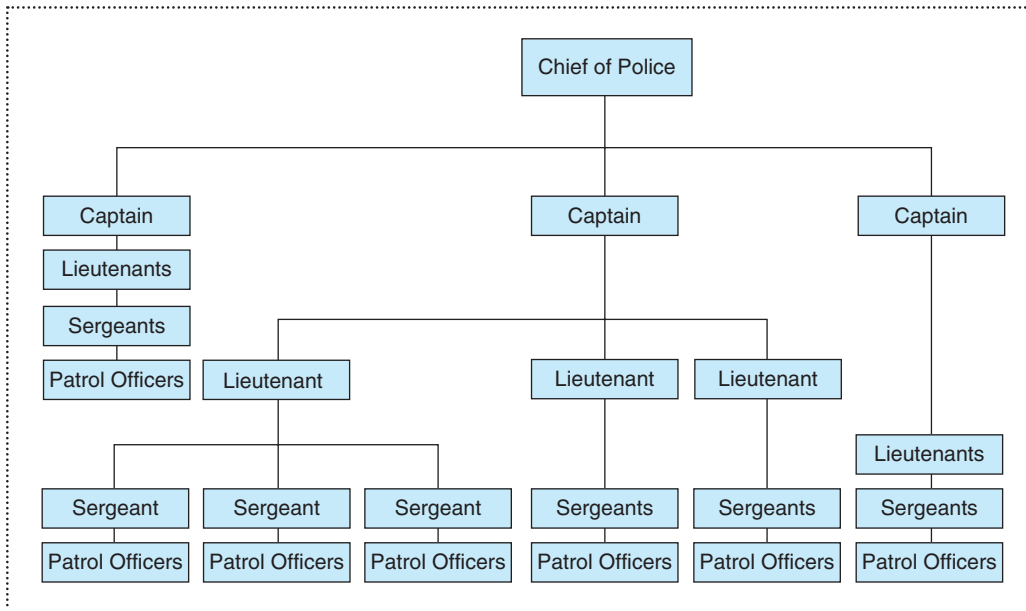


Figure 2-1 Line- or Military-Type Organization.

be reduced. If jealousies exist between managers of the various units, each unit will tend to become “departmentalized,” with the result that harmony of operation will be reduced and internal frictions will arise.

Functional Organization

The functional organization in its pure form is rarely found in present-day organizations except at or near the top level. Unlike the line-type structure, establishments organized on a functional basis violate the prime rule that workers perform best when they have but one supervisor. The functional organization divides responsibility and authority among several specialists, such as the person responsible for all training, the employee directing the community relations activities of all units within the department, or the officer having line authority over any employee handling a case involving a juvenile. The functional responsibility of each “functional manager” is limited to the particular activity over which he has control, regardless of who performs the function (see Figure 2-2■).

Coordination of effort in this type of organization becomes difficult, since the employees responsible for results may be subject to the functional direction of several persons. Discipline is difficult to administer because of this multiheaded leadership. There may be considerable conflict among the functional administrators, resulting in much confusion among line personnel. Lines of authority and responsibility are fragmented into many functional channels, making supervisors responsible to several superiors based on the function they happen to be performing.

One format in which the functional organization has been very successful is the task force. Every state now has a joint terrorism task force, which is a collaboration of federal, state, and local law enforcement agencies. Many smaller state task forces exist for varied purposes such as narcotics enforcement, auto theft investigations, as well as unsolved murders. In 2018, an Intrastate California Task Force was responsible for



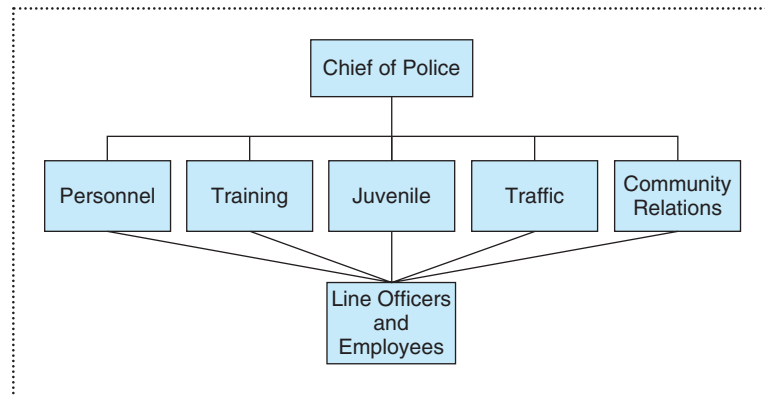


Figure 2-2 Functional-Type Organization.

