



MANAGEMENT AND SUPERVISION IN LAW ENFORCEMENT

SEVENTH EDITION

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Management and Supervision in Law Enforcement

7e

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Preface

Welcome to the seventh edition of *Management and Supervision in Law Enforcement*. Based on feedback from students and instructors, we have made several changes in this edition, but we have retained our focus on writing a reader-friendly text that provides a comprehensive, up-to-date overview of management and supervision in law enforcement, blending theory and practice. The content applies to agencies of all sizes at all levels: local, county, state, and federal. Many of the competencies discussed apply to anyone working in the criminal justice system, including courts and corrections.

Key Themes

Although significant changes have been made, three themes continue from previous editions. First, managers and supervisors need to move from an authoritative style to a participative leadership style—empowering all personnel to become contributing team members. Second, community policing and problem solving are key to preserving the peace and fighting crime. Citizens can become allies in both. Law enforcement cannot go at it alone any longer. How community policing and problem solving affect management is illustrated throughout the text.

Third, change must be viewed as an opportunity rather than a threat. Managers must help their people grow and develop, and managers must continuously grow and develop, looking for new and better ways to accomplish their mission. As futurist Alvin Toffler asserts, “The illiterate of the 21st century will not be those who cannot read and write, but those who cannot learn, unlearn and relearn.” This text is a beginning toward opening your mind to new ways of thinking and doing.

Organization of the Text

Part I, Management, Supervision, and Leadership in Law Enforcement: An Overview, takes a broad look at management, beginning with a look at the organization of most law enforcement agencies, including how management is apparent at every level, and the mission of policing in the United States (Chapter 1). The section concludes with a discussion of the evolution of law enforcement, its influence on contemporary policing, and the complementary roles of managing and leading (Chapter 2).

Part II, *Leadership Fundamentals*, focuses on basic skills that affect everything done by law enforcement managers at all levels. A critical basic skill that can make or break a law enforcement manager is communication. Effective communication is at the core of effective management (Chapter 3). The manager's role, by definition, includes decision making and problem solving (Chapter 4). How decisions are made and by whom are vital management questions. Among the most important decisions are those involving how time will be spent—the time of individual managers, officers, and the agency as a whole (Chapter 5).

Part III, *Building Capacity*, focuses on how managers can develop the numerous talents of their subordinates through participatory leadership. It first explains the critical importance of hiring and training (Chapter 6) and then suggests ways managers can go beyond training to fully develop the potential of all personnel (Chapter 7). Managers must build on the strengths of their people, accommodate their weaknesses, and motivate their officers to be as effective as possible. Research has shown that tangible rewards such as pay raises and fringe benefits are not necessarily the most successful motivators. They are often taken for granted, making managing much more challenging. Managers who can develop and motivate their team members will make a tremendous contribution to the department and to the accomplishment of its goals, objectives, and mission. In addition, many concepts basic to motivation are directly related to keeping morale high. Attending to employees' motivation and morale is critical to being an effective manager (Chapter 8).

Part IV, *Leadership Challenges and Opportunities*, discusses difficulties to be anticipated in any law enforcement organization. They are an inevitable part of the challenge of accomplishing work through others. Managers must collaborate with unions and deal diplomatically and professionally with all complaints and grievances (Chapter 9). Managers must also recognize problem behaviors and use an appropriate combination of constructive criticism, discipline, and incentives to correct the problems (Chapter 10). Finally, all the preceding, plus the challenges inherent in law enforcement work itself, can result in extreme stress for supervisors, managers, and subordinates. Reducing such stress and the hazards related to it are critical tasks for administrators (Chapter 11).

Part V, *Leading and Managing the Organization*, focuses on meeting responsibilities through effective leadership. People would rather be led than managed. Personnel must be effectively deployed and their productivity enhanced (Chapter 12). Other important decisions involve how resources other than time can be most effectively managed—that is, the ongoing task of budgeting, which directly affects what individual managers, their officers, and ultimately the agency can accomplish (Chapter 13). A final management responsibility is evaluating the efforts of the officers, managers, and the entire department. Evaluation should be continuous and should include both formal and informal evaluation. The results should be used to help employees continue to grow and develop and to make the department more effective as well (Chapter 14).

The final section, Part VI—*Where Do We Go from Here?*—discusses the need for managers to be forward looking, considering what the future of law enforcement and the entire criminal justice system may hold (Chapter 15).

New to This Edition

The entire text has been completely updated, with over 85 new references and more than 220 references from 2009 or later. Additionally, the text has been reorganized and streamlined to 15 chapters, in contrast to the previous edition in which the content was divided into 17 chapters. Finally, a new feature called “Ethical Dilemma” has been added. Constructed by co-author Chief Shaun LaDue, 10 new scenarios are provided to generate discussion regarding some of the ethical gray areas police managers may encounter. These ethical dilemmas appear in Chapters 3, 4, 6, 7, 8, 9, 10, 11, 12, and 14. Among the other numerous additions to this edition are the following:

Chapter 1 The Organization and Mission of Policing in the United States

- This was previously Chapter 2 and was moved forward so as to begin the text with a general overview of the policing profession before moving into discussions of management and how that role is defined within the context of today’s police organizations
- An organizational chart from a small police department was added to better illustrate how the majority of agencies across the country are organized
- Added data pertaining to prevalence of small and large police departments across the country
- Added content on predictive policing

Chapter 2 Management, Supervision, and Leadership in Law Enforcement

- This was previously Chapter 1. It was moved back to follow the general overview of the policing profession (current Chapter 1) and merged with content (Chapter 3 in the previous edition) regarding goals, objectives, and work plans; functions of managers at various levels; holistic management/leadership; team building; NIMS; and law enforcement management as a career.

Chapter 3 Communication: A Critical Management Skill

- Updated statistics on the English-speaking population in the United States.
- Added a brief discussion on the generational differences in using technology to communicate (no empirical evidence to date).
- Enhanced the discussion on cross-generation communication challenges
- Included a discussion of the importance of trust in supervisor-subordinate relationships and how over-reliance on technology to communicate can pose a risk to good interpersonal relationships
- Updated and expanded the section on the value of social media as a communication tool
- New figure: Communications Matrix
- Moved content about “Conflict” from previous Chapter 11 to current Chapter 3
- Added an Ethical Dilemma feature

Chapter 4 Decision Making and Problem Solving as a Manager and Leader

- Added a new example of POP Goldstein Award winner—SARA Model in Action
- Provided new content on predictive policing
- Updated content on gunshot detection technology
- Added an Ethical Dilemma feature

Chapter 5 Time Management: Minute by Minute

- Moved discussion of SMART goals to this chapter
- Expounded on the role of technology in scheduling and organizing time