the arrest of the notorious golden state serial killer. The killer, identified as Joseph James DeAngelo, is believed to be responsible for at least 12 homicides, 51 rapes, and 120 home burglaries. Investigators from the task force were able to match his DNA to genetic remnants collected from crime scenes.¹⁰ Although the structure poses unique managerial challenges, a task force can often be very effective in addressing a specific problem.

One reason task forces can be very effective is because they are highly focused on coordinated effort. However, their inherent violation of the unity-of-command principle causes them to get bogged down over time. Agencies have primary authority for their respective jurisdictions, but an investigation crossing borders may be taken over by state or federal authorities. Long-term task forces may have different supervisors for field operations, budgeting, scheduling, and training. Incompatible databases and politics are among the most glaring difficulties faced by task forces.¹¹ Research on the D.C. Sniper Task Force emphasized the importance of having just one executive in charge, with excellent communications among all members.¹²

Line and Staff Organization

The line- and staff-type organization is a combination of the line and functional types and is found in almost all but the very smallest police agencies today. It combines staff specialists or units with line organization so that the service of knowledge can be provided to line personnel by specialists such as the criminalist, the training officer, the research and development specialist, the public relations officer, and the intelligence specialist. Channels of responsibility and authority are thus left intact, since the specialist's responsibility is to "think and provide expertise" for the line units, which are then responsible for "doing." Line supervisors must remember that they obtain advice, not command, from the staff specialists (see Figure 2-3■).

In normal operations, staff supervisors have line command only of those subordinates in their particular unit. If staff supervisors and line supervisors recognize this limitation, coordination between line and staff personnel can be achieved without undue friction. Failure to recognize these limits is the greatest and most frequent cause of friction in an organization and one of the most prominent barriers to effective coordination.

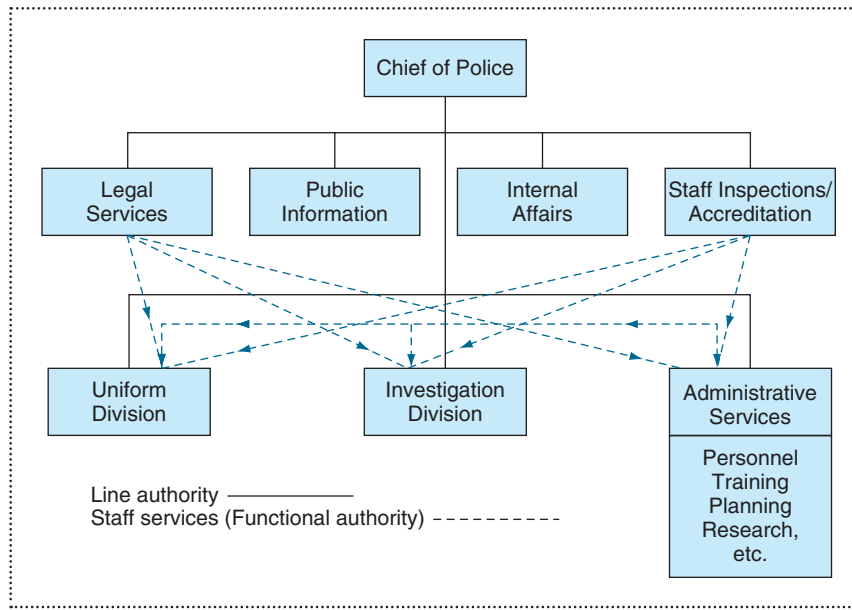


Figure 2-3 Line- and Staff-Type Organization.

► Division of Work

Organizational structures are established to designate how work is to be divided among the various components of the establishment. Regardless of what basis is used for this division—whether work is apportioned according to function performed, as in the laboratory; by area, as in a system of precincts, geographic divisions, or beats; by clientele handled, as in youth activities or juvenile offenses; or by purpose, as in public relations activities, traffic control, and the like—the division must be logical and practicable.

Usually organizations are structured according to a combination of these bases. But regardless of the way the division of work is made, if it does not result in improved operations, economies to the organization, or convenience to those served, the division should be avoided. Changes in structure should never be made for the mere sake of change.

Insofar as practicable, homogeneous work should be apportioned to the same unit. Work that involves divergent functions or purposes will eventually cause friction and inefficiency if placed within one unit under the control of one supervisor.

The division of work involves not only the breaking down of a particular job into its component parts but also the recombining of these parts (synthesis) into a completed unit of work. The combining requires coordination if it is to be accomplished effectively.

The process of dividing work involves both analysis and synthesis. A function of prime importance for supervisors is constant analysis of the nature of the work performed in the unit for the purpose of determining if it is effectively divided between the various units and individuals of the organization. Too frequently, tasks that should be combined into one function are fragmented into several breeding inefficiency. For example, considerable inefficiency might result if patrol officers in an organization large enough to permit some degree of specialization were required to make a preliminary investigation of a crime on their beat, gather and preserve physical evidence and attempt to evaluate it, conduct the follow-up investigation, type the necessary reports, and then present the case in court. To perform such a variety of tasks would result in lowered productivity and quality of work.

For best results, the principle of specialization and the law of productivity, as stated by Leon Alford,¹³ require assigning to each worker the fewest possible kinds of tasks or operations in order to improve the quality and increase the quantity of work, thereby giving the highest class of work to suit the worker's natural abilities. Only then is the greatest individual productivity possible.

► Unity of Command

The principle of unity of command requires that every employee be under the direct command of one superior.

In addition to providing a logical arrangement of work, organizational structure should provide clear-cut channels of authority.¹⁴ The principle of unity of command should be practiced in every organization. This principle requires that every employee be under the direct command of one superior. Thus each worker should be accountable directly to only one supervisor in normal operations. It is recognized that the principle occasionally is violated in organizations that function exceptionally well despite what is classically considered almost a fatal breach of an inviolate principle. Close analysis will probably reveal, however, that such organizations operate effectively because of exceptional leadership. Management folklore has numerous accounts of such occurrences—just as in the folklore of engineering, the bumblebee is said not to have the physical capacity to fly.

The principle of unity of command applies to those who are commanded, not to those who command. It does not relieve the supervisor from the responsibility for taking action in emergency situations that require immediate supervisory attention, decision, or disciplinary action (even against a subordinate assigned to another unit). This exception does not justify the specialist assuming command over line personnel in normal operations, although the practice is occasionally permitted if only by implication. Neither does the exception make more acceptable the routine practice of some superior officers of dealing directly with operating personnel instead of through their immediate supervisors. Such practices will cause friction and tend to undermine the supervisors' authority over the subordinates. It will invariably cause confusion, insecurity, and a lowering of confidence of workers subjected to such habitual breaches of the principle in normal operations.

The Department of the Army stresses that “unity of command assures unity of effort by the coordinate action of all forces toward the common goal. . . . Where unity of command cannot be realized [because of legal sanctions involving agencies from several levels of government, as in joint efforts to control civil disorder or provide mutual aid] at least unity of effort should be realized. The establishment of joint operations centers; the recognition of each other's capabilities and limitations; and a positive attitude will contribute to unity of effort.”¹⁵

► Span of Control

The span of control relates to the number of subordinates who can be supervised effectively by one supervisor.

This principle has been applied to the police, military, and administrative organizations. The **span of control** relates to the number of subordinates who can be supervised effectively by one supervisor. This limit is small, from three to five at the top level of the organization, and is broad at the lower levels. It is dependent on such factors as the capacities of the supervisor and the supervised, the types of work being performed, and the complexity of the work. Other determining factors include the area covered by it, the distances between elements, the time needed to perform the tasks, the homogeneity of operations, the types of persons served, and the effectiveness of managers.



The tendency in modern police operations is to exceed the bounds of effective control. Chiefs of police and other high administrative officers too frequently attempt to exert direct control over too many subordinates. Field supervisors at the operational level are expected to do likewise. The results are delay and confusion because of the bottlenecks the practice causes. Rather than delegating some of the functions to subordinates, top administrators too often attempt to retain close contact with every phase of the operation and do not relinquish control until they come to realize the limits of their capabilities; until then, the whole organization suffers. Superior officers should make every attempt to avoid requiring their supervisors to spread themselves so thin that they find it necessary to neglect their primary job of supervising because of the excessive number of details associated with the job they are given to oversee.