Chapter 6 Staffing Your Agency: Hiring, Training, and Professional Learning

- Moved forward the content from previous Chapter 15 on “Hiring Personnel” to this chapter
- Added content on recruiting to reach today’s applicants, including characteristics of Millennials that must appeal to police managers
- Added material on strategies to recruit and retain officers, including the use of realistic job previews (RJPs)
- Updated statistics on departments using various new hire selection and screening methods
- New data on completion rates of stress vs. non-stress training academies
- New data on the prevalence of e-learning
- New professional development matrix (Figure 6.5)
- Added an Ethical Dilemma feature

Chapter 7 Promoting Growth and Development

- Updated statistics on police-citizen contacts
- Added new content on managing underperformers
- Added an Ethical Dilemma feature

Chapter 8 Motivation and Morale

- Enhanced content about how management impacts officer morale
- Added an Ethical Dilemma feature

Chapter 9 Collaborating with Labor Management and Handling Complaints and Grievances

- Moved up content about labor management and unions (Chapter 15 in the previous edition) and moved out content about conflict (placed into Chapter 3)
- Added an Ethical Dilemma feature

Chapter 10 Discipline and Problem Behaviors

- Moved content regarding “Policies and Procedures” from previous Chapter 3 to current Chapter 10, as relevant to discipline
- Updated data on use of force encounters
- Added an Ethical Dilemma

Chapter 11 Stress and Related Hazards of the Job

- New key term: tech effect
- Updated statistics on officers killed in the line of duty
- New content on police stressors (lack of trust among co-workers)
- New data/research on CSI effect/tech effect on juror expectations of scientific evidence in criminal trials
- New content on additional stressors for women officers
- Updated data on life expectancy for police officers
- Inclusion of US Marine Corps Combat Operational Stress Continuum and Decision Flowchart to help evaluate and manage cases of COS/PTSD
- Updates to definition of PTSD
- New content on resiliency and the Reno (Nevada) Police Department wellness initiative built around the concept of resiliency
- New content on stress reduction and wellness programs for police officers, and example of the Holden (Massachusetts) Police Department as a “good” wellness program
- Inclusion of meditation and mindfulness-based stress reduction (MBSR) programs as ways to deal with officer stress
- Added an Ethical Dilemma feature

Chapter 12 Deploying Law Enforcement Resources and Improving Productivity

- Added content on determining staffing needs based on recent studies, with recommended approach being workload-based
- Explained differentiation between “workload” and “calls for service”
- New content on study about impact of shift length on police performance
- Updated statistics on volunteerism
- Enhanced discussion of NIMS/ICS for incident command and disaster planning
- Added an Ethical Dilemma feature

Chapter 13 Budgeting and Managing Costs Creatively in the New Norm

- New results from PERF’s economic survey of police agencies (2012)
- New content on strategic cutback budgeting and management
- Updated content on grants

Chapter 14 Measuring Performance: Assessment and Evaluation

- Updated and expanded content on Smart Policing Initiative (SPI) grantees
- New material in recognizing value in policing
- Added an Ethical Dilemma feature

Chapter 15 Learning from the Past; Looking to the Future

- New key terms: Red Teaming, SAR
- Updated statistics throughout
- New content on the impact of technology on policing
- New content on de-escalation and minimizing use of force
- New content on the connection between the economy and violent crime
- New content on gun crime
- Updated information on gangs
- Expanded content on National Response Framework (NRF) and National Incident Management System (NIMS) under Terrorism section

Learning Aids

Management and Supervision in Law Enforcement, Seventh Edition, is a planned learning experience. It uses triple-strength learning, presenting all key concepts at least three times within a chapter. The more actively you participate, the better your learning will be. You will learn and remember more if you first familiarize yourself with the total scope of the subject. Read and think about the table of contents; it provides an outline of the many facets of law enforcement management and supervision. Then follow these steps as you study each chapter.

1. Read the objectives at the beginning of the chapter. These are stated as “Do you Know?” questions. Assess your current knowledge of each question. Examine any preconceptions you may hold.
2. Read the list of key terms and think about their possible meanings.
3. Read the chapter, underlining, highlighting, or taking notes. Pay special attention to all information that is highlighted. Also pay special attention to all words in bold print—these are the key terms for the chapter.
4. When you have finished reading the chapter, reread the “Do You Know?” questions to make sure you can give an educated response to each. If you find yourself stumped by one, find the appropriate section in the chapter and review it. Also define each key term. Again, if you find yourself stumped, either find the term in the chapter or look it up in the glossary.
5. Read the discussion questions and be prepared to contribute to a class discussion of the ideas presented in the chapter.

6. Periodically review the “Do You Know?” questions, key terms, and chapter summaries.

By following these steps, you will learn more, understand better, and remember longer.

Note: The material selected to highlight using the triple-strength learning instructional design includes only the chapter’s key concepts. Although this information is certainly important because it provides a structural foundation for understanding the topics discussed, you cannot simply glance over the “Do You Know?” questions, highlighted boxes, and summaries and expect to master the chapter. You are also responsible for reading and understanding the material that surrounds these basics—the “meat” around the bones, so to speak.

Acknowledgments

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Chief LaDue has attended numerous leadership and management institutes as well as general professional development programs and specialized training courses. He has been actively involved in all of the communities he has served and is also actively involved in several professional organizations, most notably, the Police Executive Research Forum (PERF), the International Association of Chiefs of Police (IACP), Law Enforcement Executive Development Association (LEEDA), the Southern Police Institute Alumni Association (SPI), the Iowa Police Chief's Association (IPCA), and the Minnesota Police & Peace Officers Association (MPPOA).

The Organization and Mission of Policing in the United States

Do You Know?

- How law enforcement agencies were traditionally organized?
- What should drive an organization?
- What typical division of labor exists in law enforcement agencies? What line and staff personnel are?
- What advantages and disadvantages are associated with specialization?
- What the chain of command does?
- What the emerging law enforcement organization looks like?
- What five broad strategic or organizational approaches currently operate in contemporary policing?
- What community policing is?
- How traditional and community policing differ?
- What the two critical key elements of community policing are?
- If the core functions of policing change when community policing is implemented?
- What problem solving requires of the police?
- What the four principles of Compstat are?
- What the 3-I model of intelligence-led policing illustrates?
- Who may be important partners in evidence-based policing?
- How failure should be perceived in evidence-based policing?

CHAPTER at a GLANCE

This chapter begins by examining early influences on the U.S. traditional law enforcement organization with which most citizens are familiar, followed by a discussion of the elements of a formal police organization, the significance of the informal organization, and the nature of the emerging law enforcement agency. Next the approaches currently being used in law enforcement agencies along with traditional policing following the terrorist attacks of 9/11 are described. These include community policing, problem-solving policing, Compstat policing, intelligence-led policing, and evidence-based policing. The chapter concludes with a look at the emergence of predictive policing and, as a bridge to the next chapter, the impact of contemporary policing approaches on the new supervisor or manager.