Supervisors can effectively reduce the span of control by delegating work (as discussed next), but, in doing so, tasks for those who are to perform them must be clearly defined. The necessary instructions should be properly communicated to them, and require that they do completed staff work. Then, if employees receive proper training so that they require less supervision and control and are given sufficient authority to perform requisite tasks, supervisors will be able to devote more efforts to those exceptional matters requiring personal attention.

► Delegation

The principle of **delegation** relates to the process of committing an activity to another's care. It is closely related to the principle of span of control in that even though the span is excessive, the harm from it can be reduced by the delegation of much detail to subordinates. Those supervisors who refuse to allow anything to be done except under their direct control are the primary causes of the crippling bottlenecks that slow or stop effective operations.

Proper delegation frees supervisors from many routine tasks and enables them to devote more time to make broader planning activities. In addition, it provides other worthwhile benefits to employees to whom jobs are delegated. It gives them an opportunity to increase their job knowledge by performing new tasks that are not ordinarily their responsibility. It is an excellent tool for developing personnel for positions of greater responsibility and for increasing their initiative in accomplishing new tasks. Without such opportunities, workers often develop feelings of insecurity and frustration. They often begin to wonder if the supervisor has confidence in them, or that there are no avenues open to them for developing their capacity for higher positions.

If results only are to be evaluated, supervisors will delegate work to the most competent people who make them look their best; however, astute supervisors must weigh the benefits that subordinates may gain from the training they are likely to derive by performing the delegated task against the supervisors' own interests.

Although many activities can be passed down to others through the process of delegation, the supervisor cannot avoid the responsibility for such activities. Many supervisors have suffered dire consequences by assuming that a job entrusted to a subordinate relieved them of their responsibility for completing the job. They should be encouraged to delegate all possible tasks to the lowest possible level in the organization *where the necessary ability to perform them exists*, but in so doing they do not shed their responsibility for the completion of the task and their accountability for the results.

Experience has shown that the average employee can and will accept greater responsibilities beyond their ordinary duties and will perform surprisingly well when a task is delegated to them and they are given credit for its accomplishment. But supervisors must

Supervisors should be encouraged to delegate all possible tasks to the lowest possible level in the organization *where the necessary ability to perform them exists*, but in so doing they do not shed their responsibility for the completion of the task and their accountability for the results.

avoid delegating tasks beyond the capacity of subordinates to perform them. They should refrain from delegating only distasteful or onerous tasks and should not attempt to “delegate away” responsibility for certain basic duties that only they should perform. Stephen Covey recommends a radical increase in the empowerment of employees when delegating. Covey uses “win/win performance agreements,” essentially negotiated documents describing the goals of the task, the management support promised, and the rewards and penalties to be expected. Used properly, the effective supervisor “can greatly increase his span of control. Entire levels of administration can be eliminated. Instead of supervising six or eight, such a manager can supervise twenty, thirty, fifty, or more.”¹⁶ Although such numbers are well beyond the commonly accepted spans of control in policing, the potential benefits of this delegation style must not be ignored.

Delegation Failures

Delegation is done poorly when subordinates are allowed to delegate upward more quickly than supervisors learn to delegate downward.¹⁷ There could be many reasons why supervisors do not delegate: they have not learned how; they have never really appreciated the training value of delegating or the need for avoiding routine tasks that others can do better (and sometimes more economically); they have an overabundance of confidence in their own capacity for detail; or they do not have confidence in the subordinates.

Delegation Process

When a task is delegated to an employee who is competent to perform it, enough authority to complete it must also be delegated, but the process must be consistent. Subordinates will be confused by a grant of total authority at one time and a total absence of it at another. Once authority has been granted, supervisors must consistently refuse to take back what has been delegated simply because the subordinate thinks the task is too difficult or is reluctant to make a decision. In either case, the subordinate needs further training in how to do the task, or he needs to be given assurance that he has the necessary decision-making authority:

The primary function of the manager is to preside over the process of delegation. This requires all of his judgment and much of his time. He is constantly attempting to provide, through the means of delegation, the opportunities of growth which the people under him demand. The strength of any organization increases with the ability of people at all levels to accept responsibility. The assignment of responsibility should never be static as implied by organization charts but should be changed with the situation and with the increasing capacity of people who are receiving proper management attention. As a responsible manager delegates responsibility to the people below him and devotes attention to qualifying them to discharge this responsibility well, he is developing himself as well as increasing the satisfaction and caliber of his subordinates.¹⁸

A complex delegation should be supported by a comprehensive written directive clearly identifying the problem and the procedures to be followed if necessary.