Can You Define?

broken-window theory	hierarchy	pyramid of authority
chain of command	incident	reactive
channels of communication	incivilities	social capital
community policing	integrated patrol	span of control
Compstat policing	intelligence-led policing	staff personnel
decentralization	line personnel	stakeholders
evidence-based policing	mission	support services
field operations	mission statement	transactional change
flat organization	paradigm	transformational change
fusion center	paradigm shift	unity of command
guiding philosophy	proactive	working in “silos”
	problem-solving policing	

Introduction

An *organization* is an artificial structure created to coordinate either people or groups and resources to achieve a mission or goal. Organizations exist for many different reasons. One important reason is synergy and the concept that a group can accomplish, through teamwork, tasks and objectives that an individual could never do alone. For example, no single individual could have put a person on the moon, but an organization—the National Aeronautics and Space Administration (NASA)—was successful.

The need for organizing has been recognized for centuries. Since recorded time people have banded together into societies. Within these societies they have sought ways to protect themselves from nature and from those who would harm them or their possessions. They made rules, set up ways to enforce these rules, and provided swift punishment to those who did not obey.

Law enforcement agencies provide their services to the political entity from which they derive their authority and responsibility. Providing services is their sole reason for existence. It is highly likely that newly created municipalities would expect *someone* to respond to their needs for the many services provided by police. U.S. citizens have come to expect and demand reasonably safe communities, so they demand law enforcement organizations. As such organizations develop, they resemble those already in existence in other communities because tradition and experience are enduring.

Early Influences on U.S. Law Enforcement Organization

The traditional organization of U.S. law enforcement was greatly influenced by Sir Robert Peel (1788–1850), often called the “Father of Modern Policing,” and included the following: Police must be stable, efficient, and organized militarily. Police must be under governmental control. The deployment of police strength by both time and area is essential. Police headquarters should be centrally located and easily accessible. The test of police effectiveness is the absence of crime and disorder, not the visible evidence of police activity in dealing with these problems.

New York City police officers in front of the 20th Precinct Station during the 1880s.



© Bettmann/CORBIS

Also influential on law enforcement was Max Weber (1864–1920), a German sociologist and economist who helped establish the foundations of modern sociology. He considered bureaucracy to be the most important

feature of modern society. Weber believed that business was conducted from a desk or office by preparing and dispatching written documents through an elaborate hierarchical division of labor directed by explicit rules impersonally applied. These rules were meant to design and regulate the whole organization on the basis of technical knowledge with the aim of achieving maximum efficiency. According to Weber, one of the most fundamental features of bureaucracy was a highly developed division of labor and specialization of tasks. This was achieved by a precise, detailed definition of the duties and responsibilities of each position.

A contemporary of Weber was Frederick W. Taylor (1856–1915), an American industrial engineer whose studies of time and motion on production efficiency had an influence on the structuring of law enforcement organizations. Taylor's book, *The Principles of Scientific Management* (1911), called for a small span of control, a clear chain of command, a tall organizational hierarchy, and centralized decision making modeled after the military. These influences are visible in the traditional law enforcement organization, diagrammed in Figure 1.1.



The traditional law enforcement organizational design is that of a pyramid-shaped hierarchy based on a military model.

Early law enforcement organizations were simple. The typical **pyramid of authority** predominated with its **hierarchy** of authoritative management. Command officers and supervisors had complete authority over subordinates, and there was little opportunity for departmental appeal except through the courts. Communication flowed downward. Little or no specialization existed, and training was nonexistent or minimal. Selection was based largely on physical qualifications, and most applicants had military experience.

pyramid of authority

the shape of the typical law enforcement hierarchy, with the chief at the peak and having full authority, down through managers (captains and lieutenants) and supervisors (sergeants), to those who accomplish most of the tasks (officers).

hierarchy

a group of people organized or classified by rank and authority. In law enforcement, typically pyramid shaped with a single "authority" at the top expanding down and out through the ranks to the broad base of "workers."

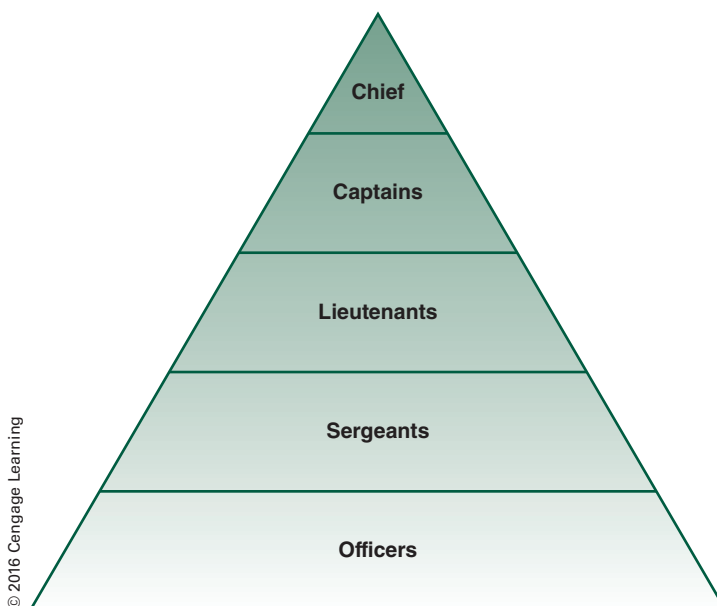


FIGURE 1.1 The Traditional Law Enforcement Organization

The Formal Organization

The *formal organization* is put together by design and rational plan. The essential elements of a formal organization are:

- A clear statement of mission, guiding philosophy and values.
- A division of labor among employees.
- A hierarchy of authority.

These elements work in concert to define the unique formal organization of each law enforcement agency.

Mission Statements, Guiding Philosophies, and Values

Although police departments have changed substantially since their early beginnings in this country, they have always had a mission, whether stated or unstated. That police missions have always existed, however, should not be taken to mean they are permanent and fixed elements of law enforcement organization. Police missions change as departments and the communities they serve change. Traditionally, as the name implies, the mission of the police was to enforce the law, that is, to fight crime and to keep the public safe. Today, however, many departments have changed their focus to providing services while other departments seek a combination of the two. It is important for departments to clearly articulate their **mission** or overriding, core purpose in writing.

mission

the reason an organization exists.

mission statement

a clearly written explanation of why an organization exists and the driving force for that organization, providing a focus for its energy and resources.



A **mission statement** is a clearly written explanation of why an organization exists and is the driving force for that organization, providing a focus for its energy and resources.

Mission statements not only articulate the rationale for an organization's existence but can be the most powerful underlying influence in law enforcement, affecting organizational and individual attitudes, conduct, and performance. A mission statement provides focus for decisions, some of which can be challenging to make because police have a wide range of dictated responsibilities that fall under the heading of "public safety."

Mission statements are best developed by an appointed committee, representative of the larger organizational "whole" but not too large for individual participation. Developing the statement is only the first step. It must then be distributed, explained, understood and accepted by all department members. A mission statement is not automatically implemented or effective. It must be practiced in everyday actions and decision making by management and field personnel.

The mission statement of a law enforcement agency should be believable, worthy of support, widely known, shared, and exciting to key stakeholders. **Stakeholders** are those *affected by* the organization and those in a position to *affect it*. In a law enforcement organization, stakeholders include everyone in

stakeholders

those affected by an organization and those in a position to affect it.

the jurisdiction. Two key questions to answer are (1) what do the stakeholders *want*? and (2) what do the stakeholders *need*? What people want and what they need are not necessarily the same. Stakeholders should, however, have input into what is provided for them.

An example of an effective mission statement is that of the West Des Moines (Iowa) Police Department:

The men and women of the West Des Moines Police Department, in partnership with the community, are committed to providing quality, professional police services to our citizens and visitors through the preservation of peace, order, safety, problem resolution and education. These services will be delivered in a fair and equitable manner by treating all with the dignity due to them, while reflecting the values of the community.

STRIVE ** DIFFERENTIATE ** LEAD

A mission statement such as this can both guide and drive an organization. Mission statements are usually part of an organization's overall guiding philosophy. A **guiding philosophy** consists of an organization's mission statement *and* its basic *values*—the beliefs, principles, or standards considered worthwhile or desirable. Consider this example of one Midwest police department's statement of values:

The Anytown Police Department believes in providing quality, empathetic, responsive, and professional service to the citizens and visitors of our community. We further believe that the citizens have endowed us with a public trust that we will honor by holding ourselves to the highest standards of professional police conduct; wholly subscribing to the Law Enforcement Code of Ethics established by the International Association of Chiefs of Police.

The Anytown Police Department believes in the equitable, fair, and impartial application of laws and ordinances without regard to race, color, creed, sex, or station in life; treating individuals with tolerance, compassion, empathy, and with the dignity we would expect when found in similar circumstances.

The Anytown Police Department believes in the preservation of basic human rights and the maintenance of individual human dignity under the rule and spirit of the law which dictates that the ends do not justify the means, and that punishment is not the function of police.

Typical Division of Labor in Law Enforcement Agencies

Law enforcement agencies typically are divided into field operations and support services, with personnel designated as line and staff personnel.



Field operations use **line personnel** to *directly* help accomplish the goals of the department. **Support services** use a combination of line personnel and **staff personnel** to *support* the line organization.

guiding philosophy

the organization's mission statement and the basic values honored by the organization.

field operations

directly help accomplish the goals of the department using line personnel; main division is uniformed patrol; may also include investigations, narcotics, vice, juvenile, and the like.

line personnel

those who actually perform most of the tasks outlined in the work plan.

support services

supports those performing field operations; includes recruitment and training, records and communication, planning and research, and technical services.

staff personnel

those who support line personnel.

Field Operations

Field operations' main division is the uniformed patrol. Larger agencies may have other divisions as well, such as investigations, narcotics, vice, and juvenile. Line personnel fulfill the goals and objectives of the organization. This is what most people think of as law enforcement—the uniformed police officer on the street.

As an organization grows in size, specialization often develops to meet the community's needs. The extent of specialization is a management decision. Specialization occurs when the organizational structure is divided into units with specific tasks to perform. The patrol unit is assigned the majority of personnel and provides the greatest variety of tasks and services. Even though specialized units may be formed, the patrol unit often still performs some of these specialized units' tasks.

For example, patrol officers may investigate a crime scene up to the point at which they must leave their shift or area to continue the investigation. Or they may investigate only to the point of protecting the scene and keeping witnesses present or immediately arresting a suspect. At this point they may complete their report on tasks performed relating to the specific crime and either turn it over to another shift of patrol officers (other generalists) or to the investigative unit (specialists). Regardless of the division of tasks performed by generalist or specialist units, close communication about incidents must occur or problems develop.

Specialization creates a potential for substantially increased levels of expertise, creativity, and innovation. The more completely an employee can perform a task or set of tasks, the more job satisfaction the employee will experience. When specialization is not practical, people must understand why the division of labor is necessary. It must also be clear where patrol's responsibility ends and that of the investigative unit begins.

The greater the specialization, necessary as it is, the greater the difficulties of coordination, communication, control, and employee relationships. Conflicts and jealousies may arise, including an attitude of "Let the expert do it if he or she is going to get the credit."

Officers in a small agency must perform all tasks. They cannot afford the luxury of specialization. However, with more standardized training requirements and accreditation, all officers should, theoretically, achieve similar backgrounds for performing tasks, regardless of the size of the agency, although in reality, such training often lags many years behind when it should be attained, or it is lacking entirely. The major difference between small and large agencies is the frequency of opportunity presented to officers regarding specialization.



Specialization can enhance a department's effectiveness and efficiency, but overspecialization can impede the organizational purpose.

Overspecialization fragments the opportunity to achieve the organizational purpose of providing courteous, competent, expeditious law enforcement services. The more specialized an agency becomes, the more attention must be paid to interrelationships and coordination.

Field operations divisions are typically further broken into shifts to provide service within a framework of geographical space and extended time. Continuity of service must be provided between areas and shifts. Larger departments may divide the political entity they serve into distinct *precincts* or *patrol districts*, the geographical areas served by a given portion of the officers, essentially forming a number of smaller organizations subject to overall administration and operational command. Time traditionally was divided into three 8-hour shifts; today, however, it is fairly common for departments to use 10- or even 12-hours shifts, with some using a combination of 8-, 10- and 12-hour shifts. However a department structures its shifts, the point is that it does so to provide services continuously. Officers frequently rotate through these shifts. Personnel assigned to specific divisions and shifts vary depending on the community's size and service needs.

Support Services

Support services, which are usually centralized, include recruitment and training, records and communications, planning and research, and technical services. Staff personnel assist line personnel, including supervisors. The laboratory staff, for example, assists line personnel, acting as liaisons, specialists, or advisory personnel. They are technical experts who provide specialized information. Legal staffs (city, county or district attorneys) act as legal advisors to all members of the agency.

Conflicts can and do arise between line and staff, particularly when staff attempts to act in a capacity beyond advisory or informational. Both line and staff are necessary components of the law enforcement organization. They must, however, be coordinated and controlled to achieve department goals.