Delegation may be accomplished by a specific or general directive given either in writing or orally. A simple task may be delegated in a simple manner. A complex delegation should be supported by a comprehensive written directive clearly identifying the problem and the procedures to be followed if necessary. It is imperative that instructions are complete and clear lest the assignment be misconstrued, in which case the subordinate assigned the task could not be held responsible for it. If a subordinate is given an assignment to provide an answer to some vague problem but does not understand what the problem really is, his or her job will be unproductive, wasteful, and frustrating.



Once a job has been delegated, its importance has been explained, and necessary instructions have been clearly given for its accomplishment, the supervisor should discreetly follow up as needed to ensure that employees are progressing satisfactorily. Assistance should be given to overcome obstacles employees are not equipped to handle, but care should be exercised so that their initiative is not taken away. The process of delegation loses its value as a supervisory tool if follow-up inspections are not made to ensure that objectives are accomplished and deadlines are met.

Personnel Development by Delegation

The practice of delegation contributes to the development of subordinates to perform the supervisor's job when they are absent or unable to act. A program of this nature is variously denominated "executive" or "supervisory development" or simply "personnel development," which is a more all-inclusive program of training subordinates at all levels of the hierarchy to "take over" when necessary.

Some supervisors are reluctant to develop subordinates because of the fear that they will become competitors. However, if the supervisor's jobs are performed well in their absence by others who have been trained to do it, the supervisor will eventually receive credit for the efforts.

Watch commanders should train each of the sergeants to take over while they are absent on vacation, have days off, or are on sick leave. The practice of training only the senior sergeant for this duty decreases flexibility and deprives younger supervisory officers of training they may badly need in some emergency when the responsibility of a higher position is thrust on them. It is better that errors be committed at a time when they can be corrected constructively under the watchful eye of an experienced supervisor than under emergency conditions and the error might be critical. Often it is argued that the senior supervisor should never be required to operate under the direction of one of junior standing because of the adverse effect such an arrangement might have on the morale of the senior; however, such argument is tenuous, and such adverse effects (if they exist) can be avoided by adopting the executive development principle as a policy program within the agency.

The development of subordinates is essentially a problem of training wherein a subordinate's skill and efficiency are increased. This increase in the ability of subordinates to render services requiring a higher degree of responsibility enhances their confidence, gives satisfaction, and provides new goals to strive for. The superior officer gains an increased freedom from details of the operation, more time to make policy, supervise, and plan.

► The Exception Principle

Developing subordinates to take over in the boss's absence involves training, just as does the **exception principle**, which specifies that the head of an organization or unit within it should not find it necessary to act personally on each matter coming under their general jurisdiction. Rather, supervisors should have to act only on those exceptional matters that require their personal attention.

The exception principle is inseparable from the principle of delegation. It prevails at all levels of the organizational hierarchy and is dependent on the effective application of the delegation function, which will free the superiors from a mass of routine detail that might be better handled by subordinates. Training is the key to the successful application of the principle. Superior officers should pass on all possible work to subordinates except that which is appropriate to the particular level that superiors occupy.

The **exception principle**, which specifies that the head of an organization or unit within it should not find it necessary to act personally on each matter coming under their general jurisdiction.



Supervisors should reserve for themselves only those decisions subordinates are not equipped to make. They should avoid becoming bogged down with detail so that they can be free to integrate the work being performed within their sphere of operation into that of the entire organization.

► Delegation of Staff Projects

The principle of completed staff projects requires that the person to whom work has been assigned through the delegation process can complete it so that the only thing left to be done by the person who delegated it is to approve it. If the outcome is not satisfactory, then delegation of work was not successful, since the principle requires that everything must be done as the persons making the assignment would have done had they had the time to do the work themselves.