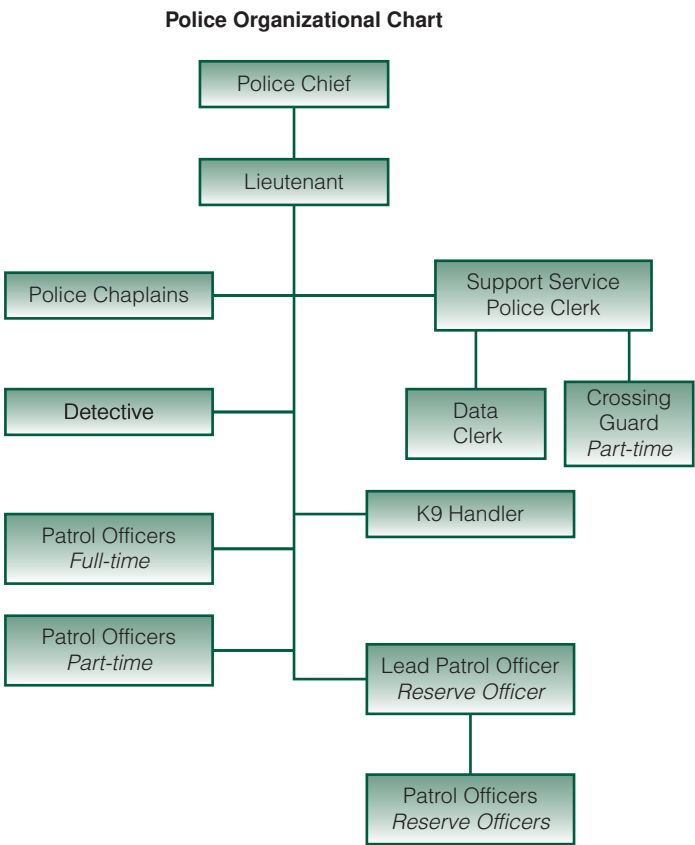
The Hierarchy of Authority

The structure of most police departments, as noted, has traditionally been a quasi-military, pyramid-shaped hierarchy with authority flowing from the narrow apex down to the broad base. This hierarchical pyramid is often graphically represented in an organizational chart.

An organizational chart visually depicts how personnel are organized within an agency and might illustrate how the agency fits into the community's political structure. Typically, as a jurisdiction's population increases, the size of the police department serving that community increases proportionately and the complexity of the agency's organizational chart also increases. Figure 1.2 is the organizational chart for the Carlisle, Iowa, Police Department, an agency that serves a population of approximately 4,000. This is typical of how police departments are organized in smaller cities. Figure 1.3 shows the organization of the West Des Moines (Iowa) Police Department, a "mid-sized" agency serving a population of roughly 60,000. While approximately half (49%) of all state and local law enforcement agencies across the United States are considered "small," employing fewer than 10 full-time sworn personnel, the largest 7 percent of state and local police agencies employ nearly two-thirds (64%) of all sworn law enforcement personnel

FIGURE 1.2 A
Smaller Department
Organizational Chart

Source: Carlisle, Iowa, Police
Department.



in the country (Reaves, 2011). Police departments serving populations of 100,000 or more are generally considered “large” agencies (*The Impact of the Economic Downturn*, 2011).

The **chain of command** is the order of authority. It begins at the top of the pyramid with the chief or sheriff and flows downward through the commissioned ranks in the agency—from deputy chief to captain to lieutenant to sergeant and finally to the patrol officer.

chain of command
the order of authority;
begins at the top of the
pyramid and flows down to
the base.

 The chain of command establishes definite lines of authority and channels of communication.

Each level must forward communications to the next higher or lower level. **Channels of communication** are the official paths through which orders flow from management to personnel who carry out the orders. Most organizations set up these channels carefully and for good reasons. They are the “highways” for orders and communications to follow and keep everyone aware of events. They coordinate the organization into a whole, integrated unit instead of a series of parts. When an individual leaves these channels and takes a shortcut, he or she is apt to run into problems. For example, a patrol officer who takes a complaint directly to the chief rather than to the sergeant would probably fall out of favor in the department. Sometimes in law enforcement

channels of communication
the official paths through
which orders flow from
management to personnel
who carry out the orders;
usually follow the chain of
command.

unity of command

means that every individual in the organization has only one immediate superior or supervisor.

span of control

how many people or units one individual manages or supervises.

work, however, emergencies exist that cannot wait for information to be sent through the expected channels. This is one of the challenges of police work.

Another important part of the organizational design is **unity of command**, a construct that means every individual in the organization has only one immediate superior or supervisor. Unity of command is extremely important and needs to be ensured in most instances. Each individual, unit, and situation should be under the control of one, and only one, person.

Yet another factor in most law enforcement organizations is the **span of control**, the number of people or units one individual manages or supervises. The span of control depends on the department's size, the supervisors' and subordinates' abilities, crime rates, community expectations, and the political environment. Often the greater the span of control, the less effective the management or supervision.

However, technological advances involving communications with personnel in the field, higher levels of education and training, and the extent of the empowerment and flattening of the organization may allow managers to increase their span of control and remain effective. Do not confuse span of control with how many people one person has authority over. The chief, for example, has authority over everyone in the department, but the chief's span of control extends to only those who report directly to him or her.

The span of control must be realistic. If too few people report to a manager, that manager may not be operating at optimum efficiency or effectiveness as a manager. If too many people report to a manager, that manager cannot do a good job with all of them. Within a law enforcement agency, the more levels in the pyramid, the smaller the span of control. A number of factors must be considered:

- Distance in space and time between manager and subordinate
- Difficulty of tasks performed
- Types of assistance available to the manager
- Amount of direction subordinates need
- Extent of subordinates' skill and experience

Each factor must be considered as personnel are assigned.

The formal organization groups people by task and responsibility and clearly delineates the chain of command and channels of communication. As important as the formal organization of a police department is, as in any group, an informal structure also exists. The informal organization exists side-by-side with this formal organization and may be a truer representation of the way the department actually functions.

The Informal Organization

Within any organization some people may emerge as leaders, regardless of rank or whether they are in leadership positions. In addition, within any organization people will form their own groups—people who enjoy being together and perhaps working together. The *informal organization* operates without official sanctions but it influences the agency's performance. It may

help or harm the agency's goals, and it may support the organization or cause dissention.

Informal organization exists within all law enforcement agencies and, regardless of whether higher management approves of them, these structures can serve as a positive force to facilitate the department's work. This can be done by thinking of the informal leader not as a ringleader but as a person "in on things," one whose informal network can benefit the whole group.

The Emerging Law Enforcement Organization

Business and industry are undergoing sweeping changes in organization and management styles to remain competitive. Law enforcement agencies are also facing the need for change to meet the competition of private policing, which has become a major player in safeguarding U.S. citizens and their property. For example, as our elderly and business populations continue to occupy high-rise condominiums and office buildings, the reliance on private security will also increase, as law enforcement cannot practically be expected to patrol such structures.

Police departments and other law enforcement agencies must also compete with private security organizations for the bright, young college graduates entering the work force. No longer will law enforcement agencies be recruiting a majority of candidates with a military background. Instead agencies will be recruiting college graduates who will not accept authority blindly. Other changes are also evident in police departments across the country.



The emerging law enforcement agency has a flattened organization, is decentralized, and empowers its employees.

Like businesses, for the sake of efficiency, many police departments are turning to a **flat organization**, one with fewer lieutenants and captains, fewer staff departments, fewer staff assistants, more sergeants, and more patrol officers. Typical pyramid organization charts will have the top pushed down and the sides expanded at the base.

Top-heavy organizational structures are no longer tolerated in business. Progressive firms are flattening their structure and pushing authority and decision making as low as possible. Accompanying this change in organizational structure is decentralization and the soliciting of ideas from everyone in their organizations about every facet of their operations. **Decentralization** encourages flattening of the organization and places decision making at the level where information is plentiful, usually at the level of the patrol officer. Flattened, decentralized organizations empower line personnel.

Decentralization frees managers from spending all their time and intellectual energy on day-to-day operational matters, allowing them to concentrate more on strategies to improve the organization's capabilities to perform. Decentralization also improves operational decisions because they are made

flat organization

one with fewer lieutenants and captains, fewer staff departments, fewer staff assistants, more sergeants, and more patrol officers.

decentralization

encourages flattening of the organization and places decision-making authority and autonomy at the level where information is plentiful; in police organizations, this is usually at the level of the patrol officer.

by those closest to the situation and challenges more people to be creative and take responsibility for the problems in their area. A likely result of decentralization is that officers will feel empowered.

Change Revisited

Some readers may be thinking, “If it ain’t broke, don’t fix it. What’s wrong with the way the law enforcement agencies are organized? They have worked fine for the past 200 years.” The short answer is that our society, and the world in which we exist, is significantly different than that of previous generations. Law enforcement must now deal with disruptive social, demographic, and technological changes. The United States is growing increasingly diverse, with more minorities and more elderly people. Immigrants, legal and illegal, are streaming into our country. People with disabilities have entered into mainstream society following the passage of the Americans with Disabilities Act, and thousands of mentally ill people have been released from institutions, often becoming homeless. In addition, the U.S. is becoming a bifurcated society with more wealth, more poverty, and a shrinking middle class. The gap between the “haves” and the “have nots” is widening. Other social and cultural changes include the weakening influence of family, church, and school—the traditional sources of informal society control. Consequently, there exists a growing reliance on various forms of formal social control—namely law enforcement—to “keep the peace” in communities throughout our country.

Personnel within police departments has also changed, with newer generations having different views of what is important and representing more women and greater ethnic diversity. The laws police enforce have also changed, mostly in favor of criminals and against the police. Technology is revolutionizing law enforcement, affecting everything from crime scene investigations to law enforcement gear, weapons, and police vehicles. Technology has a significant impact on supervisors’ and managers’ effectiveness. For example, scheduling has become an art in and of itself in law enforcement, particularly because of unions and increasing union rules. The dynamics of an organization is that if it is trying to be proactive and progressive, those leading it need to embrace technology.

Finally, the inability of law enforcement to win the “wars” on drugs and terrorism has shown that the police cannot fight crime and disorder by themselves. They need the help of the citizens within their jurisdiction. This need has become even greater after the tragic events of September 11, 2001. The fear and risk of terrorism has pervaded the United States. Combating this heightened threat to our national security requires a combined effort. The challenges facing law enforcement and our entire country necessitate reexamining our public organizations, including law enforcement.

These changes may require a **paradigm shift**, a dramatic change in how some basic structures are viewed. A **paradigm** is a model, theory, or frame of reference. For example, in the early beginnings of our country, we were an agricultural society. The Industrial Revolution dramatically changed how we viewed our society. We have since shifted to an information-based society.

paradigm shift

a dramatic change in how some basic structure is viewed.

paradigm

a model, theory or frame of reference.

Likewise, law enforcement appears to be undergoing a paradigm shift from an emphasis on crime fighting to an emphasis on order maintenance and peace keeping.

Law enforcement managers at all levels must reexamine past assumptions, consider future projections, and think very carefully about the future of policing, law enforcement, and the entire criminal justice system.

Post-9/11 Policing

Schafer et al. (2009) studied the impact of September 11, 2001, on small municipal agencies and found that although homeland security has been the focus of ample rhetoric since the terrorist attacks, empirical research on actual effects has been lacking. They studied perceptions of risk, engagement in preparatory measures, and perception of response capacities among small police agencies in Illinois and found only modest improvements in homeland security innovation in these departments in the first six years after 9/11, with most agencies perceiving the risk of a terror attack on their jurisdiction to be low.

Marks and Sun (2007) also studied the impact of 9/11 on organizational development among state and local law enforcement agencies and found that while changes in departmental processes or operations, such as greater information sharing between agencies, were fairly universal, changes in agencies' internal structure, such as the establishment of a counterterrorism unit, were more limited, with only larger metropolitan and state law enforcement agencies having the necessary resources to accomplish such changes. This study allowed Marks and Sun (2007, p.161) to differentiate between two types of change: transactional change and transformational change. In **transactional change** various features of an organization may be altered, but the core framework is untouched. This evolutionary change intervenes in structure, management practices, and motivations—for example, creating a drug task force to deal with drug trafficking. The change is on the organization's periphery, unlikely to affect the organization's mission and culture.

Transformational change, in contrast, intervenes in an organization's mission, culture, and leadership style. Marks and Sun's analysis following 9/11 found that “virtually all” of the organizational changes were transactional, perhaps because it is easier to change departmental policies and practices than to change deeply embedded cultures (2007, p.170).

Another reason might be that changes in policing do not seem to occur unless the general public decides change is needed and supports such change. Often this change is sought when a critical incident or major event takes place. For example, the public overwhelmingly blamed the federal government for the terror attacks of 9/11, criticizing the unwillingness of the FBI, CIA, and other federal agencies to share sensitive intelligence with each other in a timely manner that may have helped “connect the dots” before the attacks could be executed. Marks and Sun (2007) theorize that this pointing of the collective national finger at the highest level of law enforcement may explain why most of the immediate post-9/11 organizational changes occurred among federal agencies and not those at the state and local level.

transactional change

various features of an organization may be altered, but the core framework is untouched; this evolutionary change intervenes in structure, management practices, and motivations.

transformational change

intervenes in an organization's mission, culture, and leadership style.