Researching Projects

Usually the task assigned can be completed without an in-depth investigation and study. On occasion, however, a project requires considerable inquiry preliminary to the submission of a formal report. In such cases, the person to whom the work has been assigned must work out all details completely. All the legwork of gathering pertinent data must be performed after the approach to the problem has been carefully planned and a line of procedure decided. What data are needed? Where can they be obtained? What are the views of interested persons and those affected by the project? Consultation with specialists and a review of the related literature on the subject may furnish the answers to these questions.

Planning Projects

Once data required for the project have been accumulated, they should be studied carefully, refined, and organized into a logical draft if a written report is required. Usually restudy and rewriting are required to refine the product to a point where it is suitable for presentation. The more difficult and complex the problem is, the more tempting it is to present it in piecemeal fashion.

If a plan of action is proposed, it should be well coordinated, unequivocal, and supported by factual data. Accuracy of supporting material should be unimpeachable, since superiors may refer to the material as supportive of their contention or request. Should they commit themselves to a course of action only to find that the basis for the commitment is spurious or inaccurate, they risk embarrassment and damage to their reputation.

Ordinarily, a summary report—concise, brief, and to the point—should be included. Often it should be placed at the beginning so that the superior can conserve time reviewing details of the project. Such a summary should be supplemented by a more detailed section suitably referenced to appropriate addenda, which may provide further particulars as might be desired.

Finally, the persons preparing the report should place themselves in the position of the superior to whom it is to be submitted. Would they sign it, thereby staking their professional reputation on the contents? Would they approve it as written? If the answer to either of these questions is no, complete staff work has not been done. The report should be restudied and rewritten with the objective of protecting the boss from half-baked ideas, endless memoranda to digest, or immature proposals.

Summary

Organization is a medium through which work is accomplished by individuals or groups associated with each other in doing something. Organization involves not only physical matters but psychological ones as well, since it involves individual and group relationships welded together through the coordinating activities and leadership of managers.

The supervisor's main administrative activities are described by Gulick's concept of POSDCORB. The planning activities of the supervisor are a constant process. Well-made plans in effect enable the supervisor to make decisions in advance to aid in accomplishing the objectives of the organization. The organizing function, which is closely related to the planning function, requires that structural changes be made as the need arises to provide a more effective medium through which work can be distributed and performed. The supervisor's staffing responsibilities involve the placement of subordinates into positions for which their capabilities best fit them. Perhaps one of the supervisor's most important functions is the training of employees so that they will perform their tasks effectively, efficiently, and safely. Much of the supervisor's time is consumed by control activities embodied in the direction function, which is accomplished by observation, inspection, and follow-up.

The coordination of human effort is the function of the leaders of an enterprise that determines how effectively the elements of the organization perform in conjunction with each other. Cooperative effort is the essence of coordination. The reporting function involves the process of communicating down with subordinates,

up with superiors, and across organizational channels with other units. It dovetails with the process of coordination of efforts.

Supervisors are responsible for the constant and never-ending process of analyzing how work is apportioned so that the individual and group elements within the organization will be performing similar amounts of work per employee. Changing organizational responsibilities will necessitate realignment of workloads so that a logical and practical division of work may be realized. Such realignments will also require that attention be given to the number of subordinates and the amount of detail over which supervisors exercise control. Their span of control and the amount of attention they are capable of giving to these responsibilities are limited by the nature of the job and the capacity of the personnel.

The ability of supervisors to perform complex duties efficiently and well depends to a large degree on how skillfully they are able to delegate routine tasks to others and to retain for their personal attention only those exceptional matters they should handle themselves. The more effective this delegation process, the fewer the bottlenecks that will be created in the operations of the unit. In addition, supervisors will be freed to engage in the broader context of planning, creative thinking, and essential external relationships. The effectiveness of this process of delegation is largely dependent on how well subordinates have been trained both to assume responsibility for routine acts and decisions for which they are equipped and to engage in completed staff work.

Review Questions

1. List the various elements of the chief executive's activities as described by Gulick, and discuss how each applies to the first-line supervisor.
2. What is meant by the word *organization*?
3. How may a supervisor best utilize the talents of the natural leaders in the organization even though they are not officially designated as such? What are these natural leaders called?
4. What are the four main bases for dividing work in the police service? Give two examples of each.
5. What is the principle of specialization?
6. What is the law of productivity?
7. Define unity of command, and discuss the factors that affect its application.
8. What is meant by "span of control"? How is it affected by organizational structure? What other factors affect span of control?
9. Discuss how failure to delegate causes bottlenecks in an organization. Give examples.
10. Why can ultimate responsibility *not* be delegated?
11. Discuss the benefits the supervisor can derive from effective delegation.
12. What is the exception principle?
13. Define the essential nature of completed staff work.
14. How do delegation, the exception principle, and the principle of completed staff work interrelate?