In September 2009, the National Institute of Justice (NIJ) and the Harvard Kennedy School again held an Executive Session on Policing and Public Safety, offering *New Perspectives in Policing* (Sparrow, 2009). This session focused on five broad strategic or organizational approaches currently found in post-9/11 policing.



Five broad strategic or organizational approaches currently operating in contemporary policing are community policing, problem-solving policing, Compstat policing, intelligence-led policing, and evidence-based policing.

Sparrow (2009, pp.1–2) notes, “Police departments across the United States vary in how many of these approaches they have embraced and which ones. Moreover, implementations of any one of these strategies vary enormously from jurisdiction to jurisdiction and over time. As implementations mature, they tend to become more versatile and better adapted to local circumstances, departing from more standardized models originally imported or copied from other jurisdictions.”

The impact of 9/11 on the organizational development of state and local law enforcement agencies resulted in a renewed focus on community policing and problem-solving policing as well as on other data-driven models. The overlap and interplay of these approaches is apparent, yet each approach offers its own contribution to policing and challenges to those who manage and lead within their agencies.

Community Policing

The September 11, 2001, terrorist attacks on America, while unquestionably horrific and devastating, had a positive effect by bringing even the most diverse, fragmented communities together in ways rarely seen before. The government’s appeal to the public to become “soldiers” in the effort to preserve our nation’s way of life and to be increasingly vigilant about activities occurring in neighborhoods is a direct application of the community policing philosophy. All citizens are made to feel they have an important part to play, an implicit responsibility, in keeping themselves, their communities, and their country safe from harm.

Community policing often operates side by side with traditional policing.

community policing

decentralized model of policing in which individual officers exercise their own initiatives and citizens become actively involved in making their neighborhoods safer; this proactive approach usually includes increased emphasis on foot patrol.



Community policing is a philosophy that promotes “organization strategies, which supports the systematic use of partnership and problem solving techniques to proactively address the immediate conditions that give rise to public safety issues, such as crime, social disorder and fear of crime” (*Community Policing Defined*, 2009).

Several principles set forth by Peel foreshadowed community policing. For instance, Peel believed that while it was the duty of the police to prevent crime and disorder, their power to fulfill this duty depended on public approval and the

police's ability to acquire and keep the public's respect. The ultimate objective, in Peel's view, was that the relationship between the police and the public should be reciprocal such that "*the police are the public and the public are the police.*"

As O. W. Wilson wrote in *Police Administration* (1950, p.420), "The active interest and participation of individual citizens and groups is so vital to the success of most police programs that the police should deliberately seek to arouse, promote and maintain an active public concern in their affairs." Police officers must understand and be a part of this defined community if they are to fulfill their mission.



Courtesy safesound.org

The majority of police work involves nonenforcement activities, including the provision of services such as giving information, working with neglected and abused children, and providing community education programs on crime prevention, drug abuse, safety, and the like.

Community also refers to a feeling of belonging—a sense of integration, shared values, and “we-ness.” Where integrated communities exist, people share a sense of ownership and pride in their environment. They also have a sense of what is acceptable behavior, which makes policing in such a community much easier. Research strongly suggests that a sense of community is the “glue” that binds communities to maintain order and provides the foundation for effective community action. This is often referred to as social capital.

Social capital is defined by Coleman (1990, p.302), who developed this concept, as “a variety of different entities having two characteristics in common: They all consist of some aspect of a social structure, and they facilitate certain actions of individuals who are within the structure.” Coleman saw the two most important elements in social capital as being (1) trustworthiness, that is, citizens’ trust of each other and their public institutions, and (2) obligations, that is, expectation that service to each other will be reciprocated.

Social capital exists at two levels: local and public. *Local social capital* is the bond among family members and their immediate, informal groups. *Public social capital* refers to the networks tying individuals to broader

social capital

a concept to describe the level or degree of social structure within a community and the extent to which individuals within the community feel bonded to each other. Exists at two levels (local and public) and can be measured by *trustworthiness*, or citizens’ trust of each other and their public institutions, and by *obligations*, or by the expectation that service to each other will be reciprocated.

community institutions such as schools, civic organizations, churches, and the like, as well as to networks linking individuals to various levels of government—including the police.

If citizens perceive low levels of physical disorder, they will feel safer. If citizens feel safe and trust one another, social capital is heightened. The higher the levels of public social capital are, the higher the levels of collective action will be. Adequate levels of social capital are required for community policing to work. Unfortunately, the communities that most need community policing are often the ones with the lowest levels of social capital.

Sociologists have been describing for decades either the loss or the breakdown of “community” in modern, technological, industrial, urban societies such as ours. Proponents of community policing in some areas may be missing a major sociological reality—the absence of “community”—in the midst of all the optimism about police playing a greater role in encouraging it. This absence of community is reflected in the broken-window theory set forth in a classic article by Wilson and Kelling (1982, p.31):

Social psychologists and police officers tend to agree that if a window in a building is broken and is left unrepaired, all the rest of the windows will soon be broken. This is as true in nice neighborhoods as in run-down ones. Window-breaking does not necessarily occur on a large scale because some areas are inhabited by determined window-breakers whereas others are populated by window-lovers; rather, one unrepaired broken window is a signal that no one cares, and so breaking more windows costs nothing. (It has always been fun.)

broken-window theory

suggests that if it appears “no one cares,” disorder and crime will thrive.

incivilities

signs of disorder.

The **broken-window theory** suggests that if it appears “no one cares,” disorder and crime will thrive. Broken windows and smashed cars are very visible signs of people not caring about their community. Other more subtle signs of disorder include unmowed lawns, piles of accumulated trash, litter, graffiti, abandoned buildings, rowdiness, drunkenness, fighting, and prostitution, often referred to as **incivilities**. Incivilities and social disorder occur when social control mechanisms have eroded. Increases in incivilities may increase the fear of crime and reduce citizens’ sense of safety, causing people to physically or psychologically withdraw and isolate themselves from their neighbors. Or increased incivilities and disorder may bring people together to “take back the neighborhood.”

Traditional and Community Policing Compared

Strong distinctions exist between the traditional and community policing philosophies.

reactive

simply responding to calls for service.

proactive

recognizing problems and seeking the underlying cause.



Traditional policing is **reactive**, focusing on fighting crime and measuring effectiveness by arrest rates. A tenet of traditional policing is that crime is a police problem. In contrast, community policing is **proactive**, focusing on community problems and measuring effectiveness on the absence of crime and disorder. A tenet of community policing is that crime is everyone’s problem.

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One of the most common strategies used in implementing community policing involves getting neighborhood residents to organize for a common purpose.

Table 1.1 summarizes the differences between these two approaches to policing.

Reactive policing has a long-standing tradition. Community policing does not imply that officers will not respond to calls, just that they may respond differently. In addition, and contrary to popular misconception, community policing is not “soft” on crime:

Those who claim that community policing is soft on crime should ask themselves what is the ultimate goal of policing—to arrest offenders, or to reduce crime and social disorder problems and enhance trust in police? Of course, most efforts to reduce crime and social disorder problems will involve arresting offenders (particularly high-volume repeat offenders) and arrests will always be an important and central function for police agencies; however, arrests in and of themselves should not be confused with the ultimate public safety and public satisfaction goals of policing. By calling for more strategic enforcement, by improving the understanding of crime and of the effectiveness of responses, by bringing in the resources of partners, and by developing innovative responses, community policing is not soft on crime, but rather, brings far tougher and smarter solutions (Scheider, 2008).

To the question of how to measure police effectiveness, Kelling (2009, pp.1, 3) answers, “You measure by the absence of crime and disorder, not by the numbers of arrests or police actions. . . . It is absolutely essential that we maintain community policing values as we face the coming [economic] crisis.”



The two key elements of community policing are partnerships and problem solving.

TABLE 1.1 Comparison of Traditional Policing and Community Policing

Question	Traditional Policing	Community Policing
Who are the police?	A government agency principally responsible for law enforcement.	Police are the public and the public are the police; the police officers are those who are paid to give full-time attention to the duties of every citizen.
What is the role of the police?	Focusing on solving crimes.	A broader problem-solving approach.
How is police efficiency measured?	By detection and arrest rates.	By the absence of crime and disorder.
What are the highest priorities?	Crimes that are high value and those involving violence.	Whatever problems disturb the community most.
What, specifically, do police deal with?	Incidents.	Citizens' problems and concerns.
What determines the effectiveness of police?	Response times.	Public cooperation.
What view do police take of service calls?	Deal with them only if there is no real police work to do.	Vital function and great opportunity.
What is police professionalism?	Swift, effective response to serious crime.	Keeping close to the community.
What kind of intelligence is most important?	Crime intelligence (study of particular crimes or series of crimes).	Criminal intelligence (information about the activities of individuals or groups).
What is the essential nature of police accountability?	Highly centralized; governed by rules, regulations and policy directives; accountable to the law.	Emphasis on local accountability to community needs.

Source: Malcolm, K. Sparrow. *Implementing Community Policing*. U.S. Department of Justice, National Institute of Justice, November 1988 pp. 8–9.

Partnerships

Partnerships are a cornerstone of community policing. Traditional policing expected the community members to remain in the background. Crime and disorder were viewed as police matters, best left to professionals. That meant most citizen–police interactions were negative contacts. Citizens' only opportunities to interact with officers came either when they were victims of crime, were involved in some other type of emergency situation such as a medical emergency, or were the subject of some enforcement action, such as receiving traffic tickets. A discussion of partnerships is beyond the scope of this book, but Figure 1.4 illustrates the core components of such collaborations. Note that *trust* is essential.

Partnering with other city and county departments and agencies is important to problem-solving success. Sometimes described as **working in “silos,”** local government agencies and departments have traditionally worked quite independently of each other. Under community policing, appropriate government departments and agencies are called on and recognized for their abilities to respond to and address crime and social disorder issues. Fire departments, building inspections, health departments, street departments, parks and recreation departments, and child welfare frequently are appropriate and necessary stakeholders in problem-solving initiatives. State and federal agencies may also assist. Examples of collaborative efforts include multi-jurisdictional initiatives such as Safe and Sober and other traffic safety

working in “silos”

when local government agencies and departments work quite independently of each other. This lack of partnering with other city and county agencies hinders problem-solving success.

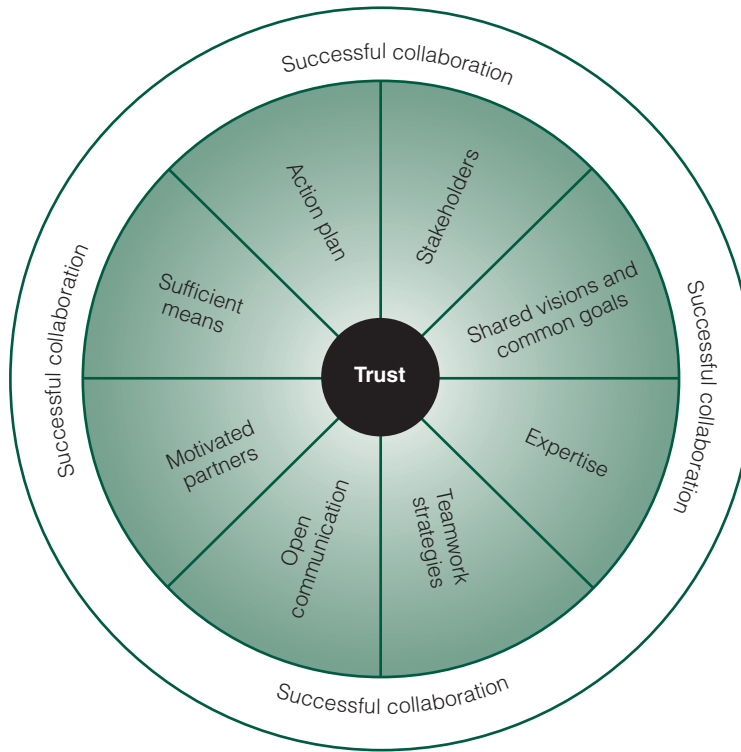


FIGURE 1.4 Core Components of a Successful Collaboration/Partnership

Source: Tammy A. Rinehart, Anna T. Laszlo and Gwen O. Briscoe. *Collaboration Toolkit: How to Build, Fix, and Sustain Productive Partnerships*. Washington, DC: U.S. Department of Justice, Office of Community Oriented Policing Services, 2001, p. 7.

campaigns, drug task forces, predatory offender task forces, and, at the federal level, the National Incident Management System (NIMS), which is discussed in greater depth in Chapter 2.

A Change in Core Functions?

Researchers Zhao et al. (2003) analyzed the changes in law enforcement organizational priorities related to three core functions of policing—crime control, the maintenance of order, and the provision of services—during the era of community policing by examining data from three national surveys of more than 200 municipal police departments conducted in 1993, 1996, and 2000. Their study found that police core-function priorities remained largely unchanged but that the systematic implementation of community oriented policing (COP) programs reflected an all-out effort to address all three core functions at a higher level of achievement. The basic difference between those adopting COP and those not, however, was that the COP-implementing departments no longer had to seek to achieve their priorities alone but rather could accomplish their mission through partnerships and problem solving.



In most departments implementing community policing, the core functions remain, with the difference being that police no longer seek to accomplish these functions alone.