Exercises

1. Prepare a simple chart of your organization or of another one. Identify the type of organization, the advantages and disadvantages of such a structure, and some possible means of eliminating its disadvantages or of increasing its advantages.
2. Prepare a simple organizational chart of at least two other types of organizations. Discuss the advantages and disadvantages of each.
3. Draw a chart of an organization you would consider “ideal” in a police organization of 50 sworn and civilian employees, and then two more charts for organizations with 100 and 300 employees. Justify the appropriateness of each structure.

Endnotes

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3 Leadership, Supervision, and Command Presence

CHAPTER OBJECTIVES

This chapter will enable you:

- *To become acquainted with the principles of leadership development*
- *To become familiar with the types of leaders and the characteristics of each*
- *To gain an understanding of the techniques of supervising marginal employees*
- *To gain an appreciation of the need for applying good human relations in supervising employees*
- *To become acquainted with the basic criteria for decision-making*

Leadership may be defined as the art of influencing, directing, guiding, and controlling others in such a way as to obtain their willing obedience, confidence, respect, and loyal cooperation in the accomplishment of an objective. It is the human factor that binds a group together and motivates it toward goals. Leadership is truly an art. It embodies a set of basic principles, the application of which facilitates human endeavor. It involves more than just a grant of authority. A distinction can be seen in the following:

When men obey another because of fear, they are *yielding*. Their obedience is given grudgingly. There is little loyalty or teamwork, and no desire to give their all for a common cause. But when men *follow*, they do so willingly—because they *want to do* what a leader wishes. Herein lies the distinction between being an authority and being a leader. The leader stimulates, motivates, and inspires the group to follow willingly, even eagerly. The authority pushes and drives his men who yield and obey because they fear the consequences of disobedience.¹

There are as many levels of leadership proficiency as there are leaders. At different times and for different tasks, the degree of supervisory skills called for will vary. Yet there is a close positive correlation between organizational effectiveness and the abilities of supervisors to skillfully apply those proven principles of leadership that have evolved from the experiences of industry and the military, from the social sciences, and from other disciplines. The supervisor who has managed to learn and apply these principles will find the job easier and the productivity of subordinates will be greater. The subordinates' apprehension of authority will be lessened, and their respect for their leaders will increase. The result will be better understanding and fewer conflicts of purpose between those who direct and control and those who constitute the workforce of the organization.



► Development of Leadership Ability

In their book *Extreme Ownership, How U.S. Navy Seals Lead and Win*, Jocko Willink and Leif Babin describe a leader this way: “The only meaningful measure for a leader is whether the team succeeds or fails. For all the definitions, descriptions, and characterizations of leaders, there are only two that matter: effective and ineffective. Effective leaders lead successful teams that accomplish their mission and win. Ineffective leaders do not.”² Leadership ability is not inherited. There are no born leaders. Undoubtedly there are some natural endowments that affect the relative abilities of individuals to become good leaders. Some physical traits, aptitudes, types of intelligence, and temperament characteristics are examples.

Any reasonably intelligent person with enough forcefulness to develop the ability to inspire others can earn leadership status. This person may never be recognized on the organizational charts and may never be awarded stripes or bars, but is perceived as a leader if others follow him or her in the workforce. The true leader—the ideal for the organization—is the leader recognized as such formally *and* granted leadership authority not only by the organization but also by the subordinates. The grant of authority by the latter is the only *real* source of authority.

The granting of formal authority does not ipso facto make a person a leader. Leadership status must be earned. The necessary qualities may be developed by training and self-discipline. When necessary, habits can be changed and emotions controlled. Mannerisms, speech, manual and mental skills, and attitudes can be altered by training calculated to develop or improve leadership ability, but this requires diligent effort. If leadership ability is learned slowly through trial and error, morale and performance are likely to suffer in the process because of the errors that are bound to creep into the supervisor’s underdeveloped judgment.

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Students at the FBI Academy in Quantico, Virginia, take classes in subjects such as law and criminology.